

**STANLEY BROTHERS SECURITIES
INCORPORATION**

SOCIALIST REPUBLIC OF VIETNAM
Independence - Freedom – Happiness

No.: 169 /2026/CV-SBSI

Re: Disclosure of Minutes of the meeting and
Resolution of the 2026 Annual General Meeting of
Shareholders

Hanoi, May 08th, 2026

DISCLOSURE OF UNUSUAL INFORMATION

**To: State Securities Commission
Vietnam Stock Exchange
Hanoi Stock Exchange
Ho Chi Minh City Stock Exchange.**

1. Name of organization: Stanley Brothers Securities Incorporation (SBSI)

- Stock code: VUA
- Member code: 088
- Address: 9th Floor, ROX Tower, No. 54A, Nguyen Chi Thanh, Lang Ward, Hanoi City.
- Contact phone: (+84) 24 3377 6699 Fax: (+84) 24 3373 6699
- Email: cbtt@sbsi.vn
- Website: <https://sbsi.vn>

2. Contents of information disclosure:

Stanley Brothers Securities Incorporation announces the minutes of the meeting and Resolution of the 2026 Annual General Meeting of Shareholders were approved by the General Meeting of Shareholders.

3. This information was published on the Company's official website on 08/05/2026 as in the link:
<https://sbsi.vn/vi-vn/ve-sbsi/bai-viet/quan-he-co-dong/cong-bo-thong-tin/E21>

We would like to commit that the information published above is true and fully responsible before the law for the content of the information published.

Attached documents:

Minutes of the meeting and Resolution of
the 2026 Annual General Meeting of
Shareholders

Representative of the organization

Legal representative

(Sign, clearly state full name, position, and seal)



**General Director
Nguyen Tien Dung**

Number: QA...../2026/NQ-AGM

Hanoi, May 08, 2026

RESOLUTION

**ANNUAL GENERAL MEETING OF SHAREHOLDERS IN 2026
STANLEY BROTHERS SECURITIES JOINT STOCK COMPANY**

- Pursuant to the Law on Enterprises No. 59/2022/QH14 passed by the National Assembly of the Socialist Republic of Vietnam on June 17, 2022; amended and supplemented in 2026
- Pursuant to the Law on Securities No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and its guiding documents;
- Pursuant to the Charter of Stanley Brothers Securities Joint Stock Company;
- Pursuant to the Minutes of the 2026 Annual General Meeting of Shareholders No. QA...../2026/BBH-ĐHDCĐ dated 08/05/2026.

QUYẾT NGHỊ/ RESOLUTION

Article 1: The Annual General Meeting of Shareholders in 2026 shall be approved by the Reports and Proposals, specifically below:

1	Approving the Report of the Board of Directors No. 01/2026/BC-HDQT dated 16/04/2026
2	Approving the Report of the Supervisory Board No. 02/2026/BC-BKS dated 16/04/2026
3	Approving the Report of the Board of Directors No. 03/2026/BC-TGD dated 16/04/2026
4	Approved the business plan for 2026; according to the report No. 04/2026//TTr-HDQT dated 16/04/2026
5	Approved the 2025 Financial Statement, the 2025 audited Financial Prudential Ratio Report; according to the report No. 12/2026/TTr-HDQT dated 16/04/2026
6	Approving the selection of the auditing unit for financial statements in 2026; according to the report No. 05/2026//TTr-HDQT dated 16/04/2026
7	Approving the Profit Distribution Plan in 2026; according to the report No. 06/2026//TTr-HDQT dated 16/04/2026
8	Approving the payment of remuneration of the Board of Directors and the Supervisory Board in 2025 and the remuneration plan of the Board of Directors and the Supervisory Board in 2026; according to the report No. 07/2026//TTr-HDQT dated 16/04/2026



9	Approving the Company's investment plan and transaction limit in 2026; according to the report No. 08/2026//TTr-HDQT dated 16/04/2026
10	Approving the transaction between the Company and related persons according to the report No. 09/2026//TTr-HDQT dated 16/04/2026
11	Approving the amendment and supplementation of the Charter according to the report No. 10/2026/TTr-HDQT dated 16/04/2026
12	Approving the amendment and supplementation of the Corporate Governance Regulation according to the report No. 10/2026/TTr-HDQT dated 16/04/2026
13	Approving the amendment and supplementation of the Regulation on Organization and Operation of the Board of Directors according to the report No. 10/2026/TTr-HDQT dated 16/04/2026
14	Approving the amendment and supplementation of the Regulation on Organization and Operation of the Supervisory Board according to the report No. 11/2026/TTr-BKS dated 16/04/2026

Article 2: Implementation Provisions

1. This Resolution was approved in full by the General Meeting of Shareholders at the 2026 Annual General Meeting and takes effect from 08/05/2026.
2. The Board of Directors, the Board of Directors and relevant departments/departments are responsible for implementing this Resolution in accordance with the provisions of law and the Company's Charter.

Recipients:

- *Các cổ đông/ Shareholders;*
- *Member of the Board of Directors, Supervisory Board, Board of Directors;*
- *SSC, Stock Exchange;*
- *Save Company.*

**TM. GENERAL MEETING OF
SHAREHOLDERS
CHAIRMAN**


HO LE VIET HUNG

MEETING MINUTES
ANNUAL GENERAL MEETING OF SHAREHOLDERS - 2026
Stanley Brothers Securities Incorporation

Company Name: Stanley Brothers Securities Incorporation
Business code: 0305453780
Head Office Address: 9th Floor, Rox Tower, 54A Nguyen Chi Thanh Street, Lang Ward, Hanoi City
Establishment and operation license: No. 83/UBCK-GP issued by the State Securities Commission for the first time on 16/01/2008 and adjusted licenses

The Company will hold the 2026 Annual General Meeting of Shareholders at 8:30 a.m. on May 8, 2026 at the Meeting Room - 7th Floor, Rox Tower, No. 54A Nguyen Chi Thanh Street, Lang Ward, Hanoi City.

PART I: OPENING OF THE CONGRESS

I. Participants:

1. Shareholders and authorized representatives of shareholders of Stanley Brothers Securities Incorporation according to the list of shareholders on the Last Registration Date (06/04/2026) provided by the Vietnam Securities Depository and Clearing Corporation.
2. Board of Directors, Supervisory Board, Board of General Directors, departments and departments of Stanley Brothers Securities Incorporation.

II. Approval of the shareholder status check report

1. The Shareholder Eligibility Examination Committee includes:

- Mr. Hoang Duc Thinh, Head of the IA – Head of the Department
- Ms. Nguyen Thi Quy, Head of IC – Member

The composition of the Shareholder Eligibility Examination Committee was approved by the General Meeting in the form of holding up voting cards with an approval rate of 100% of the total votes of shareholders attending the meeting.

2. Approval of the Shareholder Eligibility Examination Report

- Mr. Hoang Duc Thinh - Head of the Shareholder Eligibility Examination Committee announced the results of the examination of shareholder eligibility to attend the General Meeting and shareholders' representatives attending the meeting as follows:
 - + The total number of issued shares of the Company is: 200,000,000 shares;
 - + The total number of voting shares is: 200,000,000 shares, equivalent to the total number of votes of the Company is 200,000,000 votes;

- + Shareholders invited to attend the General Meeting include: All shareholders of Stanley Brothers Securities Incorporation are named in the list of Securities Owners on the Last Registration Date (06/04/2026) provided by the Vietnam Securities Depository and Clearing Corporation.
- + The total number of shareholders and authorized representatives of shareholders attending the General Meeting as of 9:00 a.m. on May 8, 2026 is: 08 delegates, representing 10 shareholders owning 198,964,362 voting shares, equivalent to 198,964,362 shares, accounting for 99.48% of the total voting shares of Stanley Brothers Securities Incorporation.

According to the provisions of the Law on Enterprises and the Company's Charter, the 2026 Annual General Meeting of Shareholders of Stanley Brothers Securities Incorporation has met the conditions to conduct. Shareholders and authorized representatives of shareholders attending the meeting have the right to vote according to the number of shares they own or represent.

The Organizing Committee will continue to carry out registration procedures for delegates attending the Congress after the meeting has opened. Delegates have the right to participate in voting, right at the Congress after being checked for eligibility and registration.

III. Through the personnel of the Presiding Delegation, the Secretariat of the Congress and the Vote Counting Committee

1. Presiding Delegation of the Congress

The Organizing Committee introduces the list of personnel of the Presiding Delegation of the Congress, including the following members:

- Mr. Ho Le Viet Hung, Chairman of the Board of Directors - Chairman
- Mr. Nguyen Tien Duc, Member of the Board of Directors - Member
- Mr. Nguyen Tien Dung, General Director - Member

The General Meeting voted to approve by holding up voting cards with an approval rate of 100% of the total votes of shareholders attending the meeting.

2. Secretary of the Congress:

On behalf of the Congress, the Presiding Committee appointed the Secretariat of the Congress to record the contents and developments of the Congress, draft the Minutes and Resolutions of the Congress, including the following members:

- Ms. Lai Thanh Mai - Person in charge of corporate governance
- Ms. Nguyen Thi Tuyet - Head of Administrative Department

The General Meeting voted to approve by holding up voting cards with an approval rate of 100% of the total votes of shareholders attending the meeting.

3. Vote counting committee:

The Presiding Committee introduced and the Congress voted to elect the Congress Vote Counting Committee consisting of the following members:

- Mr. Hoang Duc Thinh, Head of the IA – Head of the Department
- Ms. Nguyen Thi Quy, Head of IC – Member

The General Meeting voted to approve by holding up voting cards with an approval rate of 100% of the total votes of shareholders attending the meeting.

IV. Approval of the Working Regulations at the Congress and the Program of the Congress

1. Approval of the Working Regulations:

Mr. Ho Le Viet Hung – Chairman of the Board of Directors of the Company, Chairman of the General Meeting presented the Regulation on organizing the 2026 Annual General Meeting of Shareholders of the Company (including the rules for voting on reports and proposals). The Regulation was approved by the General Meeting in the form of holding up voting cards with an approval rate of 100% of the total votes of shareholders attending the meeting.

2. Through the Congress Program:

Mr. Ho Le Viet Hung – Chairman of the Board of Directors of the Company, Chairman of the General Meeting presented the Agenda of the Company's 2026 Annual General Meeting of Shareholders.

The contents of the Program of the Annual General Meeting of Shareholders in 2026 include the following issues:

TT	Text	Number of Documents	Date
1	Adopt the Report of the Board of Directors	01/2026/BC-HDQT	16/04/2026
2	Approval of the Supervisory Board's Report	02/2026/BC-BKS	16/04/2026
3	Approval of the Report of the Board of Directors	03/2026/BC-TGD	16/04/2026
4	Approved the business plan for 2026;	04/2026//TTr-HDQT	16/04/2026
5	Approved the 2025 Financial Statement, the 2025 audited Financial Safety Ratio Report;	12/2026/TTr-HDQT	16/04/2026
6	Approving the selection of the auditing unit for financial statements in 2026;	05/2026//TTr-HDQT	16/04/2026
7	Approving the Profit Distribution Plan in 2026;	06/2026//TTr-HDQT	16/04/2026
8	Approving the payment of remuneration of the Board of Directors and the Supervisory Board in 2025 and the remuneration plan of the Board of Directors and the Supervisory Board in 2026;	07/2026//TTr-HDQT	16/04/2026
9	Approving the Company's Investment Plan and Trading Limit in 2026;	08/2026//TTr-HDQT	16/04/2026
10	Through transactions between the Company and related persons	09/2026//TTr-HDQT	16/04/2026
11	Approving the amendment and supplementation of the Charter, Regulation on Corporate Governance and Regulation on Organization and Operation of the Board of Directors, Regulation on Organization and Operation of the Supervisory Board	10/2026//TTr-HDQT	16/04/2026

12	Approving the amendment and supplementation of the Regulation on Organization and Operation of the Supervisory Board	11/2026/TTr-BKS	16/04/2026
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The meeting agenda was approved by the General Meeting in the form of holding up voting cards with an approval rate of 100% of the total votes of shareholders attending the meeting.

PART II: MEETING CONTENT

1. Contents of submissions

Mr. Ho Le Viet Hung on behalf of the Board of Directors, Mr. Tran Quang Khanh on behalf of the Supervisory Board and Mr. Nguyen Tien Dung on behalf of the Board of Managers presented the Reports and Proposals stated in the General Meeting Program approved by the General Meeting of Shareholders mentioned above;

2. Discussion at the General Meeting

The Congress discussed the contents of the Reports and Reports that had been presented. Shareholders have no opinion on the contents presented.

3. The vote counting committee guides the voting procedures for approving reports and submissions

PART IV: THE CONGRESS CONDUCTS VOTING AND VOTING RESULTS

Mr. Hoang Duc Thinh – Head of the Vote Counting Committee announced the results of vote counting at the Congress, the specific results are as follows:

The total number of shareholders and authorized representatives of shareholders attending the General Meeting as of the time of vote counting on 08/05/2026 is: 08 delegates, representing 10 shareholders owning 198,964,362 voting shares, corresponding to 10 voting votes.

- *Total number of votes issued: 10 votes, equivalent to 198,964,362 shares;*
- *Total number of votes collected: 10 votes, equivalent to 198,964,362 shares;*
- *Total number of valid votes: 10 votes, equivalent to 198,964,362 shares;*
- *Total number of invalid votes: 0 votes, corresponding to 0 shares;*
- *Total number of votes not participating in voting: 0 votes, corresponding to 0 shares.*

1. The contents were approved at the General Meeting with the following approval rate:

NO.	Contents approved by the General Meeting	Pass Rate			
		Number of votes in favor	Endorsement	Disapprove	No Comments
			(%)	(%)	(%)

NO.	Contents approved by the General Meeting	Pass Rate			
		Number of votes in favor	Endorsement	Disapprove	No Comments
1	Approving the Report of the Board of Directors No. 01/2026/BC-HDQT dated 16/04/2026	10	100%	0%	0%
2	Approving the Report of the Supervisory Board No. 02/2026/BC-BKS dated 16/04/2026	10	100%	0%	0%
3	Approving the Report of the Board of Directors No. 03/2026/BC-TGD dated 16/04/2026	10	100%	0%	0%
4	Approved the business plan for 2026; according to the report No. 04/2026//TTr-HDQT dated 16/04/2026	10	100%	0%	0%
5	Approved the 2025 Financial Statement, the 2025 audited Financial Safety Ratio Report; according to the report No. 12/2026/TTr-HDQT dated 16/04/2026	10	100%	0%	0%
6	Approving the selection of the auditing unit for financial statements in 2026; according to the report No. 05/2026//TTr-HDQT dated 16/04/2026	10	100%	0%	0%
7	Approving the Profit Distribution Plan in 2026; according to the report No. 06/2026//TTr-HDQT dated 16/04/2026	10	100%	0%	0%
8	Approving the payment of remuneration of the Board of Directors and the Supervisory Board in 2025 and the remuneration plan of the Board of Directors and the Supervisory Board in 2026; according to the report No. 07/2026//TTr-HDQT dated 16/04/2026	10	100%	0%	0%
9	Approving the Company's investment plan and bank loan transaction limit in 2026; according to the	10	100%	0%	0%

NO.	Contents approved by the General Meeting	Pass Rate			
		<i>Number of votes in favor</i>	<i>Endorsement</i>	<i>Disapprove</i>	<i>No Comments</i>
	report No. 08/2026//TTr-HDQT dated 16/04/2026				
10	Approving the transaction between the Company and related persons according to the report No. 09/2026//TTr-HDQT dated 16/04/2026	10	100%	0%	0%
11	Approving the amendment and supplementation of the Charter according to the report No. 10/2026/TTr-HDQT dated 16/04/2026	10	100%	0%	0%
12	Approving the amendment and supplementation of the Corporate Governance Regulation according to the report No. 10/2026/TTr-HDQT dated 16/04/2026	10	100%	0%	0%
13	Approving the amendment and supplementation of the Regulation on Organization and Operation of the Board of Directors according to the report No. 10/2026/TTr-HDQT dated 16/04/2026	10	100%	0%	0%
14	Approving the amendment and supplementation of the Regulation on Organization and Operation of the Supervisory Board according to the report No. 11/2026/TTr-BKS dated 16/04/2026	10	100%	0%	0%

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**PART VII: ADOPTION OF MINUTES, RESOLUTIONS AND CLOSING OF THE
CONGRESS**

- Ms. Lai Thanh Mai – Secretary read the Minutes and draft Resolution of the Congress at the Congress.
- The General Meeting approved the full text of the Minutes and Resolution of the 2026 Annual General Meeting of Shareholders.
- Mr. Ho Le Viet Hung on behalf of the Presiding Delegation announced the closing of the Congress.
- This record was made at 10 a.m. on May 8, 2026 at the 2026 Annual General Meeting of Shareholders of Stanley Brothers Securities Incorporation.

SECRETARY OF THE CONGRESS

Lai Thanh Mai

**OB. GENERAL MEETING OF
SHAREHOLDERS
CHAIRMAN**



Ho Le Viet Hung



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Hanoi, ... 08/05/2026

**ORGANIZATION REGULATIONS
ANNUAL GENERAL MEETING OF SHAREHOLDERS IN 2026**

I. GENERAL PROVISIONS

Article 1. Scope of adjustment

This Regulation specifies the conditions for organizing the meeting, the rights and obligations of the parties participating in the meeting and the mode of conducting the meeting.

Article 2. Subjects of application

Shareholders, or authorized representatives of shareholders named in the list of shareholders on the closing date of the right to attend the 2026 Annual General Meeting of Shareholders have the right to directly attend the General Meeting or authorize others to attend the General Meeting meeting. The authorized person may not be re-authorized to a third party.

Article 3. Validity

This Regulation applies to the organization of the 2026 Annual General Meeting of Shareholders of Stanley Brothers Securities Incorporation (the "Company").

II. CONDITIONS FOR CONDUCTING THE MEETING

Article 4. Conditions for conducting the General Meeting

The General Meeting is conducted when the number of shareholders/authorized representatives of shareholders attending the meeting is more than 50% of the voting shares according to the List of shareholders closing on 06/04/2026.

III. RIGHTS AND OBLIGATIONS OF THE PARTIES PARTICIPATING IN THE MEETING

Article 5. Regulations on order

- Shareholders when entering the General Meeting room must sit in the right position or area prescribed by the Organizing Committee of the General Meeting, comply with the arrangement of the position of the Organizing Committee.
- Shareholders attending the General Meeting must comply with general regulations on culture and conduct in public places. Shareholders attending the General Meeting do not talk privately, do not use phones during the General Meeting. All mobile phones must be turned off or not allowed to ring. The Organizing Committee has the right to invite shareholders who do not comply with the general regulations to leave the General Meeting so as not to affect the common agenda.
- Shareholders attending the General Meeting are responsible for attending the General Meeting of Shareholders from the beginning of the General Meeting to the end of the General Meeting. In case a shareholder attending the General Meeting has to leave the meeting before the end of the General Meeting due to force majeure reasons, such shareholder shall be responsible for contacting the Organizing Committee to inform in writing his or her opinions on the issues to be voted on at the General Meeting

Article 6. Authorization Regulations



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- The authorization for a representative to attend the General Meeting of Shareholders must be made in writing according to the form of the company and must be signed according to the following provisions:
- + In case a shareholder is an individual who is an authorizer, it must have the signatures of such shareholder and the authorized person attending the meeting;
- + In case the shareholder is an organization that is an authorized person, it must bear the signatures of the legal representative of the shareholder and the authorized person attending the meeting;
- + In other cases, the signatures of the legal representative of the shareholder and the person authorized to attend the meeting must be obtained.
- In cases where the Power of Attorney is made in writing not according to the company's form, the Chairman of the General Meeting shall have the sole discretion to decide on the validity of such Power of Attorney.
- A person may act as an authorized representative for one or more shareholders.
- The person authorized to attend the General Meeting of Shareholders must submit a written authorization when registering to attend the meeting before entering the meeting room.

Article 7. Rights and obligations of shareholders attending the general meeting

7.1. Rights of shareholders to attend the general meeting

- To directly attend or authorize others to attend the general meeting with a written authorization according to the form of the Company. The authorized representative of a shareholder attending the General Meeting may not be re-authorized to a third person to attend the General Meeting.
- When attending the Annual General Meeting of Shareholders, each shareholder/shareholder representative when attending the General Meeting of Shareholders shall receive a Voting Card, a Voting Slip with the number of shares corresponding to the number of votes for the issues discussed at the meeting;
- To discuss and vote on all issues under the competence of the General Meeting in accordance with the Law on Enterprises, other relevant legal documents and the Company's Charter;
- Notified by the Organizing Committee of the content and program of the Meeting;
- To distribute the enclosed documents and programs of the Meeting;
- Shareholders who come to the General Meeting of Shareholders late have the right to register immediately and then have the right to participate and vote immediately at the General Meeting, but the Chairman is not responsible for stopping the General Meeting so that shareholders can register and the validity of the conducted voting will not be affected.

7.2. Obligations of ordinary shareholders when attending the General Meeting

- Strictly comply with the provisions of the Law on Enterprises, the Company's Charter and this Regulation;
- When shareholders or authorized persons come to attend the General Meeting, they must complete the procedures for registering to attend the General Meeting with the Organizing Committee of the General Meeting and present the following documents:
 - + Meeting invitation letter;
 - + Original Valid Citizen Identity Card/Passport;

- + The original of the valid Certificate of Attendance/Authorization to attend the General Meeting of Shareholders according to the form of the Company (if any);
- + For shareholders who are organizations, the representative is requested to bring a certified copy of the latest Enterprise Registration Certificate; The original of the valid citizen identity card/passport and the original certificate of attendance/authorization to attend (in case the representative is not the legal representative of that organization).
- Strictly abide by the rules at the General Meeting of Shareholders, respect the results of work at the General Meeting;
- Speak under the supervision of the Chairman of the meeting and vote in accordance with the guidance of the Organizing Committee and respect the control of the Meeting of the Chairman of the Meeting;
- The audio and video recording of the Meeting must be publicly announced and approved by the Chairman of the Meeting.
- Self-sufficient expenses to attend the meeting (such as transportation, meals, rest, etc.).

Article 8. Rights and obligations of the Presidium

- The Presidium is elected by the General Meeting of Shareholders to administer the Meeting.
- To administer the activities of the Company's General Meeting of Shareholders in accordance with the order of the General Meeting expected to be approved by the General Meeting of Shareholders.
- Guide the delegates and the Meeting to discuss.
- Submit drafts and conclusions on necessary issues for the General Meeting of Shareholders to vote on.
- Answering/appointing persons responsible for answering questions requested by the Meeting.
- The Presidium works according to the principle of collectiveness, democratic focus, conducts the General Meeting in a valid and orderly manner and reflects the wishes of the majority of shareholders and representatives of shareholders attending.
- Other rights under the Charter of organization and operation of the Company.

Article 9. Responsibilities of the Shareholder Qualification Inspection Board

The Board for Checking the Eligibility of Shareholders to attend the General Meeting is appointed by the Organizing Committee of the General Meeting. The Qualification Examination Committee shall be responsible for examining the qualifications of delegates and reporting to the General Meeting of Shareholders on the results of the qualification examination and the legality and validity of the organization of the General Meeting in accordance with the provisions of the Company's Charter.

Article 10. Responsibilities of the General Assembly Secretariat

The Secretariat of the Meeting was introduced by the Presidium and approved by the Meeting. The Secretariat of the Meeting has the following tasks:

- Fully and honestly record all contents of the General Meeting and issues that have been approved or noted by the shareholders in the Minutes of the General Meeting and approved before closing.
- Assisting the Presidium in announcing the draft documents, conclusions and minutes of the Meeting.



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- Receiving questions from shareholders through the Presidium's assisting team.

Article 11. Responsibilities of the Vote Counting Board

The vote counting committee is nominated by the Presidium and approved by the General Meeting of Shareholders by voting. The vote counting committee has the following tasks:

- Dissemination of rules, principles for voting, instructions for the use of voting papers/voting paper cards.
- Collect votes after the Meeting votes and conduct vote counting.
- Report to the Meeting on the results of vote counting.
- To consider and report to the Meeting for decision on cases of violation of election rules or complaints about elections (if any).

IV. CONDUCT THE MEETING

Article 12. Contents of the Meeting

The General Meeting will in turn discuss and approve the contents stated in the agenda of the General Meeting of Shareholders and other contents (if any).

Article 13. Voting to approve decisions at the General Meeting

13.1. Voting principles:

- All issues in the agenda and contents of the Meeting must be publicly discussed by the Meeting and voted on by voting paper card or by voting paper.
- Voting cards and voting slips are printed by the Company and sent directly to shareholders when carrying out the procedures for checking the eligibility of shareholders to attend the General Meeting.
- Voting paper cards and voting paper papers can be encrypted to serve the counting of votes by computer software.
- Each shareholder is issued 01 voting card and 01 voting card. On the voting card and voting slip, the shareholder code, full name, total number of voting shares are clearly inscribed.
- In case a shareholder comes to the meeting after the voting is over, such shareholder may still register to attend and vote on issues arising after the shareholder/authorized representative of the shareholder registers, but is not allowed to participate in voting on matters that have been voted on. In this case, the validity of the passed votes is not affected.

13.2. Voting method:

- Issues on the agenda of the Meeting must be approved by direct voting at the Meeting. Each shareholder is issued a Voting Card and a Voting Slip with the Company's seal;

- How to vote:

Voting Card:

- + Characteristics: The voting card contains information of the Shareholders/authorized representatives, the number of shareholders attending, the number of shares entitled to vote at the General Meeting and the corresponding number of voting votes.
- + Purpose: Use the Voting Card to vote on the contents that need to be approved right at the Meeting such as: Working Regulations of the Meeting, Meeting Agenda, election of the Presidium, Vote Counting Committee, approval of the composition of the Secretariat, ... in the form of holding up voting cards.
- + How to use: Shareholders will have to raise their Voting Cards to vote "Approve", or

"Disapprove", or "No opinion" with voting contents when the Organizing Committee or the Presidium of the General Meeting requests a vote. The results of the vote counting will be announced by the Vote Counting Committee immediately after voting on each content.

Voting Paper:

- + Characteristics: The voting slip contains information of the Shareholders, the number of shareholders attending, the number of shares entitled to vote at the General Meeting and the corresponding number of voting votes.
- + Purpose: To vote on the contents to be approved at the General Meeting by voting. The Organizing Committee arranges voting paper boxes at the hall for shareholders to vote and vote.
- + How to use: On the Voting Sheet, the Organizing Committee of the Meeting will print all the contents to be voted on. Corresponding to each content to be voted on, there are 3 voting options: "Approve", "Disapprove" or "No opinion". When the Presidium asks shareholders to vote, shareholders shall mark "X" or "✓" on that option and cast their votes in the voting paper box.

- **Validity of voting papers:**

- + Valid voting paper: are those issued by the Organizing Committee of the General Meeting according to the form, stamped with the Company's seal and marked in accordance with regulations for each content to be voted on (for each content to be voted on, shareholders are only allowed to choose one of three options: Approve - Disapprove - No opinion; in case the Shareholders change their opinions before completing the voting, they will re-mark and sign on the right side of their final choice plan); sign clearly stating the full names of shareholders/authorized representatives to attend the meeting.
- + The voting paper is invalid when:
 - i. The paper is not issued by the Organizing Committee of the General Meeting according to the form and is not stamped with the Company's seal and/or;
 - ii. The paper does not have the signature of the shareholder/authorized representative to attend the meeting and or;
 - iii. The paper is torn, crossed and or;
 - iv. If the voting paper has two or more options in the same content and there is no signature on the final option or no option is selected, the vote for that content shall be considered invalid. The voting on each content to be approved in the voting paper is independent of each other and the validity is determined on each voting content.
- + Handling of invalid voting papers:

If the voting papers are invalid for reasons (i), (ii), (iii), all voting contents shall not be included in the vote counting results.

For case (iv): the votes with each invalid content, the invalid voting content shall not be included in the vote counting results.

- **Voting rules:**

- + Each common share has one vote.
- + Approve the issue of decisions on the type of shares and the total number of shares of each type; changes in business lines, trades and fields; change the organizational structure of the company's management; investment or sale projects with a value equal to or greater than 50% of the total value of assets stated in the Company's latest financial statements; reorganization and dissolution of the company: must reach at least 65% of the total votes of all shareholders

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- attending the meeting in favor.
- + Passing other issues: must reach more than 50% of the total votes of all shareholders attending the meeting in favor.
- + Time to count votes and announce the results of vote counting: Voting paper papers will be counted and reported by the Vote Counting Committee right at the Meeting.

Article 14. Regulations for counting of voting papers in the form of voting by papers

14.1. Organizing

The counting of votes must be conducted by the Counting Committee in a closed room immediately after the voting is over. The vote counting committee did not cross out or correct the voting papers. The vote counting committee will record the voting results in the minutes of the General Meeting, including:

- The number of votes "Yes, No or No opinion."
- The percentage (%) corresponds to the number of votes "Approve, Disapprove or No opinion" out of the total number of votes collected.
- In case Shareholders/Shareholders' representatives have questions about the voting results, the Chairman will consider and decide right at the General Meeting.

14.2. Announcement of vote counting results

- After the vote counting process is completed, the Vote Counting Committee shall make a record of vote counting signed by all members of the Vote Counting Committee.
- The Head of the Vote Counting Committee read the minutes of the vote counting results on behalf of the Vote Counting Committee before the Meeting.

Article 15. Speech at the Meeting

- Shareholders attending the meeting who wish to express their opinions for discussion must register the contents of their speeches in the questionnaire, in case there is no questionnaire, they shall register the contents of their speeches on paper and transfer them to the assisting team to send them to the Secretariat for submission to the Presidium.
- In case the Presidium requests shareholders to speak directly, shareholders need to raise their hands to propose to speak and only express their opinions when the Presidium invites them to speak.
- All shareholders have the right and are encouraged to participate in expressing their opinions at the General Meeting. However, in case there are too many opinions that lead to the prolongation of the Meeting unplanned time or there are many overlapping opinions on the content, the Presidium has the right to choose the most common or closest opinions to the agenda to answer and refuse to answer issues outside the agenda.
- Shareholders when making speeches need to be concise, avoid duplication and focus on the focus to be discussed, in accordance with the content of the agenda of the approved General Meeting. The Chairman of the General Meeting will arrange for shareholders to speak in the order of registration, and at the same time answer questions of shareholders.

Article 16. Approval of the decision at the General Meeting

- Issues of the General Meeting shall be approved upon the approval of the voting shareholders present in person or through authorized representatives present at the General Meeting at the rate prescribed in the Company's Charter and the provisions of the Law on Enterprises;
- Shareholders or authorized representatives who come to the meeting shall vote to agree, disagree or have no opinions on matters that must be approved at the General Meeting as prescribed in Article 13 of this Regulation.

- In the content of the voting paper, no content is marked as no opinion.

V. END OF THE MEETING

Article 17. Minutes of the General Meeting of Shareholders

All contents at the General Meeting of Shareholders shall be recorded by the Secretary of the General Meeting. The minutes of the meeting are read and approved before the closing of the meeting and are kept in the documents of the General Meeting of Shareholders of the Company.

Article 18. Resolution of the General Meeting of Shareholders

- Based on the results at the General Meeting, the Chairman issued a Resolution of the General Meeting of Shareholders on the issues approved by the General Meeting.
- Shareholders, members of the Board of Directors, the Supervisory Board and the General Director have the right to request the Court or Arbitration to consider and annul part or all of the decision of the General Meeting of Shareholders in accordance with the provisions of the Law on Enterprises.

VI. MISCELLANEOUS

Article 19. In case of unsuccessful organization of the General Meeting of Shareholders

- In case the first meeting fails to meet the conditions specified in Article 4 of this Regulation, it shall be convened for the second time within thirty days from the date on which the first meeting is scheduled to be opened. The meeting of the Second General Meeting of Shareholders is conducted when the number of shareholders attending the meeting represents at least 33% of the voting shares.
- In case the second convened meeting fails to meet the conditions for conducting as prescribed in Clause 1 of this Article, it may convene the third meeting within twenty days from the date on which the second meeting is expected to open. In this case, the General Meeting of Shareholders shall be conducted regardless of the number of shareholders attending the meeting.

VII. IMPLEMENTATION TERMS

Article 20. Enforcement effect

This Regulation consists of 7 parts, 20 articles, effective as soon as it is approved at the Annual General Meeting of Shareholders in 2026.

**ON BEHALF OF BOARD OF DIRECTORS
CHAIRMAN OF THE BOARD**



HQ LE VIET HUNG



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REPORT OF THE BOARD OF DIRECTORS

To: General Meeting of Shareholders of Stanley Brothers Securities Joint Stock Company

The Board of Directors of the Company would like to report to the Annual General Meeting of Shareholders in 2026 on the implementation of the tasks of the Board of Directors in 2025 and the development orientations and goals in 2026 as follows:

I. GENERAL BACKGROUND

Regarding the macroeconomic situation

In 2025, despite suffering from many "headwinds" from the global economic environment, Vietnam's economic growth in 2025 will still have a positive trend. The results by the end of 2025 show that GDP growth is estimated at over 8%. The growth momentum first of all comes from the obvious improvement of the macro environment, when inflation is controlled, the exchange rate and interest rate level gradually stabilize, thereby creating favorable conditions for production and business activities and investment expansion of the business sector.

In addition, public investment continues to play an important role as a driver, with a large scale of disbursement for transport, energy and urban infrastructure projects, not only promoting short-term growth but also expanding development space in the medium and long term. Exports grew stronger thanks to improved demand in key markets such as the US, EU and Asia, along with Vietnam's deeper participation in global value chains.

Another important driver is private investment and FDI inflows, which continue to be underpinned by investor confidence in the economic outlook, socio-political stability and the ongoing institutional reform process. At the same time, domestic consumption is forecast to maintain a positive growth momentum thanks to improved people's incomes, a more stable labor market and effective implementation of stimulus support policies.

Notably, many experts believe that the growth driver in 2025 will not only come from traditional factors, but also from the shift to a growth model based more on science and technology, innovation, digital economy and green economy.

GDP growth in 2025 to reach the target of 8% is a solid foundation for Vietnam to enter a new period of acceleration with higher and more sustainable growth quality.

About the stock market

Closing 2025, Vietnam's stock market marked a volatile but strong breakthrough trading year, when the VN-Index increased by more than 500 points, equivalent to nearly 41%, with liquidity setting a historical record, reflecting a clear return of cash flow and investor confidence.

Closing the last trading session of 2025, VN-Index increased by 17.59 points to 1,784.49 points - the highest closing level of the year. The whole floor had 134 gainers and 185 decliners. Total trading volume reached 704 million units, valued at VND 22,349.8 billion.

Considering the whole year of 2025, Vietnam's stock market has experienced many emotions. At one point, the VN-Index fell deeply to the area of 1,094 points due to the tariff shock, but then quickly recovered, consecutively conquered new historical peaks and ended the year with an impressive increase of 517.71 points, equivalent to an increase of 40.87% compared to the end of 2024 - This is the highest increase in the world.



II. THE IMPLEMENTATION OF THE TASKS OF THE BOARD OF DIRECTORS IN 2024

1. Report on the operation of the Board of Directors and each member of the Board of Directors

With favorable conditions from the general context, in 2025, the Company has focused on restructuring the Company from the structure of shareholders, members of the Board of Directors, the Board of Directors to the organizational apparatus in addition to maintaining business activities to ensure stability. avoid disturbances and large fluctuations. The Company's operating revenue in 2025 is VND 22.35 billion, reaching 28% of the revenue plan, the Company's profit after tax is VND 3.3 billion. The Board of Directors always closely monitors the market situation, closely follows the development orientation, and makes timely decisions to ensure that the Company's business activities are stable, safe, properly compliant with current legal regulations in securities trading.

In 2025, the Board of Directors of the Company has implemented the tasks of the Annual General Meeting of Shareholders and the 1st Extraordinary General Meeting of Shareholders, specifically including:

- Selection of auditing units for financial statements in 2025: AASC Auditing Firm Co., Ltd.;
- Implement investment decisions according to the limit approved by the General Meeting of Shareholders;
- Implement the re-election of the Board of Directors, Supervisory Board;
- Promulgating the amended Charter;
- Increase the charter capital from VND 339 billion to VND 2000 billion;

Members of the Board of Directors (including new members of the Board of Directors) have made efforts to perform the tasks assigned by the Board of Directors. In which:

- The Chairman of the Board of Directors has well performed his powers and duties in accordance with the provisions of the Internal Regulation on corporate governance, the Regulation on operation of the Board of Directors, the Company's Charter, directing the Board of Directors to implement the resolutions of the Board of Directors;
- Members of the Board of Directors have actively contributed to advising and giving suggestions to the Board of Directors in the management and administration of the Company's business activities;

Currently, the Board of Directors of the Company consists of 05 members, including 100% of non-executive members of the Board of Directors and 01 independent member of the Board of Directors, ensuring the conditions for the structure of the Board of Directors as prescribed for public companies.

Personnel structure of the Board of Directors in 2025 (before the 1st Extraordinary General Meeting of Shareholders -2025):

STT	Member of the Board of Directors	Position	Appointment Date
01	Mr. Luen Quang Thang	Chairman of the Board of Directors	16/04/2024
02	Mr. Nguyen Quang Anh	Member of the Board of	16/04/2024

		Directors cum General Director	
03	Mr. Pham Hoang Hai	Non-executive members of the Board of Directors	07/03/2022

Personnel structure of the Board of Directors in 2025 (after the 1st Extraordinary General Meeting of Shareholders -2025):

STT	Member of the Board of Directors	Position	Appointment Date
01	Ho Le Viet Hung	Chairman of the Board of Directors	14/10/2025
02	Nguyen Tien Duc	Member of the Board of Directors	14/10/2025
03	Duong Van Cuong	Member of the Board of Directors	14/10/2025
04	Hoang Thanh Tam	Member of the Board of Directors	14/10/2025
05	Le Cam Thuy	Independent Member of the Board of Directors	14/10/2025

2. Board Meetings and Board Decisions

The Board of Directors regularly organizes meetings to promptly solve tasks under the jurisdiction of the Board of Directors. The meetings were fully attended by members, ensuring that they were organized in accordance with the procedures and provisions of the Charter and Operation Regulations. The decisions of the Board of Directors during the year include:

STT	Date of Issue	Numbers, Symbols	Abstract
1	20/01/2025	01/2025/NQ-HDQT	Resolution of the Board of Directors on approving the risk management policy in 2025
2	20/01/2025	02/2025/NQ-HDQT	Decree of the Board of Directors on convening the Annual General Meeting of Shareholders in 2025
3	23/01/2025	03/2025/NQ-HDQT	Statement of the Board of Directors on the Internal Audit Plan in 2025
4	18/03/2025	04/2025/NQ-HDQT	etc. approving documents to be submitted to the Annual General Meeting of Shareholders in 2025
5	19/06/2025	05/2025/NQ-HDQT	Decision of the Board of Directors and Selection of Audit Unit for Fiscal Year 2025
6	12/08/2025	06/2025/NQ-HDQT	Board of Directors v/v Appointment of Chief Financial Officer

7	12/08/2025	07/2025/NQ-HDQT	Statement of the Board of Directors etc. Confirm the Warranties & Commitments of the Company according to the Appendix attached to the Minutes of the Meeting No. 06/2025/BB-HDQT dated 12/08/2025
8	12/08/2025	08/2025/NQ-HDQT	The Board of Directors and the Board of Directors received the resignation letter of the Board of Directors, the Supervisory Board and the Convening of the 1st Extraordinary General Meeting of Shareholders in 2025
9	18/09/2025	09/2025/NQ-HDQT	Board of Directors V/v. Approving the transaction of certificates of deposit of credit institutions
10	29/09/2025	10/2025/NQ-HDQT	Proposal of the Board of Directors and Approval of the Board of Directors TV candidates and TV Supervisory Board
11	09/10/2025	11/2025/NQ-HDQT	Decision of the Board of Directors Approval of the set of documents to be submitted to the 1st Extraordinary General Meeting of Shareholders in 2025
12	14/10/2025	01A/2025/NQ-HDQT	Board of Directors and Election of the Board of Directors for the term 2024 - 2029 (Ho Le Viet Hung)
13	14/10/2025	01B/2025/NQ-HDQT	Decision of the Board of Directors V/v: Approval of the Regulation on the organization of the Company's apparatus
14	14/10/2025	01C/2025/NQ-HDQT	Decision of the Board of Directors V/v: Approval of the Company's Regulation on Human Resource Management
15	14/10/2025	02A/2025/NQ-HDQT	Member of the Board of Directors and Dismissal of the person in charge of corporate governance (Le Thi Giang)
16	14/10/2025	02B/2025/NQ-HDQT	Board of Directors v/v Appointment of the person in charge of corporate governance (Lai Thanh Mai)
17	14/10/2025	02C/2025/NQ-HDQT	Etc. Advance and payment of remuneration of the Board of Directors, Supervisory Board
18	15/10/2025	12/2025/NQ-HDQT	Board of Directors V/v Approving the investment in individual bonds of Rox Energy Investment Joint Stock Company
19	26/10/2025	12a/2025/NQ-HDQT	Approval of the company's remuneration regulations in 2025

20	27/10/2025	13/2025/NQ-HDQT	Decision of the Board of Directors Assignment of duties of members of the Board of Directors for the term 2024-2029
21	21/11/2025	14/2025/NQ-HDQT	Board of Directors etc. approved the implementation of the private placement plan to increase charter capital
22	21/11/2025	15/2025/NQ-HDQT	The Board of Directors etc. approved the detailed plan on the use of capital obtained from the private placement of securities
23	21/11/2025	16/2025/NQ-HDQT	Board of Directors, etc. approved the registration dossier for private placement of shares
24	26/11/2025	17/2025/NQ-HDQT	Board of Directors etc. approved the implementation of the private placement plan to increase charter capital
25	26/11/2025	18/2025/NQ-HDQT	The Board of Directors etc. approved the detailed plan on the use of capital obtained from the private placement of securities
26	26/11/2025	19/2025/NQ-HDQT	Board of Directors, etc. approved the registration dossier for private placement of shares
27	15/12/2025	20/2025/NQ-HDQT	The Board of Directors etc. approved the plan to transfer individual bonds of ROX ENREGY Investment Joint Stock Company
28	15/12/2025	21/2025/NQ-HDQT	The Board of Directors etc. approved the private bond investment plan of SG May- Diem Joint Stock Company
29	16/12/2025	22/2025/NQ-HDQT	Board of Directors, etc. approved credit lines at MSB
30	16/12/2025	23/2025/NQ-HDQT	The Board of Directors etc. approved the proposal for investment and trading of bonds
31	19/12/2025	24/2025/NQ-HDQT	Board of Directors, etc. add the title of Executive Member to the Board of Directors of SBSI
32	22/12/2025	25/2025/NQ-HDQT	The Board of Directors amends and supplements information related to the private placement plan to increase charter capital
33	22/12/2025	26/2025/NQ-HDQT	Board of Directors, etc. approved the registration dossier for private placement of shares
34	22/12/2025	27/2025/NQ-HDQT	The Board of Directors appointed Ms. Hoang Thanh Tam to hold the position of Executive Member, Board of Directors

35	22/12/2025	28/2025/NQ-HDQT	The Board of Directors etc. approved the private bond investment plan of SG May-Diem Joint Stock Company
36	23/12/2025	29/2025/NQ-HDQT	Board of Directors etc. Dismissal and appointment of General Director, Deputy Director of the Company
37	31/12/2025	30/2025/NQ-HDQT	The Board of Directors etc. dismissed the person in charge of the Internal Audit department for and Pham Thuy Linh
38	31/12/2025	31/2025/NQ-HDQT	The Board of Directors etc. approved the investment in expanding SBSI's office area
39	31/12/2025	32/2025/NQ-HDQT	The Board of Directors etc. approved the investment in the project of renovation and repair of SBSI office

3. Reports on transactions between companies, subsidiaries, companies controlled by public companies with more than 50% or more of charter capital with members of the Board of Directors and related persons of such members; a company-to-company transaction in which a member of the Board of Directors is a founding member or a manager of the enterprise in the last 03 years before the time of transaction.

- The order and procedures for approving transactions between the Company and related parties are strictly implemented in accordance with the provisions of the Law on Enterprises, the Law on Securities, the Company's Charter, and the Company's Internal Governance Regulations.
- Reports on transactions between companies, subsidiaries, companies controlled by public companies with more than 50% or more of charter capital and members of the Board of Directors and related persons of such members; transactions between companies and companies in which members of the Board of Directors are founding members or business managers in the last 03 years before the time of transaction: the above transactions have been listed and fully announced by the Company in the 2023 Corporate Governance Reports; in 2024; 2025. Shareholders, please see the Corporate Governance Report at the website: www.sbsi.vn

4. Activities of subcommittees under the Board of Directors

In 2025, the Board of Directors has established a Technology Committee to perform the function of advising, advising and supporting the Board of Directors in the field of technology, especially in the development of digital transformation strategies.

5. Supervisory activities of the Board of Directors over the General Director:

The Board of Directors has supervised the executive activities of the General Director through periodic reports, guidelines and policies on risk management, investment activities, governance and important professional areas of the company.

- The Board of Directors has participated in full meetings with the Board of Directors to grasp the situation and orient the company's operations. The Board of Directors and members of the Board of Directors are reported by the General Director and provided with full information about the company's business activities, the situation as well as the results of the implementation of the contents approved by the Board of Directors according to the Resolutions/Decisions of the Board of Directors. The Board of Directors has implemented

SBSI's long-term strategic business activities, while improving management, risk management and risk control.

- In addition, the Board of Directors also participates in directing, urging, and implementing the Resolutions of the General Meeting of Shareholders and the Board of Directors to ensure the proper implementation of the Charter, Regulations and relevant laws.
- According to the Board of Directors, all members of the Board of Directors have tried to fulfill their responsibilities well. The Board of Directors and key managers have effectively and reasonably implemented the decisions of the Board of Directors.

6. Remuneration , operating expenses and other benefits of the Board of Directors and each member of the Board of Directors

- The remuneration of members of the Board of Directors is paid according to the level approved by the 2024 Annual General Meeting of Shareholders and has been adjusted in the period to ensure the assignment of tasks of the newly appointed members of the Board of Directors. Details of the remuneration of the Board of Directors are summarized and shown in the Proposal approving the payment of remuneration of the Board of Directors and Supervisory Board in 2025 and the plan to pay remuneration to the Board of Directors and Supervisory Board in 2026.
- Administrative expenses and expenses related to the operation of the Board of Directors comply with the Operating Regulations of the Board of Directors, the Financial Regulations and the internal expenditure norms of SBSI.

III. EVALUATION OF INDEPENDENT MEMBERS OF THE BOARD OF DIRECTORS

1. Roles and scope of operation of the independent Board of Directors:

Independent members of the Board of Directors have fully performed their roles in accordance with the provisions of the Law on Enterprises, the Law on Securities and the Company's Charter; participate in Board of Directors meetings, contribute opinions independently and objectively, in order to protect the legitimate interests of the Company and shareholders, especially minority shareholders.

2. Evaluation of the corporate governance of the independent TV Board of Directors

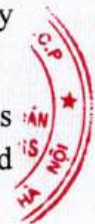
The Board of Directors has complied with the principles of corporate governance applicable to public companies; the structure of the Board of Directors, operating regulations and decision-making process are maintained in accordance with the law. Important decisions are carefully considered, grounded and adopted in accordance with their competence.

The company has disclosed information fully and promptly according to regulations. Transactions with related parties are considered, approved and supervised in accordance with the order and procedures, ensuring transparency and not causing conflicts of interest.

The Board of Directors has implemented business activities in accordance with the resolutions of the Board of Directors; risk management and internal control have been gradually strengthened, in accordance with the characteristics of securities trading activities.

Recommendation: Request the Company to continue:

- Improve the quality of corporate governance in accordance with the corporate governance rules issued by the SSC;



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- Strengthening the role of internal control and risk management;
- Improve the system of processes and policies to meet the requirements of sustainable development and compliance with the law.

IV. ORIENTATION OF THE BOARD OF DIRECTORS IN 2026

In the face of the recent complicated developments in the world that have had an extremely adverse impact on the stock market, the Board of Directors believes that 2026 will continue to be an extremely challenging year, leading to the Company having many changes in strategy and business plans to adapt and develop. The Board of Directors orients the operation plan and key tasks to be implemented in 2026 as follows:

- **Regarding business orientation:** Continue to improve the quality of services for securities business operations that the Company has advantages and customer files have.
- **Regarding organizational and administrative activities:**
 - + Organize the Board of Directors apparatus to work professionally with a high sense of responsibility, well perform the work of directing and supervising the implementation of management and administration tasks of the General Director;
 - + Improve corporate governance and risk control;
 - + Focus on reviewing and standardizing professional processes to improve efficiency and ensure compliance with legal regulations;
 - + Continue to attract high-quality human resources, implement internal training activities to improve professional capacity for employees.

Based on the Company's operational orientation, internal resources and market situation. The Board of Directors and the Board of Directors have agreed to set business plan targets for 2026: operating revenue in 2026 will reach VND 250 billion, profit after tax will reach VND 70 billion. The above is the report of the Board of Directors of Stanley Brothers Securities Joint Stock Company, respectfully submitted to the General Meeting of Shareholders for consideration and approval.

Thank you!

ON BEHALF OF THE BOARD OF DIRECTORS

CHAIRMAN OF THE BOARD


CÔNG TY
CƠ PHẦN CHỨNG KHOÁN
STANLEY BROTHERS
ĐỒNG ĐÀ - TP. HCM
HO LE VIET HUNG

**REPORT ON ACTIVITIES OF THE SUPERVISORY BOARD
AT THE 2026 ANNUAL GENERAL MEETING OF SHAREHOLDERS**

To: General Meeting of Shareholders of Stanley Brothers Securities Joint Stock Company

The Supervisory Board shall report to the Annual General Meeting of Shareholders in 2025 the results of inspection and supervision of activities in 2025 and the plan for 2026 as follows:

I. ACTIVITIES OF THE SUPERVISORY BOARD IN 2025

1. Structure of the Supervisory Board before 14/10/2025 (the date of the 1st Extraordinary General Meeting of Shareholders in 2025):

STT	Member of the Supervisory Board	Position	Date of start/no longer being a member of the Board of Directors	Qualifications
1	Mr. Do Duc Loc	Head of the Supervisory Board	Appointment Date 25/04/2023	Bachelor of Finance
2	Ms. Le Thi Giang	Member of the Supervisory Board	Appointed on 07/03/2022	Bachelor of Laws
3	Ms. Dinh Thi Lan Anh	Member of the Supervisory Board	Appointment Date 25/04/2023	Bachelor of Accounting

2. Structure of the Supervisory Board after 14/10/2025 (the date of the 1st Extraordinary General Meeting of Shareholders in 2025)

STT	Member of the Supervisory Board	Position	Date of start/no longer being a member of the Board of Directors	Qualifications
1	Tran Quang Khanh	Head of the Supervisory Board	Appointment Date 14/10/2025	Bachelor of Accounting, Master of Business Administration
2	Lai Thanh Mai	Member of the	Appointment Date 14/10/2025	Law Admission



		Supervisory Board		
3	Duong Thi Thanh	Member of the Supervisory Board	Appointment Date 14/10/2025	Bachelor of Accounting

3. Supervisory Board Meetings

Meetings of the Supervisory Board in 2025 are as follows: 02 meetings

4. Main activities of the Supervisory Board in 2025

On the basis of the functions and tasks specified in the Law on Enterprises, the Regulation on Operation of the Supervisory Board and the Company's Charter, the main activities of the Supervisory Board in 2025 are as follows:

- Supervise the Board of Directors and General Director in the management and administration of the Company and implement the contents according to the Resolution of the 2024 General Meeting of Shareholders and the Resolutions of the Board of Directors;
- Examining the reasonableness, legality and honesty in the management and administration of business activities; in organizing accounting, statistics and making the Company's financial statements;
- Appraisal of financial statements, reports on the Company's financial prudential ratio;
- Promptly grasp the business situation of the Company, perform the function of supervision in accordance with regulations, ensure the interests of shareholders.
- Organize periodic and extraordinary meetings to implement work according to assigned tasks and functions, always supervise the implementation of the resolutions of the General Meeting of Shareholders.

5. Evaluation of the performance of the Supervisory Board

- The Head of the Supervisory Board has properly performed the rights and responsibilities as prescribed in the Charter of organization and operation of the Company; Convening and chairing meetings of the Supervisory Board; request the Board of Directors, the Board of Directors and managers to provide relevant information to report to members of the Control Board;
- Regularly update the State's regulations and policies related to the Company's operations;
- Inspect and supervise the activities of the Board of Directors and the General Director.
- In the process of performing tasks, they have closely followed the assigned tasks, been proactive in their work, and closely coordinated with members of the Supervisory Board.

II. RESULTS OF SUPERVISION IN 2025

1. Results of supervision of business and financial activities of the company

The Supervisory Board has monitored the Company's business and financial performance in 2025. Financial statements, quarterly and annual financial prudential ratio reports, ensure accuracy and transparency in reports. Periodically report and disclose information to the State Securities Commission

and the Stock Exchange in accordance with the Ministry of Finance's regulations on information disclosure on the securities trading market.

The Supervisory Board assessed that in the context of the difficult economic situation, affecting the Company's business activities, the Board of Directors has come up with timely solutions with all employees to ensure that the Company's business activities are stable. safety, strictly and fully complying with current legal regulations in securities trading.

2. Assessment of the Company's financial situation in 2025:

The Supervisory Board agrees with the contents of the 2025 Financial Statements that have been audited by AASC Auditing Firm Co., Ltd.

The report accurately reflects the financial position as of December 31, 2025, business results and cash flows in the financial period from January 1, 2025 to December 31, 2025 and in accordance with the regulations of the current accounting system. no material errors will occur in 2025 in accounting work.

a. Business results for the year

Unit: Bronze			
Criteria	Year 2025	Year 2024	% increase and decrease
Operating Revenue	22.348.076.332	20.197.063.207	11%
Performance	1.554.001.923	-29.821.084.462	105%
Other performance	1.751.560.877	1.229.243.727	42%
Profit before tax	3.305.562.800	-28.591.840.919	112%
Profit after tax	3.305.562.800	-28.591.840.919	112%

(Source: 2025 Audited Financial Statements)

b. About company assets

Unit: Bronze			
Criteria	Year 2025	Year 2024	% increase and decrease
Short-term assets	283.425.506.746	255.484.837.496	11%
Long-term assets	12.930.473.738	14.019.341.273	-8%
Total Asset Value	296.355.980.484	269.504.178.769	10%

(Source: Stanley Brothers Securities Joint Stock Company after audit)

3. Supervisory activities of the Supervisory Board of Directors, the Board of Directors and shareholders

- Representatives of the Supervisory Board fully participate in monthly meetings of the Board of Directors to grasp the company's operation situation and at the same time supervise the Board of Directors and the General Director in the management and administration of the company. The Supervisory Board and members of the Supervisory Board are fully provided

with Minutes, Resolutions/Decisions and other documents by the Board of Directors and the General Director at meetings of the Board of Directors.

- Examining the reasonableness, legality, honesty and prudence in the management and administration of business activities; systematic, consistent and appropriate accounting, statistics and financial reporting.
- Appraisal of reports on business activities, financial statements of the Company, management evaluation reports of the Board of Directors and submission of appraisal reports at the Annual General Meeting of Shareholders.
- During the year, the Supervisory Board did not receive any information or reflections from shareholders.

4. Results of the assessment of the coordination of activities between the Supervisory Board and the Board of Directors, the General Director and shareholders in 2025

In 2025, the coordination of activities between the Supervisory Board and the Board of Directors, the Board of Directors and other managers will be effectively implemented. Departments and managers in the company have actively coordinated, provided documents as requested, creating conditions for the Supervisory Board to carry out full, reasonable and legal inspection and control.

- Coordination between the Supervisory Board and the Board of Directors: The Supervisory Board performs the function of supervising the management and administration of the Board of Directors, the Board of Directors and the Company's business activities through attending and contributing opinions at the meetings of the Board of Directors and approving the periodic financial statements of the Company. Evaluate the management and operation effectiveness of the Board of Directors, the General Director and the business situation through facts and reports.
- Coordination between the Supervisory Board and the General Director:
 - + The Supervisory Board proactively discusses and agrees with the Board of Directors on business contents, plans and activities; inspect, supervise and coordinate with the General Director in the process of supervising and inspecting the Company's business activities.
 - + The Board of Directors has fully provided the Resolutions and decisions of the Board of Directors to the Supervisory Board.
 - + The General Director creates favorable conditions for the Supervisory Board in collecting information and documents related to business activities.
 - + The Board of Directors, the Supervisory Board and the General Director and the Company's managers have had a close relationship in the administration and management of the Company.
 - + The opinions and recommendations of the Supervisory Board are noted, supplemented and edited by the Board of Directors in a timely manner, ensuring safety in business activities.

5. Remuneration, operating expenses and other benefits of the Supervisory Board and each member of the Supervisory Board

- Details of the Supervisory Board's remuneration are summarized and shown in the Proposal approving the payment of remuneration of the Board of Directors and Supervisory Board in

2025 and the plan to pay remuneration to the Board of Directors and Supervisory Board in 2026.

- Administrative expenses and expenses related to the Supervisory Board's operations comply with the Supervisory Board's Operating Regulations, Financial Regulations and SBSI's internal expenditure norms.

6. A report on the assessment of transactions between companies, subsidiaries, companies in which a public company controls more than 50% or more of the charter capital and members of the Board of Directors, General Directors, other executives of the enterprise and related persons of such entities; transactions between companies and companies in which members of the Board of Directors, General Director, and other executives of the enterprise are founding members or managers of the enterprise in the last 03 years before the time of transaction.

On the basis of the results of periodic and irregular inspection and supervision, the Supervisory Board assesses that the above-mentioned transactions have been approved by the General Meeting of Shareholders or the Board of Directors of the Company in accordance with its competence and discloses full information in accordance with the provisions of law and the Company's Charter.

III. ORIENTATION OF THE SUPERVISORY BOARD'S ACTIVITIES IN 2026


In 2026, the Supervisory Board will continue to perform tasks according to its competence, inspect and supervise the Company's business activities; supervise and evaluate the Board of Directors and the General Director in implementing the resolutions of the General Meeting of Shareholders and report to the General Meeting of Shareholders the following contents:

- Examining and supervising the issuance of Resolutions and Decisions of the Board of Directors in accordance with the Company's Charter and the Resolution of the General Meeting of Shareholders in accordance with law.
- Participate in opinions and advise the Board of Directors, the Board of Directors, especially potential issues that are likely to affect and risk the Company's business activities.

Above is the report of the Supervisory Board on the performance of the Supervisory Board in 2025 and the plan for 2026. Respectfully submit to the General Meeting of Shareholders for consideration and approval.

Thank you!

TM. SUPERVISORY BOARD
HEAD



TRAN QUANG KHANH

REPORT OF THE BOARD OF DIRECTORS

To: General Meeting of Shareholders of Stanley Brothers Securities Joint Stock Company

The Board of Directors (BOD) reports to the General Meeting of Shareholders the results of business activities in 2025 and the plan for 2026 as follows:

I. BUSINESS RESULTS IN 2025

1. Business results in 2025

The Company's business results in 2025 are summarized as follows:

Criteria	Implementation 2024	Plan 2025	Implementation 2025	% change from 2024	% Plan Completion
Revenue	22.197.063.207	80.000.000.000	22.348.076.332	1%	28%
Profit after tax	(28.591.804.919)	15.000.000.000	3.305.562.800	112%	22%

Criteria	Year 2024	Year 2025	%Change
Asset Structure			
Short-term assets/total assets	0,95	0,96	0,67%
Long-term assets/total assets	0,05	0,04	(12,74%)
Capital Structure			
Liabilities/total assets	0,01	0,09	778,58%
Source of VCSH/total assets	0,99	0,91	(7,86%)
Profitability			
ROA	(10,60%)	1,12%	111%
ROE	(10,67%)	1,22%	111%
Average income per share (VND)	(843)	98	112%

The operation of some main business segments of the Company, specifically:

- **Brokerage business:** Revenue from securities brokerage operations in 2025 will reach VND 2.15 billion, down 29% over the same period in 2024. Revenue dropped sharply due to the market situation affecting the psychology of investors, causing the demand for services at the Company to drop sharply.

- **Investment Banking Activities:** The company develops a variety of advisory services for the existing customer system, and cooperates with potential customers. Revenue from investment banking activities (including: financial consulting, underwriting and issuance agents) in 2025 will reach VND 0.064 billion, down 82% over the same period in 2024.
- **Investment activities (Proprietary trading):** Revenue from the Company's securities proprietary trading segment reached VND 16.71 billion, up 90% over the same period in 2024.

2. About other activities

- The Company carried out digital transformation activities, upgraded software for individual bonds and prepared for the change of the Company's core system.
- Risk management and internal control activities are promoted and tightened to improve the efficiency of business operations, assess and overcome risks if any arise in the course of operation.
- The governance activities as prescribed for public companies are fully implemented and complied with by the Company.
- Implement internal training programs to improve professional capacity and work performance skills for employees.

II. 2026 OPERATIONAL PLAN

The business plan for 2026 is as follows:

TT	Criteria	Unit	Implementation in 2025	Plan for 2026
1	Revenue	VND	22.348.076.332	250.000.000.000
2	Profit after tax	VND	3.305.562.800	70.000.000.000

The Board of Directors promotes the main business activities of the Company:

- Develop preferential policies to attract customers; improve product quality; build more products suitable for target customers; search and development of customer network systems; optimize processes and apply technology in customer support management.
- Looking for safe investment opportunities, expanding the scale of investment.
- Improve management capacity, ensure safety and compliance during operation. Properly implement the Company's governance regulations in accordance with the law; transparency and disclosure of information to shareholders.

The above is a report on business activities in 2025 and a business plan for 2026, respectfully submitted to the General Meeting of Shareholders for consideration and approval.

Thank you!

TM. BOARD OF DIRECTORS
GENERAL DIRECTOR



NGUYEN TIEN DUNG

REPORT

ANNUAL GENERAL MEETING OF SHAREHOLDERS IN 2026

***on: Approval of the Audited Financial Statements and Audited Financial Safety Ratio
Report in 2025***

To: General Meeting of Shareholders of Stanley Brothers Securities Incorporation

- Pursuant to the Law on Enterprises No. 59/2020/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020;
- Pursuant to the Securities Law No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and guiding documents;
- Pursuant to the Charter of organization and operation of Stanley Brothers Securities Joint Stock Company.

The Board of Directors respectfully submits to the General Meeting of Shareholders for approval of the Financial Statements and the Financial Safety Ratio Report of the Company in 2025 which have been audited by AASC Auditing Firm Co., Ltd.

The full text of the audited financial statements and the audited financial safety ratio report have been disclosed in accordance with regulations, and publicly posted on the Company's website. Respectfully submit to the General Meeting of Shareholders for consideration and approval.

Recipient:

- Aforementioned;
- BoD, BoS, BoM;
- Kept Company.

**ON BEHALF OF THE BOARD OF DIRECTORS
CHAIRMAN OF THE BOARD**



HQ ICE VIET HUNG

REPORT

ANNUAL GENERAL MEETING OF SHAREHOLDERS IN 2026

on: Approval of the 2026 business plan

To: General Meeting of Shareholders of Stanley Brothers Securities Incorporation

- Pursuant to the Law on Enterprises No. 59/2020/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020;
- Pursuant to the Securities Law No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and guiding documents;
- Pursuant to the Charter of organization and operation of Stanley Brothers Securities Joint Stock Company.

Based on the situation of the securities market, business plan and orientation, the Board of Directors respectfully submits to the General Meeting of Shareholders for approval of the business plan for 2026 with the following main indicators:

	Implementation in 2025 (VND)	Plan for 2026 (VND)
Operating revenue	22.348.076.332	250.000.000.000
Profit after tax	3.305.562.800	70.000.000.000

Respectfully submit to the General Meeting of Shareholders for consideration and approval.

Recipient:

- Aforementioned;
- BoD, BoS, BoM;
- Kept company.

ON BEHALF OF THE BOARD OF DIRECTORS
CHAIRMAN OF THE BOARD



HQ LE VIET HUNG

No.: 05 /2026/TTr-BKS

Hanoi, ..16/4../2026

REPORT
ANNUAL GENERAL MEETING OF SHAREHOLDERS IN 2026

on: Approval of the audit firm for the Financial Statements,
Financial Safety Ratio Report in 2026

To: General Meeting of Shareholders of Stanley Brothers Securities Incorporation

- Pursuant to the Law on Enterprises No. 59/2020/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020;
- Pursuant to the Securities Law No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and guiding documents;
- Pursuant to the Charter of organization and operation of Stanley Brothers Securities Joint Stock Company.

The Supervisory Board of Stanley Brothers Securities Incorporation respectfully submits to the General Meeting of Shareholders for approval of the audit firm for the Company's financial statements and financial safety ratio report periodically and at year end 2026 as follows:

1. Criteria for selecting an audit firm:

- Being an audit firm approved by the State Securities Commission in accordance with current provisions of law;
- Experienced in auditing for large companies and corporations in the financial sector;
- Having a team of qualified and experienced auditors;
- Having a reputation for audit quality;
- Meet the company's requirements on the scope and progress of the audit;
- There is a reasonable audit fee, in accordance with the audit quality.

2. Propose:

On the basis of the criteria for selecting an auditing unit, the Supervisory Board respectfully submits to the General Meeting of Shareholders for consideration and approval: Authorizing the Board of Directors to decide on the selection of an audit firm which is one of the audit firms in the list of audit firms approved by the SSC for auditing companies with public interests in the securities sector in 2026. Assign the General Director to negotiate, decide on the audit fee and sign the audit contract with the selected audit firm.

Respectfully submit to the General Meeting of Shareholders for consideration and approval!

Recipient:

- Aforementioned;
- BoD, BoS, BoM;
- Kept Company.

ON BEHALF OF THE SUPERVISORY BOARD

Head of the Board


TRẦN QUANG KHANH

REPORT

ANNUAL GENERAL MEETING OF SHAREHOLDERS IN 2026

on: Approval of the profit distribution plan in 2025

To: General Meeting of Shareholders of Stanley Brothers Securities Incorporation

- Pursuant to the Law on Enterprises No. 59/2020/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020;
- Pursuant to the Securities Law No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and guiding documents;
- Pursuant to the Charter of organization and operation of Stanley Brothers Securities Joint Stock Company.

The Board of Directors respectfully submits to the General Meeting of Shareholders for approval of the profit distribution plan in 2025 as follows:

STT	Content	Amount (VND)
1	Profit after tax in 2025	3.305.562.800
2	Profit after tax for distribution	3.305.562.800
3	Setting up a reserve fund to supplement charter capital	-
4	Setting up a financial reserve fund and professional risks	-
5	Setting up a reward fund	-
6	Establishment of welfare fund	-
7	Dividend payment in 2025: None.	-
8	Retained profit after distribution: $(8) = (2) - (3) - (4) - (5) - (6) - (7)$	3.305.562.800

Respectfully submitted to the General Meeting of Shareholders for consideration and approval!

Recipient:

- Aforementioned;
- BoD, BoS, BoM;
- Kept Company.

ON BEHALF OF THE BOARD OF DIRECTORS

CHAIRMAN OF THE BOARD



HO LE VIET HUNG

REPORT

ANNUAL GENERAL MEETING OF SHAREHOLDERS IN 2026

on: Approval of the payment of remuneration of the Board of Directors, the Supervisory Board, the salary of the Company's managers in 2025 and the remuneration plan of the Board of Directors and the Supervisory Board in 2026

To: General Meeting of Shareholders of Stanley Brothers Securities Incorporation

- Pursuant to the Law on Enterprises No. 59/2020/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020;
- Pursuant to the Securities Law No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and guiding documents;
- Pursuant to the Charter of organization and operation of Stanley Brothers Securities Incorporation.

The Board of Directors respectfully submits to the General Meeting of Shareholders for approval the payment of remuneration of the Board of Directors, the Supervisory Board, the salary of the Company's managers in 2025 and the plan to pay remuneration to the Board of Directors and the Supervisory Board in 2026 as follows:

1. Remuneration paid to members of the Board of Directors, Supervisory Board and salaries of the Company's managers in 2025:

The Company has paid remuneration to members of the Board of Directors and Supervisory Board according to the remuneration plan approved by the 2025 Annual General Meeting of Shareholders, as follows:

No.	Title	Remuneration payment in 2025 (VND/month/person)
1	Chairman of the Board of Directors	5.000.000
2	Member of the Board of Directors	2.000.000
3	Head of the Supervisory Board	2.000.000
4	Members of the Supervisory Board	1.000.000

And advance remuneration for members of the Board of Directors and Supervisory Board according to Resolution No. 02C/2025/NQ-HDQT dated 14/10/2025, specifically:

Nh

Remuneration	Year 2025			Year 2026				Total
	October	November	December	January	Month 2	March	Month 4	
Board of Directors	44.000.000	84.700.000	83.587.000	85.813.000	84.700.000	84.700.000	84.700.000	552.200.000
Supervisory Board	8.100.000	28.700.000	28.658.000	28.742.000	28.700.000	28.700.000	28.700.000	180.300.000
Total	52.100.000	113.400.000	112.245.000	114.555.000	113.400.000	113.400.000	113.400.000	732.500.000

The total income (remuneration, allowances, salaries) of members of the Board of Directors, Supervisory Board, and General Director paid by the Company has been specifically presented in the 2025 Audited Financial Statements published on the Company's website.

2. Plan to pay remuneration to the Board of Directors and the Supervisory Board in 2026

STT	Title	Remuneration payment plan in 2026 (VND/month/person)
1	Chairman of the Board of Directors	50.000.000
2	Member of the Board of Directors	20.000.000
3	Head of the Supervisory Board	15.000.000
4	Member of the Supervisory Board	9.000.000

Applicable time: from 01/01/2026.

Respectfully submitted to the General Meeting of Shareholders for consideration and approval!

Recipient:

- Aforementioned;
- BoD, BoS, BoM;
- Kept Company.

ON BEHALF OF THE BOARD OF DIRECTORS
CHAIRMAN OF THE BOARD


HO LE VIET HUNG

No. *08*/2026/TTr-HDQT

Hanoi, *16/4*...2026

REPORT

on: Approval of the Company's investment limit and transaction limit in 2026

To: General Meeting of Shareholders of Stanley Brothers Securities Incorporation

- Pursuant to the Law on Enterprises No. 59/2020/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020;
- Pursuant to the Securities Law No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and guiding documents;
- Pursuant to the Charter of organization and operation of Stanley Brothers Securities Incorporation.

In order to take advantage of investment opportunities, business development, effective use of capital, and bring maximum benefits to the Company and shareholders, the Board of Directors respectfully submits to the General Meeting of Shareholders for approval of the investment plan and transaction limit as follows:

1. Investment limit (buy and sell according to the following limits and conditions):

- Investment in corporate bonds must not exceed 70% of equity, do not invest in corporate bonds where a bond breach event occurs (according to SBSI's assessment, it does not depend on whether the breach event has been declared or not).
- Invest no more than 20% of the total outstanding stocks and fund certificates of a listed organization.
- Invest no more than 15% of the total outstanding stocks and fund certificates of an unlisted organization.
- Investing or contributing capital of not more than 15% of the owner's equity to an organization or business project.
- Investing or contributing capital not exceeding 10% of the total contributed capital of a limited liability company or business project.
- Not more than 70% of the owner's equity shall be invested in stocks, contributed capital and business projects, of which no more than 20% of the owner's equity shall be invested in unlisted stocks, contributed capital and business projects.

2. Transaction limits, bank loans:

- Contracts for purchase, sale, savings, and other transaction contracts: the limit is equal to or greater than 80% or more of the total value of assets recorded in the Company's latest financial statements.
- Bank loan and transaction contracts: up to 5 times the equity recorded in the Company's latest financial statements as prescribed in Article 26 of Circular 121/2020/TT-BTC dated 31/12/2020 regulating the operation of securities companies.

- Decision on investment and sale of assets with a value equal to or greater than 80% or more of the total value of assets recorded in the Company's latest financial statements.

3. Conditions for the above transactions

- Securities and other investment items within the scope of the Company's normal business activities in accordance with the provisions of law;
- Transactions are carried out at market prices and ensure the interests of the parties;
- The security investment value complies with the provisions of Article 28 of Circular 121/2020/TT-BTC dated 31/12/2020 regulating the operation of securities companies;
- To disclose information in accordance with the law.

4. Estimated time:

In 2026, on the basis of the Company meeting the provisions of the law until another decision is made to replace it.

5. Authorization

- Authorize the Board of Directors based on the actual situation and business needs of the Company to decide and approve in detail each Contract/Transaction and/or delegate authority to the General Director to decide on the handling of transactions, signing, performing, adjusting, etc amending and supplementing conditions, terms and conditions and signing contracts/portfolio transactions , arising transactions related to the above-mentioned investment activities in accordance with the provisions of law.
- Authorize the General Director to sign documents, dossiers and papers to implement the above-mentioned transactions.
- The Board of Directors shall report on the situation of borrowing, using capital and investing in bonds at the annual General Meeting of Shareholders of the following year.

Respectfully submitted to the General Meeting of Shareholders for consideration and approval!

Recipient:

- *Aforementioned;*
- *BoD, BoS, BoM;*
- *Kept Company.*

ON BEHALF OF THE BOARD OF DIRECTORS

CHAIRMAN OF THE BOARD



No. 19 /2026/TTr-HDQT

Hanoi, ...16 /4 /...2026

REPORT

ANNUAL GENERAL MEETING OF SHAREHOLDERS IN 2026

on: Approval of transactions between the Company and related individuals

To: General Meeting of Shareholders of Stanley Brothers Securities Incorporation

- Pursuant to the Law on Enterprises No. 59/2020/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020;
- Pursuant to the Securities Law No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and guiding documents;
- Pursuant to the Charter of organization and operation of Stanley Brothers Securities Incorporation.

The Board of Directors respectfully submits to the General Meeting of Shareholders for approval of the transaction between the Company and related individuals as follows:

1. Report on the transactions between the Company and major shareholders and related individuals in 2025

Transactions between the Company and related individuals in 2025 have been fully disclosed by the Company in the Corporate Governance Report and the Audited Financial Statements.

2. Approval of transactions between the Company and organizations, major shareholders and related individuals in 2026:

In order to facilitate the business process, the 2026 Annual General Meeting of Shareholders approves the signing, execution of contracts, transactions with organizations, major shareholders and related individuals in 2026. The Annual General Meeting of Shareholders assigns the Board of Directors to implement and disclose information and other relevant necessary tasks in accordance with regulations. The Board of Directors is responsible for reporting the results of the implementation of the above contracts and transactions at the 2026 Annual General Meeting of Shareholders.

Respectfully submitted to the General Meeting of Shareholders for consideration and approval!

Recipient:

- Aforementioned;
- BoD, BoS, BoM;
- Kept Company.

**ON BEHALF OF BOARD OF DIRECTORS
CHAIRMAN OF THE BOARD**



HỒ LE VIET HUNG

STATEMENT

ANNUAL GENERAL MEETING OF SHAREHOLDERS IN 2026

Re: Approving the amendment and supplementation of the Charter, Regulation on Corporate Governance and Regulation on Organization and Operation of the Board of Directors

To: General Meeting of Shareholders of Stanley Brothers Securities Joint Stock Company

- Pursuant to the Law on Enterprises No. 59/2020/QH14 passed by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020;
- Pursuant to the Law on Securities No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and its guiding documents;
- Pursuant to the requirements of the management activities of Stanley Brothers Securities Joint Stock Company.

The Board of Directors respectfully submits to the General Meeting of Shareholders for approval the amendment and supplementation of the following documents:

1. Charter of the Company.

Reasons for amendment and supplementation: streamline the content and reduce the duplicate contents of the current Charter while still ensuring compliance with the provisions of the law.

2. Corporate Governance Regulations;

Reason for amendment and supplementation: adjust all content to conform to the new Charter of the Company, replacing the old one issued in 2022.

3. Regulation on organization and operation of the Board of Directors

Reason for amendment and supplementation: adjust all content to conform to the new Charter of the Company, replacing the old one issued in 2022.

The full text of the above documents has been disclosed in accordance with regulations, and at the same time posted on the Company's website.

Respectfully submit to the General Meeting of Shareholders for consideration and approval.

Recipients:

- As above;
- Board of Directors, Supervisory Board, Board of Directors;
- Save Company.

**ON BEHALF OF THE BOARD OF DIRECTORS
CHAIRMAN OF THE BOARD OF DIRECTORS**



HO LE VIET HUNG





SBSI

REGULATION CORPORATE GOVERNANCE

ISSUED: 01 – HANOI 2026

DOCUMENT INFORMATION

1	Text name	Corporate Governance Regulations		Notes	
2	Code				
3	Issuance Level	Board of Directors			
4	Approval (if any)	General Meeting of Shareholders	At the meeting on		
5	Signatories	Chairman of the Board of Directors			
6	Issue Time				
7	Date of Issue				
8	Effective Date				
9	Drafting unit – Drafter – Inspector	Lai Thanh Mai	Director of TVPL&TT	Signature:	
				Signature:	
	Appraisal unit – Appraiser	Vu Hoang Minh	Director of Investment Banking	Signature:	
	Appraisal unit – Appraiser			Signature:	
	Appraisal unit – Appraiser			Signature:	
	Appraisal unit – Appraiser			Signature:	
	Appraisal unit – Appraiser			Signature:	
11	Text Replacement		Issue No.:		

12	Summary of the reasons for promulgation	According to the content of the Report No. ¹			
13	Enclosed documents (if any)²	1. 2. 3.			

¹ Specify the number and date of the report

² List the accompanying documents (including the reserved opinions of the appraisal units)



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Hanoi, on 08/5/2026

REGULATION

CORPORATE GOVERNANCE

GENERAL DIRECTOR

- Pursuant to the Charter of Stanley Brothers Securities Joint Stock Company;
- Pursuant to SBSI's Business Registration Certificate No. 0305453780, amended for the 4th time, dated February 7, 2026;
- Pursuant to Resolution No. 01 dated 08/5/2026 of the 2026 Annual General Meeting of Shareholders

REGULATIONS:

Chương I

GENERAL REGULATIONS

Điều 1. Purpose of promulgation

This Regulation is promulgated to prescribe the organizational structure of personnel, governance principles, powers and obligations of the Board of Directors and members of the Board of Directors, the relationship between the Board of Directors and the General Director, and the Supervisory Board in order to comply with and operate in accordance with the provisions of the Law on Enterprises, the Law on Securities, the company's charter and other relevant provisions of law.

Điều 2. Subjects of application

This document applies to members of the Board of Directors, the Secretary of the Board of Directors, the Supervisory Board, the General Director and related units.

Điều 3. Reference Text¹

1. Law on Securities dated November 26, 2019;
2. Law on Enterprises dated June 17, 2020;
3. Decree No. 155/2020/ND-CP dated December 31, 2020 of the Government detailing the implementation of a number of articles of the Law on Securities;

¹ Including amending and supplementing documents and guiding documents for implementation

4. Circular No. 116/2020/TT-BTC dated December 31, 2020 of the Minister of Finance guiding a number of articles on corporate governance applicable to public companies in the Government's Decree No. 155/2020/ND-CP dated December 31, 2020 detailing the implementation of a number of articles of the Law on Securities.

Chương II

BOARD

Điều 4. Operating principles of the Board of Directors

1. The Board of Directors works on the principle of collectivity. Members of the Board of Directors are personally responsible for their work and jointly responsible to the General Meeting of Shareholders and the law for the resolutions and decisions of the Board of Directors for the development of the Company.
2. The Board of Directors shall assign responsibilities to the Director (General Director) to organize and administer the implementation of resolutions and decisions of the Board of Directors.

Điều 5. Competence of the Board of Directors

1. The Board of Directors is the managing body of the Company, which has the full right to decide on the implementation of the Company's rights and obligations on behalf of the Company that are not under the jurisdiction of the General Meeting of Shareholders. The Board of Directors is responsible for ensuring that the Company's operations comply with the provisions of the Law, the Charter and the Company's internal regulations, treat all shareholders equally and respect the interests of persons with interests related to the Company.
2. Duties and powers of the Board of Directors:
 - a) Decide on the Company's strategy, medium-term development plan and annual business plan;
 - b) Proposals on the types of shares and the total number of shares entitled to be offered for sale of each type;
 - c) To decide on the offering of new shares within the number of shares entitled to be offered for sale of each type; decide to mobilize additional capital in other forms;
 - d) Decide on the issuance of bonds and warrants that allow holders to purchase shares at predetermined prices;
 - e) Deciding on the offering price of the Company's shares and bonds;
 - f) The decision to redeem not more than ten percent (10%) of the total issued shares of each type in every twelve (12) months; decide on the share repurchase price. For

ordinary shares and other types of shares, the redemption price must not be higher than the market price at the time of repurchase, unless otherwise provided for by law;

- g) To decide on investment plans and investment projects within the competence and limits prescribed by the Law on Enterprises, the Law on Securities and the company's charter;
- h) Deciding on investments or transactions selling the Company's assets valued at ¹ less than 80%² of the total value of the Company's assets recorded in the latest financial statements. Within the scope of this power, the Board of Directors is delegated to the General Director or other competent authorities to a lesser extent as specified in writing.
- i) Deciding on solutions for market development, marketing and technology;
- j) Through purchase, sale, loan contracts and other contracts and transactions valued³ at less than 80% of the ⁴total value of assets recorded in the Company's latest financial statements, except for contracts and transactions under the decision-making competence of the General Meeting of Shareholders as prescribed at Point d, Clause 2, Article 138, Clauses 1 and 3, Article 167 of the Law on Enterprises; Within the scope of this power, the Board of Directors is delegated to the General Director or other competent authorities to a lesser extent as specified in writing.
- k) Election, dismissal and dismissal of the Chairman of the Board of Directors; appointing, dismissing, signing and terminating contracts for the General Director, Deputy General Directors, and the following titles: Finance Director, Chief Accountant, Internal Audit; to decide on the salary and other benefits of the above-mentioned titles; appoint authorized representatives to exercise the ownership of shares or contributed capital portions in other companies, decide on remuneration levels and other benefits of authorized representatives;
- l) Supervise and direct the Board of Directors in running the business on a daily basis;
- m) Appointment of the person in charge of corporate governance;
- n) To decide on the organizational structure, financial regulations, salary regulations and a number of other important internal regulations prescribed by the Board of Directors in each period, to decide on the establishment of subsidiaries, branches,

¹ Value is defined as the value per investment, each asset sold, not compounded or cumulative

² This number is customizable

³ Value is defined as the value per contract, per transaction, not aggregated or cumulative

⁴ It is necessary to stipulate a specific level for the Board of Directors because the law does not stipulate a maximum threshold



transaction offices, representative offices, capital contribution and purchase of shares of other enterprises within the limits prescribed by law and the company's charter;

- o) Approving programs and contents of documents for the General Meeting of Shareholders, convening the General Meeting of Shareholders or collecting opinions for the General Meeting of Shareholders to approve the decision;
- p) Submit annual financial settlement reports, reports on activities of the Board of Directors to the General Meeting of Shareholders;
- q) Proposing the dividend payment rate, deciding on the dividend payment deadline and procedures or handling losses arising in the course of business *after being approved by the Annual General Meeting of Shareholders*;
- r) Proposing the reorganization, dissolution or request for bankruptcy of the Company;
- s) Establish a standard process for convening meetings, voting and voting at meetings of the Board of Directors for approval by the General Meeting of Shareholders; order and procedures for nomination, candidacy, election, dismissal and dismissal of members of the Board of Directors; formulate regulations on the order and procedures for selection, appointment and dismissal of managers and the process and procedures for coordination of activities between the Board of Directors and the Control Board and the Board of General Directors; develop a mechanism for evaluating activities, rewarding and disciplining members of the Board of Directors, the Board of Directors and other managers;
- t) Set up departments or appoint people to perform internal audits and risk controls;
- u) Conflict resolution within the Company: Implement the prevention and resolution of conflicts that may arise between shareholders and the Company. The Board of Directors may appoint officers to implement the necessary systems or establish a dedicated department to resolve conflicts within the Company or serve this purpose;
- v) *Organize training and training on corporate governance and necessary skills for members of the Board of Directors, General Directors, Persons in charge of corporate governance and other managers of the company*;
- w) Decide on the selection of specific auditing firms (in the list of auditing firms approved by the Annual General Meeting of Shareholders) to serve the requirements of the audit work;
- x) Other duties and powers in accordance with current law.

Điều 6. Rights and obligations of members of the Board of Directors

1. Members of the Board of Directors have full rights in accordance with the provisions

of the Law on Securities, relevant laws and the company's charter, including the right to be provided with information and documents on the financial situation and business activities of the Company and of units in the Company.

2. In the course of performing their duties, members of the Board of Directors have the following rights and obligations:

a) Rights of members of the Board of Directors:

- Right to Information:

✓ Members of the Board of Directors have the right to request members of the Board of Directors and managers of the Company to provide information and documents on the financial situation and business activities of the Company and of units in the Company;

✓ Managers are required to provide timely, complete and accurate information and documents at the request of members of the Board of Directors.

- The right to receive remuneration and other benefits:

✓ Members of the Board of Directors (excluding authorized representatives) are entitled to remuneration for their work as members of the Board of Directors. The total remuneration for the Board of Directors shall be decided by the General Meeting of Shareholders. This remuneration shall be divided among the members of the Board of Directors as agreed upon in the Board of Directors or divided equally in case of failure to reach an agreement.

✓ The remuneration of members of the Board of Directors must be expressed as a separate item in the Company's Annual Financial Statements. A member of the Board of Directors holding an executive position or a member of the Board of Directors working on committees of the Board of Directors or performing other tasks which according to the Board of Directors is outside the scope of ordinary duties of a member of the Board of Directors, may be paid additional remuneration in the form of a lump-sum remuneration, salary, commission, percentage of profit or in other forms as decided by the Board of Directors.

✓ Members of the Board of Directors are entitled to be paid all travel, meals, accommodation and other reasonable expenses that they have incurred in the performance of their duties as members of the Board of Directors, including expenses incurred in attending meetings of the General Meeting of Shareholders. Board of Directors or committees of the Board of Directors.

- Other rights in accordance with current laws.

b) Obligations of members of the Board of Directors:

- Perform the assigned tasks and powers in accordance with the provisions of the Law on Enterprises, the Law on Securities, relevant laws, the Charter and decisions of the General Meeting of Shareholders;
 - Perform the assigned tasks and powers honestly and prudently to ensure the maximum legitimate interests of the Company and shareholders;
 - Loyal to the interests of the Company and shareholders; not using the Company's information, know-how, business opportunities, abusing the Company's position, position and assets for self-interest or serving the interests of other organizations and individuals;
 - Fully attend meetings of the Board of Directors and have a clear opinion on the issues discussed at the meeting;
 - To promptly, fully and accurately notify the Company of enterprises in which members of the Board of Directors and their related persons own or have shares or capital contributions.
 - Members of the Board of Directors are not allowed to increase their salaries or pay bonuses when the Company fails to fully pay due debts;
 - Promptly and fully report to the Board of Directors the remuneration received from subsidiaries, associated companies and other organizations;
 - Report to the Board of Directors at the nearest meeting of transactions between the Company, its subsidiaries, companies in which the Company controls more than 50% or more of the charter capital and members of the Board of Directors and related persons of such members; transactions between companies and companies in which members of the Board of Directors are founding members or managers of enterprises in the last 03 years before the time of transaction;
 - Perform other obligations as prescribed by law and the Charter;
3. An independent member of the Board of Directors of a listed company must make an evaluation report on the operation of the Board of Directors.

Điều 7. Right to information of members of the Board of Directors

1. Members of the Board of Directors have the right to request the Board of Directors and other managers in the Company to provide information and documents on the financial situation and business activities of the Company and units in the Company.
2. Managers are required to provide timely, complete and accurate information and

documents at the request of members of the Board of Directors. The order and procedures for requesting and providing information are prescribed by the company's charter.

Điều 8. Number, Composition and Tenure of Board Members

1. The number of members of the Board of Directors of the Company is 05 (five) members and not more than 11 members. The Board of Directors shall have at least 01 independent member of the Board of Directors in case the company has 05 members of the Board of Directors. The structure of the Board of Directors of the company must ensure that at least 01 member of the Board of Directors is a non-executive member in case the company has the number of members of the Board of Directors is 05 members. The Company minimizes the members of the Board of Directors who concurrently hold executive positions of the Company to ensure the independence of the Board of Directors.
2. The number of members of the Board of Directors permanently residing in Vietnam must be at least 02 persons. The structure of the Board of Directors must ensure a balance between members with knowledge and experience in law, finance and securities; ensure a balance between cum-executive members and non-executive members.
3. The term of office of a member of the Board of Directors shall not exceed 05 years and may be re-elected for an unlimited number of terms. An individual may only be elected as an independent member of the Board of Directors for no more than 02 (two) consecutive terms.
4. The Board of Directors is elected by the General Meeting of Shareholders on the principle of cumulative voting as prescribed. In case the number of candidates for the Board of Directors approves the nomination and the number of candidates is still insufficient, the remaining candidates shall be nominated by the incumbent Board of Directors. Candidates for the Board of Directors must satisfy the conditions specified in Article 35 of the Company's Charter. The introduction of additional candidates by the incumbent Board of Directors must be clearly announced before the General Meeting of Shareholders votes to elect members of the Board of Directors in accordance with law.
5. In case the term of office of the Board of Directors has expired but the General Meeting of Shareholders has not yet elected a new Board of Directors, the Board of Directors of the term of office that has just ended shall continue to operate until the new Board of Directors is elected and takes over the work.



6. The Board of Directors must set up divisions or appoint persons to perform risk management tasks as prescribed.

Điều 9. Criteria and conditions for being a member of the Board of Directors

1. Having full civil act capacity, not being prohibited from establishing and managing enterprises according to the provisions of the Law on Enterprises.
2. Being a person with professional qualifications and experience in business management or experience in the fields of securities, finance or banking.
3. Not being a General Director, member of the Board of Directors, member of the Board of Members of another securities company; must not concurrently be a member of the Board of Directors or the Board of Members of more than five (05) other companies.
4. At the beginning of the term, all members of the Board of Directors must fully meet the conditions required by the Law, the Governance Regulations, the Charter and the Company's internal regulations. During their term of office, if there is a change, the members must notify the Chairman of the Board of Directors. The criteria and conditions specified in this Article also apply to the members of the Board of Directors who are elected to supplement or replace them.
5. Other standards and conditions as prescribed by law
6. Procedures for candidacy and nomination of members of the Board of Directors:
 - 6.1. In case a candidate for the Board of Directors has been identified, the Company must disclose information related to the candidates at least 10 days before the opening date of the General Meeting of Shareholders on the Company's website so that shareholders can learn about these candidates before voting. Candidates for the Board of Directors must have a written commitment to the truthfulness and accuracy of personal information disclosed and must commit to perform their duties honestly, prudently and in the best interests of the Company if elected as a member of the Board of Directors. Information related to the Board candidate announced includes:
 - a) Full name, date of birth;
 - b) Professional qualifications;
 - c) Work process;
 - d) Other managerial titles (including the title of the Board of Directors of other companies);

- e) Interests related to the Company and its related parties;
 - f) Other information as prescribed in the company's Regulations;
 - g) Information about the companies in which the candidate is holding the position of member of the Board of Directors, other managerial positions and interests related to the company of the candidate of the Board of Directors (if any).
- 6.2. Shareholders or groups of shareholders owning 10% or more of the total ordinary shares have the right to nominate candidates for the Board of Directors in accordance with the provisions of the Law on Enterprises and the company's charter.
- 6.3. Members of the Board of Directors must meet the criteria and conditions specified in Clauses 1 and 2, Article 155 of the Law on Enterprises and the company's charter.

Điều 10. Independent, non-executive board member

1. A non-executive member of the Board of Directors is a member who does not hold any executive position in the Company, i.e. is not concurrently a member of the Board of Directors, chief accountant or other managerial officer appointed by the Board of Directors.
2. How to organize and coordinate the activities of independent members of the Board of Directors in accordance with the provisions of law
3. Conditions and criteria for independent members of the Board of Directors:
 - a. Not be a person who is working for the company, parent company or subsidiary of the Company; not being a person who has worked for the company, parent company or subsidiary of the Company for at least 03 consecutive years;
 - b. Not being a person who is receiving salaries or remunerations from the company, except for allowances that members of the Board of Directors are entitled to as prescribed;
 - c. Not being a person whose spouse, natural father, adoptive father, natural mother, adoptive mother, natural child, adopted child, brother, sister or sibling is a major shareholder; being a manager of the Company or its subsidiaries;
 - d. Not be a person who directly or indirectly owns at least 1% of the total voting shares of the Company;
 - e. Not being a person who has been a member of the Board of Directors or the Supervisory Board of the company for at least 05 consecutive years, except for the case of being appointed for 02 consecutive terms;

4. An independent member of the Board of Directors must notify the Board of Directors of his/her failure to fully meet the conditions specified in Clause 4 of this Article and of course no longer be an independent member of the Board of Directors from the date of failure to fully meet the conditions. The Board of Directors must notify the case in which the independent member of the Board of Directors no longer meets all the conditions at the nearest General Meeting of Shareholders or convene a meeting of the General Meeting of Shareholders to elect or replace such independent member of the Board of Directors within 06 months from the date of receipt of the notice of the sole member. set up relevant Managing Boards.

Điều 11. Chairman of the Board of Directors

1. The Chairman of the Board of Directors shall be elected, dismissed or dismissed from office by the Board of Directors from among the members of the Board of Directors. The Chairman of the Board of Directors may not concurrently hold the title of General Director.
2. The Chairman of the Board of Directors is the chairman of the General Meeting of Shareholders and meetings of the Board of Directors, and has other rights and responsibilities specified in the Law on Enterprises. The Vice Chairman shall have the same rights and obligations as the Chairman in cases authorized by the Chairman but only in cases where the Chairman has notified the Board of Directors that he or she is absent or must be absent due to force majeure reasons or inability to perform his/her duties. Where both the Chairman and the Provisional Vice Chairman are unable to perform their duties for some reason, the Board of Directors may appoint another of them to perform the duties of the Chairman on the principle of majority.
3. The Chairman of the Board of Directors shall be responsible for ensuring that the Board of Directors sends annual financial statements, reports on the company's operations, audit reports and inspection reports of the Board of Directors to shareholders at the General Meeting of Shareholders;
4. In case the Chairman of the Board of Directors resigns or is dismissed, the Board of Directors must elect a replacement within ten (10) days from the date of receipt of the letter of resignation or dismissal or dismissal.

Điều 12. Board Meetings and Meeting Minutes

1. The Board of Directors may meet periodically or irregularly. The Board of Directors must hold a meeting at least once a quarter (01) time.
2. In case the Board of Directors elects the Chairman for a new term, the first meeting to elect the Chairman and make other decisions under its competence must be held

within seven (07) working days from the end of the election of the Board of Directors for that term. This meeting is convened by the member with the highest number of votes. In case more than one member has the highest and equal number of votes, the members shall elect one (01) of them to convene a meeting of the Board of Directors on the principle of majority.

3. The Chairman of the Board of Directors must convene a meeting of the Board of Directors within seven (07) working days in the following cases:
 - a) Receive a proposal from the Supervisory Board or an independent member of the Board of Directors;
 - b) Receive a proposal from the General Director or at least five (05) other managers;
 - c) Receive proposals from at least two (02) members of the Board of Directors;
 - d) Other cases deemed necessary for the benefit of the company;

The meeting request must be made in writing, clearly stating the purposes and issues to be discussed and decided under the competence of the Board of Directors.

4. In case the Chairman of the Board of Directors fails to convene a meeting as requested in Clause 3, he or she shall be responsible for the damage caused to the Company and the requester has the right to replace the Chairman of the Board of Directors to convene a meeting of the Board of Directors.
5. The Chairman of the Board of Directors or the convener of the meeting of the Board of Directors must send a notice of invitation to the meeting to the members of the Board of Directors at least 03 working days before the date of the meeting. The notice of invitation to the meeting must specify the time and place of the meeting, the agenda, the issues discussed and decided, enclosed with the documents used at the meeting and the voting votes of the members. The notice of invitation to a meeting of the Board of Directors may be sent by invitation, telephone, fax, electronic means or other methods prescribed by the Chairman of the Board of Directors or the convener of the Board of Directors meeting and ensure that it reaches the contact address of each member of the Board of Directors registered at the Company.
6. Members of the Control Board and the General Director who are not members of the Board of Directors have the right to attend meetings of the Board of Directors and have the right to discuss but not vote.
7. A meeting of the Board of Directors shall be held when three-quarters (3/4) of the total number of members attend. In case the number of members attending the meeting is not enough as prescribed, it may be convened for the second time within



seven (07) days from the date of the first meeting. In this case, the meeting shall be conducted if more than half of the members of the Board of Directors attend the meeting.

8. Members of the Board of Directors are considered to attend and vote at the meeting in the following cases:
 - a) Attending and voting directly at the meeting;
 - b) Authorize another person to attend the meeting as prescribed in Clause 9 of this Article.
 - c) Attending and voting through online conferences or other similar forms;
 - d) Send voting ballots to the meeting by mail, fax, email;
 - e) Sending voting papers by other means decided by the Chairman of the Board of Directors or the convener of the Board of Directors meetings.

In case of sending votes to the meeting by mail, the votes must be contained in sealed envelopes and must be delivered to the Chairman of the Board of Directors at least one hour before the opening. Voting ballots are only open in the presence of all attendees.

The resolution of the Board of Directors shall be approved if it is approved by the majority of members attending the meeting; in case the number of votes is equal, the final decision shall belong to the side with the opinion of the Chairman of the Board of Directors.

9. Members must attend all meetings of the Board of Directors. Members may authorize others to attend meetings if approved by a majority of members of the Board of Directors
10. Meetings of the Board of Directors must be recorded and can be recorded, recorded and kept in other electronic forms. The minutes of the meeting must have full contents in accordance with the provisions of the Law on Enterprises.
11. The minutes of the meeting shall be made in Vietnamese and may be additionally made in a foreign language. Minutes made in Vietnamese and foreign languages are equally valid. In case there is a difference in contents, the contents in the Vietnamese minutes shall prevail. The chairperson and the person taking the minutes must take responsibility for the truthfulness and accuracy of the contents of the minutes of the meeting of the Board of Directors.

Điều 13. Dismissal, dismissal and addition of members of the Board of Directors

1. Cases of dismissal/dismissal of members of the Board of Directors:
 - a) Members of the Board of Directors no longer meet the criteria and conditions specified in Article 35 of the Company's Charter;
 - b) Members of the Board of Directors do not participate in activities of the Board of Directors for six (06) consecutive months, except for cases of force majeure;
 - c) Have a written notice of resignation sent to the head office for the Company and approved;
2. When deeming it necessary, the General Meeting of Shareholders shall decide to replace the members of the Board of Directors; dismissal or dismissal of members of the Board of Directors.
3. The Board of Directors must convene a meeting of the General Meeting of Shareholders to elect additional members of the Board of Directors in the following cases:
 - a) The number of members of the Board of Directors shall be reduced by more than one-third (1/3) compared to the number specified in the Charter. In this case, the Board of Directors must convene a meeting of the General Meeting of Shareholders within sixty (60) days from the date on which the number of members is reduced by more than one-third;
 - b) The number of independent members of the Board of Directors has been reduced, failing to ensure the ratio as prescribed;
 - c) Except for the cases specified at Points a and b of this Clause, the General Meeting of Shareholders shall elect a new member to replace the member of the Board of Directors who has been dismissed or dismissed at the nearest meeting.

Điều 14. Contracts and transactions of the Company with related persons

1. Contracts and transactions between the company and the following entities must be approved by the General Meeting of Shareholders or the Board of Directors:
 - a. Shareholders and authorized representatives of shareholders who own more than 10% of the total ordinary shares of the company and their related persons;
 - b. Members of the Board of Directors, the General Director and their related persons;
 - c. Enterprises that members of the Board of Directors, Controllers, Directors or General Directors and other managers of the company must declare in accordance with the provisions of Clause 2, Article 164 of the Law on Enterprises.



2. The Board of Directors approves contracts and transactions with related persons with a value of less than 35% of the total value of assets of the enterprise stated in the latest financial statements. In this case, the representative of the company signing the contract must notify the members of the Board of Directors and the Controller of the subjects related to such contract or transaction; and at the same time enclose the draft contract or the main contents of the transaction. The Board of Directors shall decide on the approval of the contract or transaction within 20 days from the date of receipt of the notice; Members with related interests do not have voting rights.
3. The General Meeting of Shareholders shall approve contracts and transactions other than those specified in Clause 2 of this Article and approve contracts, transactions of borrowing, lending or sale of assets with a value greater than 10% of the total value of assets of the enterprise stated in the latest financial statements between the company and shareholders owning 51% or more of the total shares voting rights or more or related persons of such shareholders. In this case, the representative of the company signing the contract must notify the Board of Directors and the Controller of the subjects related to such contract or transaction; at the same time, enclose the draft contract or notice of the main contents of the transaction. The Board of Directors submits a draft contract or explains the main contents of the transaction at the General Meeting of Shareholders or collects shareholders' opinions in writing. In this case, shareholders with related interests do not have voting rights; The contract or transaction is approved when the number of shareholders representing 65% of the total remaining votes approves.
4. Contracts and transactions are invalidated and handled in accordance with the provisions of law when they are signed or performed without being approved under the provisions of Clauses 2 and 3 of this Article, causing damage to the company; the contracting signatory, shareholders, members of the Board of Directors or the relevant General Director must jointly compensate for the damage incurred and refund to the company the profits earned from the performance of such contracts or transactions.

Điều 15. Responsibilities of the Board of Directors in convening an extraordinary General Meeting of Shareholders

1. The Board of Directors must convene an extraordinary General Meeting of Shareholders in the following cases:
 - a) The Board of Directors deems it necessary for the benefit of the Company;
 - b) The number of remaining members of the Board of Directors and the Control Board is less than the minimum number of members as prescribed by law;

- c) At the request of shareholders or groups of shareholders specified in Clause 2, Article 115 of the Law on Enterprises; the request for convening the General Meeting of Shareholders must be expressed in writing, clearly stating the reason and purpose of the meeting, with sufficient signatures of relevant shareholders or a written request made in many copies and sufficiently collected signatures of relevant shareholders;
- d) The Supervisory Board requested to convene a meeting.
- e) Other cases in accordance with current laws.

2. Time to convene the Extraordinary General Meeting of Shareholders

- a) The Board of Directors must convene a meeting of the General Meeting of Shareholders within sixty (60) days from the date on which the remaining members of the Board of Directors as prescribed at Point c, Clause 3 of this Article or receipt of the request specified at Points d and e, Clause 3 of this Article.
- b) In case the Board of Directors fails to convene the General Meeting of Shareholders as prescribed at Point a, Clause 4 of this Article, within the next thirty (30) days, the Supervisory Board must replace the Board of Directors to convene the General Meeting of Shareholders in accordance with the Law on Enterprises and the Company's Charter.
- c) In case the Supervisory Board fails to convene a meeting of the General Meeting of Shareholders as prescribed at Point b, Clause 4 of this Article, the shareholders or groups of shareholders who have the request specified at Point d, Clause 3 of this Article may represent the Company to convene the General Meeting of Shareholders in accordance with the provisions of the Law on Enterprises and the Company's Charter.

In this case, the shareholder or group of shareholders convening the General Meeting of Shareholders may request the Business Registration Authority to supervise the order and procedures for convening, conducting meetings and making decisions of the General Meeting of Shareholders. All costs for convening and conducting the General Meeting of Shareholders will be reimbursed by the company. This cost does not include expenses spent by shareholders when attending the General Meeting of Shareholders, including accommodation and travel expenses.

- d) Procedures for organizing a meeting of the General Meeting of Shareholders as prescribed in Clause 5, Article 140 of the Law on Enterprises

Điều 16. Board Assisting Committees

- 1. The Board of Directors may establish subordinate committees to be in charge of

development policies, human resources, technology, compensation, internal audit, risk management, etc. The number of members of the committee decided by the Board of Directors shall be at least 01 member of the Board of Directors participating and external members. The activities of the Committee must comply with the regulations of the Board of Directors. The Committee's resolution takes effect only when it is attended by a majority of members and voted to approve it at the committee's meeting.

2. The implementation of decisions of the Board of Directors or of Committees affiliated to the Board of Directors must comply with current legal provisions and the provisions of the company's charter and internal regulations on corporate governance.

Chương III

BOARD OF DIRECTORS MEETINGS

Điều 17. Board Meetings and Meeting Minutes

1. The Board of Directors may meet periodically or irregularly. The Board of Directors must hold a meeting at least once a quarter (01) time.
2. In case the Board of Directors elects the Chairman for a new term, the first meeting to elect the Chairman and make other decisions under its competence must be held within seven (07) working days from the end of the election of the Board of Directors for that term. This meeting is convened by the member with the highest number of votes. In case more than one member has the highest and equal number of votes, the members shall elect one (01) of them to convene a meeting of the Board of Directors on the principle of majority.
3. The Chairman of the Board of Directors must convene a meeting of the Board of Directors within seven (07) working days in the following cases:
 - a) Receive a proposal from the Supervisory Board or an independent member of the Board of Directors;
 - b) Receive a proposal from the General Director or at least five (05) other managers;
 - c) Receive proposals from at least two (02) members of the Board of Directors;
 - d) Other cases deemed necessary for the benefit of the company;

The meeting request must be made in writing, clearly stating the purposes and issues to be discussed and decided under the competence of the Board of Directors.

4. In case the Chairman of the Board of Directors fails to convene a meeting as requested in Clause 3, he or she shall be responsible for the damage caused to the Company and the requester has the right to replace the Chairman of the Board of Directors to convene a meeting of the Board of Directors.
5. The Chairman of the Board of Directors or the convener of the meeting of the Board of Directors must send a notice of invitation to the meeting to the members of the Board of Directors at least 03 working days before the date of the meeting. The notice of invitation to the meeting must specify the time and place of the meeting, the agenda, the issues discussed and decided, enclosed with the documents used at the meeting and the voting votes of the members. The notice of invitation to a meeting of the Board of Directors may be sent by invitation, telephone, fax, electronic means or other methods prescribed by the Chairman of the Board of Directors or the convener of the Board of Directors meeting and ensure that it reaches the contact address of each member of the Board of Directors registered at the Company.
6. Members of the Control Board and the General Director who are not members of the Board of Directors have the right to attend meetings of the Board of Directors and have the right to discuss but not vote.
7. A meeting of the Board of Directors shall be held when three-quarters (3/4) of the total number of members attend. In case the number of members attending the meeting is not enough as prescribed, it may be convened for the second time within seven (07) days from the date of the first meeting. In this case, the meeting shall be conducted if more than half of the members of the Board of Directors attend the meeting.
8. Members of the Board of Directors are considered to attend and vote at the meeting in the following cases:
 - a) Attending and voting directly at the meeting;
 - b) Authorize another person to attend the meeting as prescribed in Clause 9 of this Article.
 - c) Attending and voting through online conferences or other similar forms;
 - d) Send voting ballots to the meeting by mail, fax, email;
 - e) Sending voting papers by other means decided by the Chairman of the Board of Directors or the convener of the Board of Directors meetings.

In case of sending votes to the meeting by mail, the votes must be contained in sealed envelopes and must be delivered to the Chairman of the Board of Directors at least

one hour before the opening. Voting ballots are only open in the presence of all attendees.

The resolution of the Board of Directors shall be approved if it is approved by the majority of members attending the meeting; in case the number of votes is equal, the final decision shall belong to the side with the opinion of the Chairman of the Board of Directors.

9. Members must attend all meetings of the Board of Directors. Members may authorize others to attend meetings if approved by a majority of members of the Board of Directors
10. Meetings of the Board of Directors must be recorded and can be recorded, recorded and kept in other electronic forms. The minutes of the meeting must have full contents in accordance with the provisions of the Law on Enterprises.
11. The minutes of the meeting shall be made in Vietnamese and may be additionally made in a foreign language. Minutes made in Vietnamese and foreign languages are equally valid. In case there is a difference in contents, the contents in the Vietnamese minutes shall prevail. The chairperson and the person taking the minutes must take responsibility for the truthfulness and accuracy of the contents of the minutes of the meeting of the Board of Directors.

Chương IV

REPORTING AND PUBLICIZING BENEFITS

Điều 18. Annual Report Submission

1. At the end of the fiscal year, the Board of Directors must submit the following report to the General Meeting of Shareholders:
 - a) Report on the Company's business results;
 - b) Financial statements;
 - c) Report on the evaluation of the management and administration of the Company;
 - d) Appraisal report of the Supervisory Board.
2. The report specified at Points a, b and c, Clause 1 of this Article must be sent to the Control Board for appraisal at least 30 days before the opening date of the Annual General Meeting of Shareholders if the company's charter does not provide otherwise.
3. The report specified in Clauses 1 and 2 of this Article, the appraisal report of the Supervisory Board and the audit report must be kept at the head office of the

Company at least 10 days before the opening date of the Annual General Meeting of Shareholders if the company's Charter does not prescribe another longer time limit. Shareholders who own shares of the Company for at least 01 consecutive year have the right to directly review the report specified in this Article by themselves or together with lawyers, accountants and auditors with practicing certificates.

Điều 19. Disclosure of related benefits

In case the company's charter does not contain other stricter provisions, the disclosure of the company's interests and related persons shall comply with the following provisions:

1. A member of the Board of Directors of the Company must declare to the company his or her related interests, including:
 - a) Name, enterprise code, address of the head office, business lines of the enterprise in which they own contributed capital or shares; the percentage and time of ownership of such contributed capital or shares;
 - b) Name, enterprise code, address of the head office, business lines of the enterprise in which their related persons jointly own or separately own the contributed capital or shares of more than 10% of the charter capital.
2. The declaration specified in Clause 1 of this Article must be made within 07 working days from the date on which related benefits arise; the amendment and supplementation must be notified to the Company within 07 working days from the date of the corresponding amendment and supplement.
3. Members of the Board of Directors who perform work in any form within the scope of the Company's business must explain the nature and content of such work to the Board of Directors and shall only be performed when approved by the majority of the remaining members of the Board of Directors; if it is carried out without declaration or approval of the Board of Directors, all income obtained from such activity belongs to the Company.

Chương V

RELATIONSHIP OF THE BOARD OF DIRECTORS

Điều 20. Relationship between Board Members

1. The relationship between members of the Board of Directors is a coordination relationship, the members of the Board of Directors are responsible for informing each other about relevant issues in the process of handling the assigned work.

2. In the course of handling work, the member of the Board of Directors assigned to be in charge of the main responsibility must take the initiative in coordinating in handling, if there is a problem related to the field in charge of another member of the Board of Directors. In case there are still different opinions among the members of the Board of Directors, the members shall have the main responsibility to report to the Chairman of the Board of Directors for consideration and decision according to their competence or organize meetings or collect opinions of members of the Board of Directors in accordance with law. The company's charter and this Regulation.
3. In case of reassignment between members of the Board of Directors, the members of the Board of Directors must hand over relevant work, dossiers and documents. This handover must be made in writing and reported to the Chairman of the Board of Directors on such handover.

Điều 21. Relationship with the Board of Directors

With the role of management, the Board of Directors issues resolutions for the General Director and the executive apparatus to implement. At the same time, the Board of Directors inspects and supervises the implementation of the resolutions.

Điều 22. Relationship with the Supervisory Board or Audit Committee

1. The relationship between the Board of Directors and the Supervisory Board or the Audit Committee is a coordinated relationship. The working relationship between the Board of Directors and the Supervisory Board or the Audit Committee is on the principle of equality and independence, and at the same time closely coordinates and supports each other in the process of performing tasks.
2. Upon receipt of inspection records or general reports of the Control Board or the Audit Committee, the Board of Directors shall study and direct relevant departments to formulate plans and implement corrections in a timely manner.

Chapter IV

IMPLEMENTATION ORGANIZATION

Điều 23. Responsibility for document quality control

1. The drafting/managing unit of this document is responsible for periodically or irregularly assessing the quality of the document according to the Company's regulations in order to amend, supplement or replace the contents that are no longer in accordance with the law and/or cause difficulties and disadvantages to the operation of MSB.
2. When any contents in this document are contrary to the provisions of law, the drafting unit is responsible for coordinating with the Legal Consultancy Division to

assess, analyze the impact and submit it to the level for promulgation for timely handling.

Điều 24. Implementation provisions

1. This Regulation takes effect from the date of signing and replaces the Internal Regulation on corporate governance dated 07-03-2023 of the Board of Directors.
2. The amendment and supplementation of this Regulation shall be decided by the Board of Directors.
3. Matters not mentioned in this Regulation shall be carried out in accordance with the relevant provisions of the Law and other regulations of the Company.
4. Leaders of the units mentioned in Article 2 and other relevant units and individuals shall have to implement this Regulation.

Recipients:

- MEMBERS OF THE BOARD OF DIRECTORS, SUPERVISORY BOARD;
- General Directors, Deputy Directors;
- Allcontacts;
- Save: VT.

**TM. BOARD
CHAIRMAN**



CHỦ TỊCH HĐQT
Hồ Lê Việt Hùng







SBSI

REGULATION ORGANIZATION AND OPERATION OF THE BOARD OF DIRECTORS

ISSUED: 01 – HANOI 2026

DOCUMENT INFORMATION

1	Text name	lations on Organization & Operation of the Board Directors C		Notes	
2	Code				
3	Issuance Level	Board of Directors			
4	Approval (if any)	General Meeting of Shareholders	At the meeting on		
5	Signatories	Chairman of the Board of Directors			
6	Issue Time				
7	Date of Issue				
8	Effective Date				
9	Drafting unit – Drafter – Inspector	Lai Thanh Mai	Director of TVPL&TT	Signature: 	
				Signature:	
	Appraisal unit – Appraiser	Vu Hoang Minh	Director of Investment Banking	Signature: 	
	Appraisal unit – Appraiser			Signature:	
	Appraisal unit – Appraiser			Signature:	
	Appraisal unit – Appraiser			Signature:	
	Appraisal unit – Appraiser			Signature:	
11	Text Replacement		Issue No.:		

12	Summary of the reasons for promulgation	According to the content of the Report No. ¹			
13	Enclosed documents (if any)²	1. 2. 3.			

¹ Specify the number and date of the report

² List the accompanying documents (including the reserved opinions of the appraisal units)

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Hanoi, 8/5/2026

REGULATION

ORGANIZATION AND OPERATION OF THE BOARD OF DIRECTORS

GENERAL DIRECTOR

- *Pursuant to the Charter of Stanley Brothers Securities Joint Stock Company;*
- *Pursuant to SBSI's Business Registration Certificate No. 0305453780, amended for the 4th time, dated February 7, 2026;*
- *Pursuant to Resolution No. 01 dated May 8, 2026 of the 2026 Annual General Meeting of Shareholders*

REGULATIONS:

Chương I

GENERAL REGULATIONS

Điều 1. Purpose of promulgation

This Regulation is promulgated to provide for the organization and operation of the Board of Directors in order to ensure its operation in accordance with the provisions of the Law on Enterprises, the Law on Securities, the company's charter and other relevant provisions of law.

Điều 2. Subjects of application

This document applies to members of the Board of Directors, the Secretary of the Board of Directors and related units.

Điều 3. Reference Text¹

1. Law on Securities dated November 26, 2019;
2. Law on Enterprises dated June 17, 2020;
3. Decree No. 155/2020/ND-CP dated December 31, 2020 of the Government detailing the implementation of a number of articles of the Law on Securities;
4. Circular No. 116/2020/TT-BTC dated December 31, 2020 of the Minister of Finance guiding a number of articles on corporate governance applicable to public companies

¹ Including amending and supplementing documents and guiding documents for implementation

in the Government's Decree No. 155/2020/ND-CP dated December 31, 2020 detailing the implementation of a number of articles of the Law on Securities.

Chương II

BOARD

Điều 4. Operating principles of the Board of Directors

1. The Board of Directors works on the principle of collectivity. Members of the Board of Directors are personally responsible for their work and jointly responsible to the General Meeting of Shareholders and the law for the resolutions and decisions of the Board of Directors for the development of the Company.
2. The Board of Directors shall assign responsibilities to the Director (General Director) to organize and administer the implementation of resolutions and decisions of the Board of Directors.

Điều 5. Competence of the Board of Directors

1. The Board of Directors is the managing body of the Company, which has the full right to decide on the implementation of the Company's rights and obligations on behalf of the Company that are not under the jurisdiction of the General Meeting of Shareholders. The Board of Directors is responsible for ensuring that the Company's operations comply with the provisions of the Law, the Charter and the Company's internal regulations, treat all shareholders equally and respect the interests of persons with interests related to the Company.
2. Duties and powers of the Board of Directors:
 - a) Decide on the Company's strategy, medium-term development plan and annual business plan;
 - b) Proposals on the types of shares and the total number of shares entitled to be offered for sale of each type;
 - c) To decide on the offering of new shares within the number of shares entitled to be offered for sale of each type; decide to mobilize additional capital in other forms;
 - d) Decide on the issuance of bonds and warrants that allow holders to purchase shares at predetermined prices;
 - e) Deciding on the offering price of the Company's shares and bonds;
 - f) The decision to redeem not more than ten percent (10%) of the total issued shares of each type in every twelve (12) months; decide on the share repurchase price. For

- ordinary shares and other types of shares, the redemption price must not be higher than the market price at the time of repurchase, unless otherwise provided for by law;
- g) To decide on investment plans and investment projects within the competence and limits prescribed by the Law on Enterprises, the Law on Securities and the company's charter;
 - h) Deciding on investments or transactions selling the Company's assets valued at ¹ less than 80%² of the total value of the Company's assets recorded in the latest financial statements. Within the scope of this power, the Board of Directors is delegated to the General Director or other competent authorities to a lesser extent as specified in writing.
 - i) Deciding on solutions for market development, marketing and technology;
 - j) Through purchase, sale, loan contracts and other contracts and transactions valued³ at less than 80% of the ⁴total value of assets recorded in the Company's latest financial statements, except for contracts and transactions under the decision-making competence of the General Meeting of Shareholders as prescribed at Point d, Clause 2, Article 138, Clauses 1 and 3, Article 167 of the Law on Enterprises; Within the scope of this power, the Board of Directors is delegated to the General Director or other competent authorities to a lesser extent as specified in writing.
 - k) Election, dismissal and dismissal of the Chairman of the Board of Directors; appointing, dismissing, signing and terminating contracts for the General Director, Deputy General Directors, and the following titles: Finance Director, Chief Accountant, Internal Audit; to decide on the salary and other benefits of the above-mentioned titles; appoint authorized representatives to exercise the ownership of shares or contributed capital portions in other companies, decide on remuneration levels and other benefits of authorized representatives;
 - l) Supervise and direct the Board of Directors in running the business on a daily basis;
 - m) Appointment of the person in charge of corporate governance;
 - n) To decide on the organizational structure, financial regulations, salary regulations and a number of other important internal regulations prescribed by the Board of Directors in each period, to decide on the establishment of subsidiaries, branches,

¹ Value is defined as the value per investment, each asset sold, not compounded or cumulative

² This number is customizable

³ Value is defined as the value per contract, per transaction, not aggregated or cumulative

⁴ It is necessary to stipulate a specific level for the Board of Directors because the law does not stipulate a maximum threshold

- transaction offices, representative offices, capital contribution and purchase of shares of other enterprises within the limits prescribed by law and the company's charter;
- o) Approving programs and contents of documents for the General Meeting of Shareholders, convening the General Meeting of Shareholders or collecting opinions for the General Meeting of Shareholders to approve the decision;
 - p) Submit annual financial settlement reports, reports on activities of the Board of Directors to the General Meeting of Shareholders;
 - q) Proposing the dividend payment rate, deciding on the dividend payment deadline and procedures or handling losses arising in the course of business *after being approved by the Annual General Meeting of Shareholders*;
 - r) Proposing the reorganization, dissolution or request for bankruptcy of the Company;
 - s) Establish a standard process for convening meetings, voting and voting at meetings of the Board of Directors for approval by the General Meeting of Shareholders; order and procedures for nomination, candidacy, election, dismissal and dismissal of members of the Board of Directors; formulate regulations on the order and procedures for selection, appointment and dismissal of managers and the process and procedures for coordination of activities between the Board of Directors and the Control Board and the Board of General Directors; develop a mechanism for evaluating activities, rewarding and disciplining members of the Board of Directors, the Board of Directors and other managers;
 - t) Set up departments or appoint people to perform internal audits and risk controls;
 - u) Conflict resolution within the Company: Implement the prevention and resolution of conflicts that may arise between shareholders and the Company. The Board of Directors may appoint officers to implement the necessary systems or establish a dedicated department to resolve conflicts within the Company or serve this purpose;
 - v) *Organize training and training on corporate governance and necessary skills for members of the Board of Directors, General Directors, Persons in charge of corporate governance and other managers of the company*;
 - w) Decide on the selection of specific auditing firms (in the list of auditing firms approved by the Annual General Meeting of Shareholders) to serve the requirements of the audit work;
 - x) Other duties and powers in accordance with current law.

Điều 6. Rights and obligations of members of the Board of Directors

1. Members of the Board of Directors have full rights in accordance with the provisions

of the Law on Securities, relevant laws and the company's charter, including the right to be provided with information and documents on the financial situation and business activities of the Company and of units in the Company.

2. In the course of performing their duties, members of the Board of Directors have the following rights and obligations:

a) Rights of members of the Board of Directors:

- Right to Information:

✓ Members of the Board of Directors have the right to request members of the Board of Directors and managers of the Company to provide information and documents on the financial situation and business activities of the Company and of units in the Company;

✓ Managers are required to provide timely, complete and accurate information and documents at the request of members of the Board of Directors.

- The right to receive remuneration and other benefits:

✓ Members of the Board of Directors (excluding authorized representatives) are entitled to remuneration for their work as members of the Board of Directors. The total remuneration for the Board of Directors shall be decided by the General Meeting of Shareholders. This remuneration shall be divided among the members of the Board of Directors as agreed upon in the Board of Directors or divided equally in case of failure to reach an agreement.

✓ The remuneration of members of the Board of Directors must be expressed as a separate item in the Company's Annual Financial Statements. A member of the Board of Directors holding an executive position or a member of the Board of Directors working on committees of the Board of Directors or performing other tasks which according to the Board of Directors is outside the scope of ordinary duties of a member of the Board of Directors, may be paid additional remuneration in the form of a lump-sum remuneration, salary, commission, percentage of profit or in other forms as decided by the Board of Directors.

✓ Members of the Board of Directors are entitled to be paid all travel, meals, accommodation and other reasonable expenses that they have incurred in the performance of their duties as members of the Board of Directors, including expenses incurred in attending meetings of the General Meeting of Shareholders. Board of Directors or committees of the Board of Directors.

- Other rights in accordance with current laws.

b) Obligations of members of the Board of Directors:

- Perform the assigned tasks and powers in accordance with the provisions of the Law on Enterprises, the Law on Securities, relevant laws, the Charter and decisions of the General Meeting of Shareholders;
 - Perform the assigned tasks and powers honestly and prudently to ensure the maximum legitimate interests of the Company and shareholders;
 - Loyal to the interests of the Company and shareholders; not using the Company's information, know-how, business opportunities, abusing the Company's position, position and assets for self-interest or serving the interests of other organizations and individuals;
 - Fully attend meetings of the Board of Directors and have a clear opinion on the issues discussed at the meeting;
 - To promptly, fully and accurately notify the Company of enterprises in which members of the Board of Directors and their related persons own or have shares or capital contributions.
 - Members of the Board of Directors are not allowed to increase their salaries or pay bonuses when the Company fails to fully pay due debts;
 - Promptly and fully report to the Board of Directors the remuneration received from subsidiaries, associated companies and other organizations;
 - Report to the Board of Directors at the nearest meeting of transactions between the Company, its subsidiaries, companies in which the Company controls more than 50% or more of the charter capital and members of the Board of Directors and related persons of such members; transactions between companies and companies in which members of the Board of Directors are founding members or managers of enterprises in the last 03 years before the time of transaction;
 - Perform other obligations as prescribed by law and the Charter;
3. An independent member of the Board of Directors of a listed company must make an evaluation report on the operation of the Board of Directors.

Điều 7. Right to information of members of the Board of Directors

1. Members of the Board of Directors have the right to request the Board of Directors and other managers in the Company to provide information and documents on the financial situation and business activities of the Company and units in the Company.
2. Managers are required to provide timely, complete and accurate information and

documents at the request of members of the Board of Directors. The order and procedures for requesting and providing information are prescribed by the company's charter.

Điều 8. Number, Composition and Tenure of Board Members

1. The number of members of the Board of Directors of the Company is 05 (five) members and not more than 11 members. The Board of Directors shall have at least 01 independent member of the Board of Directors in case the company has 05 members of the Board of Directors. The structure of the Board of Directors of the company must ensure that at least 01 member of the Board of Directors is a non-executive member in case the company has the number of members of the Board of Directors is 05 members. The Company minimizes the members of the Board of Directors who concurrently hold executive positions of the Company to ensure the independence of the Board of Directors.
2. The number of members of the Board of Directors permanently residing in Vietnam must be at least 02 persons. The structure of the Board of Directors must ensure a balance between members with knowledge and experience in law, finance and securities; ensure a balance between cum-executive members and non-executive members.
3. The term of office of a member of the Board of Directors shall not exceed 05 years and may be re-elected for an unlimited number of terms. An individual may only be elected as an independent member of the Board of Directors for no more than 02 (two) consecutive terms.
4. The Board of Directors is elected by the General Meeting of Shareholders on the principle of cumulative voting as prescribed. In case the number of candidates for the Board of Directors approves the nomination and the number of candidates is still insufficient, the remaining candidates shall be nominated by the incumbent Board of Directors. Candidates for the Board of Directors must satisfy the conditions specified in Article 35 of the Company's Charter. The introduction of additional candidates by the incumbent Board of Directors must be clearly announced before the General Meeting of Shareholders votes to elect members of the Board of Directors in accordance with law.
5. In case the term of office of the Board of Directors has expired but the General Meeting of Shareholders has not yet elected a new Board of Directors, the Board of Directors of the term of office that has just ended shall continue to operate until the new Board of Directors is elected and takes over the work.



6. The Board of Directors must set up divisions or appoint persons to perform risk management tasks as prescribed.

Điều 9. Criteria and conditions for being a member of the Board of Directors

1. Having full civil act capacity, not being prohibited from establishing and managing enterprises according to the provisions of the Law on Enterprises.
2. Being a person with professional qualifications and experience in business management or experience in the fields of securities, finance or banking.
3. Not being a General Director, member of the Board of Directors, member of the Board of Members of another securities company; must not concurrently be a member of the Board of Directors or the Board of Members of more than five (05) other companies.
4. At the beginning of the term, all members of the Board of Directors must fully meet the conditions required by the Law, the Governance Regulations, the Charter and the Company's internal regulations. During their term of office, if there is a change, the members must notify the Chairman of the Board of Directors. The criteria and conditions specified in this Article also apply to the members of the Board of Directors who are elected to supplement or replace them.
5. Other standards and conditions as prescribed by law
6. Procedures for candidacy and nomination of members of the Board of Directors:
 - 6.1. In case a candidate for the Board of Directors has been identified, the Company must disclose information related to the candidates at least 10 days before the opening date of the General Meeting of Shareholders on the Company's website so that shareholders can learn about these candidates before voting. Candidates for the Board of Directors must have a written commitment to the truthfulness and accuracy of personal information disclosed and must commit to perform their duties honestly, prudently and in the best interests of the Company if elected as a member of the Board of Directors. Information related to the Board candidate announced includes:
 - a) Full name, date of birth;
 - b) Professional qualifications;
 - c) Work process;
 - d) Other managerial titles (including the title of the Board of Directors of other companies);

- e) Interests related to the Company and its related parties;
 - f) Other information as prescribed in the company's Regulations;
 - g) Information about the companies in which the candidate is holding the position of member of the Board of Directors, other managerial positions and interests related to the company of the candidate of the Board of Directors (if any).
- 6.2. Shareholders or groups of shareholders owning 10% or more of the total ordinary shares have the right to nominate candidates for the Board of Directors in accordance with the provisions of the Law on Enterprises and the company's charter.
- 6.3. Members of the Board of Directors must meet the criteria and conditions specified in Clauses 1 and 2, Article 155 of the Law on Enterprises and the company's charter.

Điều 10. Independent, non-executive board member

1. A non-executive member of the Board of Directors is a member who does not hold any executive position in the Company, i.e. is not concurrently a member of the Board of Directors, chief accountant or other managerial officer appointed by the Board of Directors.
2. How to organize and coordinate the activities of independent members of the Board of Directors in accordance with the provisions of law
3. Conditions and criteria for independent members of the Board of Directors:
 - a) Not be a person who is working for the company, parent company or subsidiary of the Company; not being a person who has worked for the company, parent company or subsidiary of the Company for at least 03 consecutive years;
 - b) Not being a person who is receiving salaries or remunerations from the company, except for allowances that members of the Board of Directors are entitled to as prescribed;
 - c) Not being a person whose spouse, natural father, adoptive father, natural mother, adoptive mother, natural child, adopted child, brother, sister or sibling is a major shareholder; being a manager of the Company or its subsidiaries;
 - d) Not be a person who directly or indirectly owns at least 1% of the total voting shares of the Company;
 - e) Not being a person who has been a member of the Board of Directors or the Supervisory Board of the company for at least 05 consecutive years, except for the case of being appointed for 02 consecutive terms;

- f) An independent member of the Board of Directors must notify the Board of Directors of his/her failure to fully meet the conditions specified in Clause 4 of this Article and of course no longer be an independent member of the Board of Directors from the date of failure to fully meet the conditions. The Board of Directors must notify the case in which the independent member of the Board of Directors no longer meets all the conditions at the nearest General Meeting of Shareholders or convene a meeting of the General Meeting of Shareholders to elect or replace such independent member of the Board of Directors within 06 months from the date of receipt of the notice of the sole member. set up relevant Managing Boards.

Điều 11. Chairman of the Board of Directors

1. The Chairman of the Board of Directors shall be elected, dismissed or dismissed from office by the Board of Directors from among the members of the Board of Directors. The Chairman of the Board of Directors may not concurrently hold the title of General Director.
2. The Chairman of the Board of Directors is the chairman of the General Meeting of Shareholders and meetings of the Board of Directors, and has other rights and responsibilities specified in the Law on Enterprises. The Vice Chairman shall have the same rights and obligations as the Chairman in cases authorized by the Chairman but only in cases where the Chairman has notified the Board of Directors that he or she is absent or must be absent due to force majeure reasons or inability to perform his/her duties. Where both the Chairman and the Provisional Vice Chairman are unable to perform their duties for some reason, the Board of Directors may appoint another of them to perform the duties of the Chairman on the principle of majority.
3. The Chairman of the Board of Directors shall be responsible for ensuring that the Board of Directors sends annual financial statements, reports on the company's operations, audit reports and inspection reports of the Board of Directors to shareholders at the General Meeting of Shareholders;
4. In case the Chairman of the Board of Directors resigns or is dismissed, the Board of Directors must elect a replacement within ten (10) days from the date of receipt of the letter of resignation or dismissal or dismissal.

Điều 12. Board Meetings and Meeting Minutes

1. The Board of Directors may meet periodically or irregularly. The Board of Directors must hold a meeting at least once a quarter (01) time.
2. In case the Board of Directors elects the Chairman for a new term, the first meeting

to elect the Chairman and make other decisions under its competence must be held within seven (07) working days from the end of the election of the Board of Directors for that term. This meeting is convened by the member with the highest number of votes. In case more than one member has the highest and equal number of votes, the members shall elect one (01) of them to convene a meeting of the Board of Directors on the principle of majority.

3. The Chairman of the Board of Directors must convene a meeting of the Board of Directors within seven (07) working days in the following cases:
 - a) Receive a proposal from the Supervisory Board or an independent member of the Board of Directors;
 - b) Receive a proposal from the General Director or at least five (05) other managers;
 - c) Receive proposals from at least two (02) members of the Board of Directors;
 - d) Other cases deemed necessary for the benefit of the company;

The meeting request must be made in writing, clearly stating the purposes and issues to be discussed and decided under the competence of the Board of Directors.

4. In case the Chairman of the Board of Directors fails to convene a meeting as requested in Clause 3, he or she shall be responsible for the damage caused to the Company and the requester has the right to replace the Chairman of the Board of Directors to convene a meeting of the Board of Directors.
5. The Chairman of the Board of Directors or the convener of the meeting of the Board of Directors must send a notice of invitation to the meeting to the members of the Board of Directors at least 03 working days before the date of the meeting. The notice of invitation to the meeting must specify the time and place of the meeting, the agenda, the issues discussed and decided, enclosed with the documents used at the meeting and the voting votes of the members. The notice of invitation to a meeting of the Board of Directors may be sent by invitation, telephone, fax, electronic means or other methods prescribed by the Chairman of the Board of Directors or the convener of the Board of Directors meeting and ensure that it reaches the contact address of each member of the Board of Directors registered at the Company.
6. Members of the Control Board and the General Director who are not members of the Board of Directors have the right to attend meetings of the Board of Directors and have the right to discuss but not vote.
7. A meeting of the Board of Directors shall be held when three-quarters (3/4) of the total number of members attend. In case the number of members attending the

meeting is not enough as prescribed, it may be convened for the second time within seven (07) days from the date of the first meeting. In this case, the meeting shall be conducted if more than half of the members of the Board of Directors attend the meeting.

8. Members of the Board of Directors are considered to attend and vote at the meeting in the following cases:
- a) Attending and voting directly at the meeting;
 - b) Authorize another person to attend the meeting as prescribed in Clause 9 of this Article.
 - c) Attending and voting through online conferences or other similar forms;
 - d) Send voting ballots to the meeting by mail, fax, email;
 - e) Sending voting papers by other means decided by the Chairman of the Board of Directors or the convener of the Board of Directors meetings.

In case of sending votes to the meeting by mail, the votes must be contained in sealed envelopes and must be delivered to the Chairman of the Board of Directors at least one hour before the opening. Voting ballots are only open in the presence of all attendees.

The resolution of the Board of Directors shall be approved if it is approved by the majority of members attending the meeting; in case the number of votes is equal, the final decision shall belong to the side with the opinion of the Chairman of the Board of Directors.

9. Members must attend all meetings of the Board of Directors. Members may authorize others to attend meetings if approved by a majority of members of the Board of Directors
10. Meetings of the Board of Directors must be recorded and can be recorded, recorded and kept in other electronic forms. The minutes of the meeting must have full contents in accordance with the provisions of the Law on Enterprises.
11. The minutes of the meeting shall be made in Vietnamese and may be additionally made in a foreign language. Minutes made in Vietnamese and foreign languages are equally valid. In case there is a difference in contents, the contents in the Vietnamese minutes shall prevail. The chairperson and the person taking the minutes must take responsibility for the truthfulness and accuracy of the contents of the minutes of the meeting of the Board of Directors.

Điều 13. Dismissal, dismissal and addition of members of the Board of Directors

1. Cases of dismissal/dismissal of members of the Board of Directors:
 - a) Members of the Board of Directors no longer meet the criteria and conditions specified in Article 35 of the Company's Charter;
 - b) Members of the Board of Directors do not participate in activities of the Board of Directors for six (06) consecutive months, except for cases of force majeure;
 - c) Have a written notice of resignation sent to the head office for the Company and approved;
2. When deeming it necessary, the General Meeting of Shareholders shall decide to replace the members of the Board of Directors; dismissal or dismissal of members of the Board of Directors.
3. The Board of Directors must convene a meeting of the General Meeting of Shareholders to elect additional members of the Board of Directors in the following cases:
 - a) The number of members of the Board of Directors shall be reduced by more than one-third (1/3) compared to the number specified in the Charter. In this case, the Board of Directors must convene a meeting of the General Meeting of Shareholders within sixty (60) days from the date on which the number of members is reduced by more than one-third;
 - b) The number of independent members of the Board of Directors has been reduced, failing to ensure the ratio as prescribed;
 - c) Except for the cases specified at Points a and b of this Clause, the General Meeting of Shareholders shall elect a new member to replace the member of the Board of Directors who has been dismissed or dismissed at the nearest meeting.

Điều 14. Contracts and transactions of the Company with related persons

1. Contracts and transactions between the company and the following entities must be approved by the General Meeting of Shareholders or the Board of Directors:
 - a) Shareholders and authorized representatives of shareholders who own more than 10% of the total ordinary shares of the company and their related persons;
 - b) Members of the Board of Directors, the General Director and their related persons;
 - c) Enterprises that members of the Board of Directors, Controllers, Directors or General Directors and other managers of the company must declare in accordance

with the provisions of Clause 2, Article 164 of the Law on Enterprises.

2. The Board of Directors approves contracts and transactions with related persons with a value of less than 35% of the total value of assets of the enterprise stated in the latest financial statements. In this case, the representative of the company signing the contract must notify the members of the Board of Directors and the Controller of the subjects related to such contract or transaction; and at the same time enclose the draft contract or the main contents of the transaction. The Board of Directors shall decide on the approval of the contract or transaction within 20 days from the date of receipt of the notice; Members with related interests do not have voting rights.
3. The General Meeting of Shareholders shall approve contracts and transactions other than those specified in Clause 2 of this Article and approve contracts, transactions of borrowing, lending or sale of assets with a value greater than 10% of the total value of assets of the enterprise stated in the latest financial statements between the company and shareholders owning 51% or more of the total shares voting rights or more or related persons of such shareholders. In this case, the representative of the company signing the contract must notify the Board of Directors and the Controller of the subjects related to such contract or transaction; at the same time, enclose the draft contract or notice of the main contents of the transaction. The Board of Directors submits a draft contract or explains the main contents of the transaction at the General Meeting of Shareholders or collects shareholders' opinions in writing. In this case, shareholders with related interests do not have voting rights; The contract or transaction is approved when the number of shareholders representing 65% of the total remaining votes approves.
4. Contracts and transactions are invalidated and handled in accordance with the provisions of law when they are signed or performed without being approved under the provisions of Clauses 2 and 3 of this Article, causing damage to the company; the contracting signatory, shareholders, members of the Board of Directors or the relevant General Director must jointly compensate for the damage incurred and refund to the company the profits earned from the performance of such contracts or transactions.

Điều 15. Responsibilities of the Board of Directors in convening an extraordinary General Meeting of Shareholders

1. The Board of Directors must convene an extraordinary General Meeting of Shareholders in the following cases:
 - a) The Board of Directors deems it necessary for the benefit of the Company;

- b) The number of remaining members of the Board of Directors and the Control Board is less than the minimum number of members as prescribed by law;
- c) At the request of shareholders or groups of shareholders specified in Clause 2, Article 115 of the Law on Enterprises; the request for convening the General Meeting of Shareholders must be expressed in writing, clearly stating the reason and purpose of the meeting, with sufficient signatures of relevant shareholders or a written request made in many copies and sufficiently collected signatures of relevant shareholders;
- d) The Supervisory Board requested to convene a meeting.
- e) Other cases in accordance with current laws.

2. Time to convene the Extraordinary General Meeting of Shareholders

- a) The Board of Directors must convene a meeting of the General Meeting of Shareholders within sixty (60) days from the date on which the remaining members of the Board of Directors as prescribed at Point c, Clause 3 of this Article or receipt of the request specified at Points d and e, Clause 3 of this Article.
- b) In case the Board of Directors fails to convene the General Meeting of Shareholders as prescribed at Point a, Clause 4 of this Article, within the next thirty (30) days, the Supervisory Board must replace the Board of Directors to convene the General Meeting of Shareholders in accordance with the Law on Enterprises and the Company's Charter.
- c) In case the Supervisory Board fails to convene a meeting of the General Meeting of Shareholders as prescribed at Point b, Clause 4 of this Article, the shareholders or groups of shareholders who have the request specified at Point d, Clause 3 of this Article may represent the Company to convene the General Meeting of Shareholders in accordance with the provisions of the Law on Enterprises and the Company's Charter.

In this case, the shareholder or group of shareholders convening the General Meeting of Shareholders may request the Business Registration Authority to supervise the order and procedures for convening, conducting meetings and making decisions of the General Meeting of Shareholders. All costs for convening and conducting the General Meeting of Shareholders will be reimbursed by the company. This cost does not include expenses spent by shareholders when attending the General Meeting of Shareholders, including accommodation and travel expenses.

- d) Procedures for organizing a meeting of the General Meeting of Shareholders as prescribed in Clause 5, Article 140 of the Law on Enterprises

Điều 16. Person in charge of corporate governance

1. The Board of Directors must appoint at least one (01) person as the person in charge of corporate governance to support the effective conduct of corporate governance activities. The term of office of the person in charge of corporate governance shall be decided by the Board of Directors, a maximum of five (05) years. The person in charge of corporate governance may concurrently act as a secretary as prescribed in Clause 5, Article 156 of the Law on Enterprises
2. The person in charge of corporate governance must meet the following standards:
 - a) Have an understanding of the law;
 - b) Not be able to concurrently work for an approved auditing firm that is auditing the Company's financial statements;
 - c) Other standards as prescribed by law and decisions of the Board of Directors.
3. The Board of Directors may dismiss the person in charge of corporate governance when necessary but not contrary to the current labor laws. The Board of Directors may appoint an Assistant Person in charge of corporate governance from time to time.
4. The person in charge of corporate governance has the following rights and obligations:
 - a) Advising the Board of Directors on organizing the General Meeting of Shareholders in accordance with regulations and related affairs between the Company and shareholders;
 - b) Prepare meetings of the Board of Directors, the Supervisory Board and the General Meeting of Shareholders at the request of the Board of Directors or the Supervisory Board;
 - c) Advising on the procedure of meetings;
 - d) Attend meetings;
 - e) Advising on procedures for making resolutions of the Board of Directors in accordance with the provisions of law;
 - f) Providing financial information, copies of minutes of meetings of the Board of Directors and other information to members of the Board of Directors and members of the Control Board;
 - g) Supervise and report to the Board of Directors on the company's information disclosure activities.

- h) Confidentiality of information in accordance with the provisions of law and the company's Charter;
- i) Other rights and obligations as prescribed by law and the Company's Charter.

Điều 17. Board Assisting Committees

1. The Board of Directors may establish subordinate committees to be in charge of development policies, human resources, technology, compensation, internal audit, risk management, etc. The number of members of the committee decided by the Board of Directors shall be at least 01 member of the Board of Directors participating and external members. The activities of the Committee must comply with the regulations of the Board of Directors. The Committee's resolution takes effect only when it is attended by a majority of members and voted to approve it at the committee's meeting.
2. The implementation of decisions of the Board of Directors or of Committees affiliated to the Board of Directors must comply with current legal provisions and the provisions of the company's charter and internal regulations on corporate governance.

Chương III

BOARD OF DIRECTORS MEETINGS

Điều 18. Board Meetings and Meeting Minutes

1. The Board of Directors may meet periodically or irregularly. The Board of Directors must hold a meeting at least once a quarter (01) time.
2. In case the Board of Directors elects the Chairman for a new term, the first meeting to elect the Chairman and make other decisions under its competence must be held within seven (07) working days from the end of the election of the Board of Directors for that term. This meeting is convened by the member with the highest number of votes. In case more than one member has the highest and equal number of votes, the members shall elect one (01) of them to convene a meeting of the Board of Directors on the principle of majority.
3. The Chairman of the Board of Directors must convene a meeting of the Board of Directors within seven (07) working days in the following cases:
 - a) Receive a proposal from the Supervisory Board or an independent member of the Board of Directors;
 - b) Receive a proposal from the General Director or at least five (05) other managers;

- c) Receive proposals from at least two (02) members of the Board of Directors;
- d) Other cases deemed necessary for the benefit of the company;

The meeting request must be made in writing, clearly stating the purposes and issues to be discussed and decided under the competence of the Board of Directors.

- 4. In case the Chairman of the Board of Directors fails to convene a meeting as requested in Clause 3, he or she shall be responsible for the damage caused to the Company and the requester has the right to replace the Chairman of the Board of Directors to convene a meeting of the Board of Directors.
- 5. The Chairman of the Board of Directors or the convener of the meeting of the Board of Directors must send a notice of invitation to the meeting to the members of the Board of Directors at least 03 working days before the date of the meeting. The notice of invitation to the meeting must specify the time and place of the meeting, the agenda, the issues discussed and decided, enclosed with the documents used at the meeting and the voting votes of the members. The notice of invitation to a meeting of the Board of Directors may be sent by invitation, telephone, fax, electronic means or other methods prescribed by the Chairman of the Board of Directors or the convener of the Board of Directors meeting and ensure that it reaches the contact address of each member of the Board of Directors registered at the Company.
- 6. Members of the Control Board and the General Director who are not members of the Board of Directors have the right to attend meetings of the Board of Directors and have the right to discuss but not vote.
- 7. A meeting of the Board of Directors shall be held when three-quarters (3/4) of the total number of members attend. In case the number of members attending the meeting is not enough as prescribed, it may be convened for the second time within seven (07) days from the date of the first meeting. In this case, the meeting shall be conducted if more than half of the members of the Board of Directors attend the meeting.
- 8. Members of the Board of Directors are considered to attend and vote at the meeting in the following cases:
 - a) Attending and voting directly at the meeting;
 - b) Authorize another person to attend the meeting as prescribed in Clause 9 of this Article.
 - c) Attending and voting through online conferences or other similar forms;
 - d) Send voting ballots to the meeting by mail, fax, email;

- e) Sending voting papers by other means decided by the Chairman of the Board of Directors or the convener of the Board of Directors meetings.

In case of sending votes to the meeting by mail, the votes must be contained in sealed envelopes and must be delivered to the Chairman of the Board of Directors at least one hour before the opening. Voting ballots are only open in the presence of all attendees.

The resolution of the Board of Directors shall be approved if it is approved by the majority of members attending the meeting; in case the number of votes is equal, the final decision shall belong to the side with the opinion of the Chairman of the Board of Directors.

9. Members must attend all meetings of the Board of Directors. Members may authorize others to attend meetings if approved by a majority of members of the Board of Directors
10. Meetings of the Board of Directors must be recorded and can be recorded, recorded and kept in other electronic forms. The minutes of the meeting must have full contents in accordance with the provisions of the Law on Enterprises.
11. The minutes of the meeting shall be made in Vietnamese and may be additionally made in a foreign language. Minutes made in Vietnamese and foreign languages are equally valid. In case there is a difference in contents, the contents in the Vietnamese minutes shall prevail. The chairperson and the person taking the minutes must take responsibility for the truthfulness and accuracy of the contents of the minutes of the meeting of the Board of Directors.

Chương IV

REPORTING AND PUBLICIZING BENEFITS

Điều 19. Annual Report Submission

1. At the end of the fiscal year, the Board of Directors must submit the following report to the General Meeting of Shareholders:
- a) Report on the Company's business results;
 - b) Financial statements;
 - c) Report on the evaluation of the management and administration of the Company;
 - d) Appraisal report of the Supervisory Board.
2. The report specified at Points a, b and c, Clause 1 of this Article must be sent to the Control Board for appraisal at least 30 days before the opening date of the Annual

General Meeting of Shareholders if the company's charter does not provide otherwise.

3. The report specified in Clauses 1 and 2 of this Article, the appraisal report of the Supervisory Board and the audit report must be kept at the head office of the Company at least 10 days before the opening date of the Annual General Meeting of Shareholders if the company's Charter does not prescribe another longer time limit. Shareholders who own shares of the Company for at least 01 consecutive year have the right to directly review the report specified in this Article by themselves or together with lawyers, accountants and auditors with practicing certificates.

Điều 20. Disclosure of related benefits

In case the company's charter does not contain other stricter provisions, the disclosure of the company's interests and related persons shall comply with the following provisions:

1. A member of the Board of Directors of the Company must declare to the company his or her related interests, including:
 - a) Name, enterprise code, address of the head office, business lines of the enterprise in which they own contributed capital or shares; the percentage and time of ownership of such contributed capital or shares;
 - b) Name, enterprise code, address of the head office, business lines of the enterprise in which their related persons jointly own or separately own the contributed capital or shares of more than 10% of the charter capital.
2. The declaration specified in Clause 1 of this Article must be made within 07 working days from the date on which related benefits arise; the amendment and supplementation must be notified to the Company within 07 working days from the date of the corresponding amendment and supplement.
3. Members of the Board of Directors who perform work in any form within the scope of the Company's business must explain the nature and content of such work to the Board of Directors and shall only be performed when approved by the majority of the remaining members of the Board of Directors; if it is carried out without declaration or approval of the Board of Directors, all income obtained from such activity belongs to the Company.

Chương V

RELATIONSHIP OF THE BOARD OF DIRECTORS

Điều 21. Relationship between Board Members

1. The relationship between members of the Board of Directors is a coordination relationship, the members of the Board of Directors are responsible for informing each other about relevant issues in the process of handling the assigned work.
2. In the course of handling work, the member of the Board of Directors assigned to be in charge of the main responsibility must take the initiative in coordinating in handling, if there is a problem related to the field in charge of another member of the Board of Directors. In case there are still different opinions among the members of the Board of Directors, the members shall have the main responsibility to report to the Chairman of the Board of Directors for consideration and decision according to their competence or organize meetings or collect opinions of members of the Board of Directors in accordance with law. The company's charter and this Regulation.
3. In case of reassignment between members of the Board of Directors, the members of the Board of Directors must hand over relevant work, dossiers and documents. This handover must be made in writing and reported to the Chairman of the Board of Directors on such handover.

Điều 22. Relationship with the Board of Directors

With the role of management, the Board of Directors issues resolutions for the General Director and the executive apparatus to implement. At the same time, the Board of Directors inspects and supervises the implementation of the resolutions.

Điều 23. Relationship with the Supervisory Board or Audit Committee

1. The relationship between the Board of Directors and the Supervisory Board or the Audit Committee is a coordinated relationship. The working relationship between the Board of Directors and the Supervisory Board or the Audit Committee is on the principle of equality and independence, and at the same time closely coordinates and supports each other in the process of performing tasks.
2. Upon receipt of inspection records or general reports of the Control Board or the Audit Committee, the Board of Directors shall study and direct relevant departments to formulate plans and implement corrections in a timely manner.

Chapter IV**IMPLEMENTATION ORGANIZATION****Điều 24. Responsibility for document quality control**

1. The drafting/managing unit of this document is responsible for periodically or irregularly assessing the quality of the document according to the Company's



regulations in order to amend, supplement or replace the contents that are no longer in accordance with the law and/or cause difficulties and disadvantages to the operation of MSB.

2. When any contents in this document are contrary to the provisions of law, the drafting unit is responsible for coordinating with the Legal Consultancy Division to assess, analyze the impact and submit it to the level for promulgation for timely handling.

Điều 25. Implementation provisions

1. This Regulation takes effect from the date of signing and replaces the Operation Regulation of the Board of Directors dated 07-03-2023 issued by the Board of Directors.
2. The amendment and supplementation of this Regulation shall be decided by the Board of Directors.
3. Matters not mentioned in this Regulation shall be carried out in accordance with the relevant provisions of the Law and other regulations of the Company.
4. Leaders of the units mentioned in Article 2 and other relevant units and individuals shall have to implement this Regulation.

Recipients:

- MEMBERS OF THE BOARD OF DIRECTORS, SUPERVISORY BOARD;
- General Directors, Deputy Directors;
- All contacts;
- Save: VT.

**ON BEHALF OF THE BOARD OF DIRECTORS
CHAIRMAN OF THE BOARD**



HỒ LE VIET HUNG



JOINT STOCK

SOCIALIST REPUBLIC OF VIETNAM

Independence - Freedom - Happiness

No. 01/2026/QC-BKS

Hanoi, 08 May 2026

REGULATION

Organization and operation of the Supervisory Board

- Pursuant to the Law on Enterprises No. 59/2020/QH14 passed by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020; amended and supplemented in 2025;
- Pursuant to the Law on Securities No. 54/2019/QH14 approved by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and its guiding documents;
- Pursuant to the Government's Decree 155/2020/ND-CP dated December 31, 2020 detailing the implementation of a number of articles of the Securities Law;
- Pursuant to the Minister of Finance's Circular No. 116/2020/TT-BTC dated December 31, 2020 guiding a number of articles on corporate governance applicable to public companies in the Government's Decree No. 155/2020/ND-CP dated December 31, 2020 detailing the implementation of a number of articles of the Law on Securities;
- Pursuant to Circular 121/2020/TT-BTC dated December 31, 2020 of the Ministry of Finance regulating the operation of securities companies;
- Pursuant to the Charter of organization and operation of Stanley Brothers Securities Joint Stock Company (SBSI);
- To meet the work requirements, the Supervisory Board promulgates the Operation Regulation of the Supervisory Board of Stanley Brothers Securities Joint Stock Company including the following contents:

REGULATION

Article 1. Scope of regulation and subjects of application

1. Scope of regulation: The Regulation stipulates the organizational structure of personnel, standards, conditions, rights and obligations of the Control Board and members of the Control Board in accordance with the provisions of the Law on Enterprises, the company's Charter and other relevant regulations.
2. Subjects of application: The Regulation on operation of the Supervisory Board shall



be applied to the Supervisory Board and its members.

Article 2. Operating principles of the Supervisory Board

The Supervisory Board works on the principle of collectivity. Members of the Supervisory Board are personally responsible for their work and jointly responsible to the General Meeting of Shareholders ("General Meeting of Shareholders"), before the law for the tasks and decisions of the Supervisory Board.

Article 3. Term of office and number of members of the Supervisory Board

1. The Supervisory Board has three (03) members, the term of office of a member of the Supervisory Board shall not exceed 05 years and may be re-elected with an unlimited number of terms.
2. Members of the Supervisory Board are not necessarily shareholders of the Company.
3. The Supervisory Board must have more than half of the members permanently residing in Vietnam.
4. In case a member of the Control Board has not yet been elected at the same time at the end of the term of office, the member of the Control Board whose term has expired shall continue to exercise his/her rights and perform his/her duties until the member of the Control Board for the new term is elected and takes over the work. In case a member of the Control Board is elected to supplement or replace the member who is dismissed or dismissed from office within the term of office, the term of office of the new member shall be the remaining term of the term of office of the Control Board.

Article 4. Criteria and conditions for members of the Supervisory Board

1. Be at least 21 years old, have full civil act capacity and are not subject to the prohibition of establishing and managing enterprises according to the provisions of the Law on Enterprises.
2. Not to hold a managerial position in the Company. Not be a related person of a member of the Board of Directors, the General Director and other managers.
3. Not being a spouse, natural father, adoptive father, natural mother, adoptive mother, natural child, adopted child, brother, sister, sibling of a member of the Board of Directors, Director or General Director and other manager.
4. Be trained in one of the majors in economics, finance, accounting, auditing, law, business administration or majors suitable for the company's business activities.
5. Members of the Control Board must meet the criteria and conditions specified in Article 169 of the Law on Enterprises and do not fall into the following cases:
 - a) Working in the accounting and finance department of the Company;
 - b) Being a member or employee of an independent auditing firm auditing the company's financial statements for the previous 03 years. The head of the company's Control Board must not be a member of the Control Board or a manager of another securities company;
5. The Head of the Supervisory Board must have a university diploma or higher in one of the majors of economics, finance, accounting, auditing, law, business administration

or majors related to the company's business activities, and must not be a member of the Supervisory Board at the same time. managers of other securities companies.

6. Other conditions and standards as prescribed by current law.

Article 5. Head of the Supervisory Board

1. The Head of the Control Board must have a university diploma or higher in one of the majors of economics, finance, accounting, auditing, law, business administration or majors related to the business activities of the enterprise.
2. The Head of the Supervisory Board of the Company must not be a member of the Supervisory Board or a manager of another securities company.
3. The Head of the Control Board shall be elected by the Control Board from among the members of the Control Board; the election, dismissal and dismissal shall be carried out on the principle of majority.
4. The rights and obligations of the Head of the Supervisory Board shall be stipulated by the company's Charter.

Article 6. Nomination and candidacy of members of the Control Board

1. Shareholders or groups of shareholders owning 10% or more of the total ordinary shares or another smaller percentage as prescribed in the company's charter have the right to nominate persons to the Supervisory Board. In case the company's charter does not provide otherwise, the nomination of persons to the Control Board shall be carried out as follows:
 - a) Ordinary shareholders who form a group to nominate persons to the Supervisory Board must notify the group formation to the shareholders attending the meeting before the opening of the General Meeting of Shareholders;
 - b) Based on the number of members of the Control Board, the shareholders or groups of shareholders specified in this Clause may nominate one or several persons under the decision of the General Meeting of Shareholders as candidates for the Control Board. In case the number of candidates nominated by shareholders or groups of shareholders is lower than the number of candidates they are entitled to nominate under the decision of the General Meeting of Shareholders, the remaining number of candidates shall be nominated by the Board of Directors, the Supervisory Board and other shareholders.
2. In case the number of candidates approved by the Supervisory Board for nomination and candidacy is still insufficient as prescribed in Clause 5, Article 115 of the Law on Enterprises, the incumbent Supervisory Board shall introduce additional candidates or organize the nomination as prescribed in the company's Charter. Internal regulations on corporate governance and the Regulation on operation of the Supervisory Board. The introduction of additional candidates by the incumbent Supervisory Board must be clearly announced before the General Meeting of Shareholders votes to elect members of the Supervisory Board in accordance with law.

Article 7. Methods of electing, dismissing and dismissing members of the Control Board

1. The election, dismissal and dismissal of members of the Supervisory Board are under

the jurisdiction of the General Meeting of Shareholders.

2. The voting for the election of members of the Control Board must be carried out by the method of cumulative voting, whereby each shareholder has the total number of votes corresponding to the total number of shares owned by the number of elected members of the Control Board and shareholders have the right to pool all or part of their total votes to one or several candidates. The winner of the election of members of the Supervisory Board is determined according to the number of votes calculated from high to low, starting from the candidate with the highest number of votes until the number of members specified in the company's charter is sufficient. In case there are 02 or more candidates with the same number of votes for the last member of the Supervisory Board, a re-election will be conducted among the candidates with the same number of votes or selected according to the criteria specified in the election regulations or the company's charter.

Article 8. Cases of dismissal or dismissal of members of the Control Board

1. The General Meeting of Shareholders shall dismiss a member of the Supervisory Board in the following cases:
 - a) Failing to meet the criteria and conditions for being a member of the Control Board as prescribed in Article 169 of the Law on Enterprises;
 - b) Failing to exercise his/her rights and perform his/her duties for six (06) consecutive months, except for force majeure cases;
 - c) Having a written resignation and being approved;
 - d) Such member is prohibited by law from being a member of the Control Board
 - e) The member suffers from a mental disorder and other members of the Control Board have professional evidence proving that such person no longer has behavioral capacity;
 - f) Other cases prescribed by the company's charter.
2. The General Meeting of Shareholders dismisses a member of the Control Board in the following cases:
 - a) Failing to complete the assigned tasks or jobs;
 - b) Failing to exercise his/her rights and obligations for 06 consecutive months, except for force majeure cases;
 - c) Repeatedly violating or seriously violating the obligations of members of the Control Board under the provisions of the Law on Enterprises and the company's charter;
 - d) Other cases according to the resolution of the General Meeting of Shareholders;
 - e) Other cases as prescribed by current law.
3. In case the Supervisory Board seriously breaches its obligations and is in danger of causing damage to the Company, the Board of Directors must convene a meeting of the General Meeting of Shareholders to consider and dismiss the incumbent Supervisory Board and elect a new Supervisory Board to replace it.

Article 9. Notice of election, dismissal and dismissal of members of the Control Board

1. In case the candidates of the Supervisory Board have been identified, the Company must disclose information related to the candidates at least 10 days before the opening date of the General Meeting of Shareholders on the Company's website so that shareholders can learn about these candidates before voting. candidates of the Supervisory Board must have a written commitment to the truthfulness and accuracy of personal information disclosed and must commit to perform their duties honestly, prudently and in the best interests of the company if elected as a member of the Supervisory Board. Information related to the candidates of the Supervisory Board is announced, including:
 - a) Full name, date of birth;
 - b) Professional qualifications;
 - c) Working history;
 - d) Other managerial titles;
 - dd) Interests related to the Company and its related parties;
 - e) Other information as prescribed in the company's charter;
 - g) The Company shall be responsible for disclosing information about the companies in which the candidate holds management positions and interests related to the Company of the Supervisory Board candidate.
2. The notification of the results of election, dismissal and dismissal of members of the Control Board shall comply with the guiding regulations on information disclosure.

Article 10. Duties and powers of the Control Board

1. Tasks of the Supervisory Board:
 - a) The Control Board shall supervise the Board of Directors and the Board of General Directors in the management and administration of the Company; take responsibility before law and the General Meeting of Shareholders for the performance of their tasks;
 - b) Examining the reasonableness, legality, truthfulness and prudence in the management and administration of business activities, in the organization of accounting, statistics and making financial statements;
 - c) Appraisal of reports on business activities, annual and six-month financial statements of the Company, reports on assessment of management of the Board of Directors; submit reports on appraisal of financial statements, annual reports on business activities and reports on assessment of management of the Board of Directors to the General Meeting of Shareholders at the annual meeting;
 - d) Examine the accounting books and other documents of the Company, the management and administration of the Company's operations whenever deemed necessary or at the request of the shareholders or groups of shareholders specified in Article 17 of this Charter;
 - e) Upon the request for inspection of shareholders or groups of shareholders specified in Article 17 of this Charter, the Control Board shall conduct the inspection within

seven (07) working days from the date of receipt of the request. Within fifteen (15) days from the date of completion of the inspection, the Control Board must send an explanatory report on the matters requested for inspection to the Board of Directors and the shareholders or groups of shareholders who request it. The inspection by the Control Board specified in this Clause must not obstruct the normal operation of the Board of Directors and not interrupt the Company's business activities;

f) When there is a request for inspection from a shareholder or group of shareholders specified in Article 17, the Control Board must reply in writing confirming that it has received the inspection request and carry out lawsuit procedures at the request of the shareholder within fifteen (15) days from the date of receipt of the inspection request.

g) Propose to the Board of Directors or the General Meeting of Shareholders solutions to amend, supplement and restructure the management and administration of the Company's business;

h) When detecting that a member of the Board of Directors or a member of the Board of Directors violates the law and the company's charter, resulting in infringement of the rights and interests of the Company, shareholders or customers, or infringes upon the obligations of the Company's managers, they must immediately notify in writing to the Board of Directors and request the violators to mark stop violations, and at the same time have solutions to overcome the consequences. If such violation is serious or the violating member refuses to terminate or adjust the violation within the required time limit, the Control Board must propose to convene a meeting of the General Meeting of Shareholders to propose the next settlement measure;

i) In case a member of the Board of Directors or the Board of Directors of the Company violates the provisions of law, the Supervisory Board must directly report to the SSC in writing within seven (07) working days from the date of detection of the violation;

j) In case the controller knows that the members of the Board of Directors or members of the Board of Directors have violated the provisions of law, the principles of governance and the company's charter, thus infringing upon the rights and interests of the Company but fail to notify and perform their responsibilities as prescribed, such controller shall be responsible for the issues related to their duties;

k) Other tasks as prescribed by the Law on Enterprises and decisions of the General Meeting of Shareholders;

l) Other tasks as prescribed by current law.

2. Rights of the Supervisory Board:

a) Use independent consultants to perform assigned tasks;

b) Consultation of the Board of Directors: The Control Board may consult with the Board of Directors before submitting reports, conclusions and recommendations to the General Meeting of Shareholders;

c) Attend and participate in discussions at meetings of the General Meeting of Shareholders, the Board of Directors and other meetings of the Company

d) To be provided with sufficient information:

- The notice of invitation to the meeting, the poll of opinions of members of the Board of Directors and enclosed documents must be sent to members of the Control Board at the same time and in the same manner as for members of the Board of Directors;
- Resolutions and minutes of meetings of the General Meeting of Shareholders and the Board of Directors must be sent to the Controllers at the same time and in the same manner as for shareholders and members of the Board of Directors
- The report submitted by the General Director to the Board of Directors or other documents issued by the Company must be sent to members of the Control Board at the same time and in the same manner as for members of the Board of Directors;
- Members of the Supervisory Board have the right to access the Company's records and documents kept at the head office, branches and other locations; have the right to go to the locations where the Company's managers and employees work to perform their duties;
- The Board of Directors, the General Director and other managers must provide complete, accurate and timely information and documents on the management, administration and business activities of the Company at the request of the Control Board.

e) To receive remuneration and enjoy other benefits:

- Members of the Supervisory Board are remunerated according to their work and enjoy other benefits as decided by the General Meeting of Shareholders. The General Meeting of Shareholders shall decide on the total remuneration and annual operating budget of the Control Board based on the estimated number of working days, the number and nature of the work and the average daily remuneration of the members;
- Members of the Supervisory Board are paid for meals, accommodation, travel, and the cost of using independent consultancy services at a reasonable rate. This total remuneration and expenses must not exceed the total annual operating budget of the Control Board approved by the General Meeting of Shareholders, unless otherwise decided by the General Meeting of Shareholders;
- The remuneration and operating expenses of the Supervisory Board shall be included in the Company's business expenses in accordance with the law on corporate income tax and relevant laws and must be made into a separate item in the Company's annual financial statements.

3. In the course of performing their tasks, members of the Control Board must have the following obligations:

- a) Comply with the law, the company's charter, decisions of the General Meeting of Shareholders and professional ethics in the implementation of assigned rights and tasks;
- b) Perform the assigned rights and duties honestly and prudently to ensure the maximum legitimate interests of the Company and shareholders;
- c) Loyal to the interests of the Company and shareholders; must not use the

Company's information, know-how, business opportunities, abuse the Company's position, position and assets for self-interest or serve the interests of other organizations and individuals;

d) Other obligations in accordance with current laws.

4. In case the Supervisory Board breaches the obligations specified in Clause 3 of this Article, causing damage to the Company or other persons, the members of the Supervisory Board shall take personal responsibility or jointly compensate for such damage. All income and other benefits that a member of the Supervisory Board directly or indirectly obtains as a result of the breach of his/her obligations are owned by the Company.
5. If detecting that any member of the Control Board violates its obligations while performing its assigned rights and tasks, the Board of Directors must notify the Control Board in writing, requesting the termination of the violation and take remedial measures.

Article 11. Supervisory Board Meeting

1. Regular meetings: The Supervisory Board meets periodically at least two (02) times in a year, the number of members attending the meeting is at least two-thirds (2/3) of the total number of members of the Supervisory Board. The recordkeeper and members of the Supervisory Board attending the meeting must sign the minutes of the meeting.
2. The Supervisory Board has the right to request members of the Board of Directors, the General Director and representatives of the approved audit organization to attend and answer matters that need to be clarified.
3. Extraordinary Meeting: An extraordinary meeting of the Supervisory Board is conducted at the request of:
 - a) Chairman of the Board of Directors;
 - b) At least 2/3 (two-thirds) of the members of the Board of Directors;
 - c) Head of the Control Board;
 - d) At least 2/3 (two-thirds) of the members of the Control Board;
 - e) General Director;
4. Within 15 days from the date of receipt of the written request for an extraordinary meeting of the Control Board from one of the subjects mentioned at Points a, b, c, d, e, Clause 3 of this Article, the head of the Control Board must convene and conduct an extraordinary meeting of the Control Board.
5. Meeting Location: Supervisory Board meetings will be conducted at SBSI's registered address.
6. Notice of invitation to the meeting: The notice of invitation to the meeting shall be sent in the form of invitation, fax, email or other means but must ensure that it reaches the address of each member of the Supervisory Board registered at SBSI.
7. Voting: Resolutions and decisions of the Control Board shall be adopted if they are approved by the majority of members of the Control Board who have the right to

participate in voting at the meeting. In case the number of votes is equal, the final decision shall belong to the side with the opinion of the Head of the Control Board or a member of the Control Board authorized by the Head of the Control Board to chair the meeting (in case the Head of the Control Board is absent).

Article 12. Minutes of the Supervisory Board meeting

1. The meeting of the Control Board must be recorded in minutes and may be recorded, recorded and kept in other electronic forms. The minutes must be made in Vietnamese in detail and clearly, must be signed by the person taking the minutes and the members attending the meeting or the person authorized to attend the meeting, and must be jointly responsible for the accuracy and truthfulness of the contents of the minutes. The record must contain the following principal contents:
 - a. Name and address of the head office;
 - b. Purpose, agenda and contents of the meeting;
 - c. Time and place of the meeting;
 - d. Full name of each member attending the meeting or the person authorized to attend the meeting; full names of members who did not attend the meeting and the reasons;
 - e. Issues discussed and voted on at the meeting;
 - f. Summarizing the opinions of each member attending the meeting in the order of the meeting;
 - g. The voting results clearly state the members who approve, disagree and have no opinions;
 - h. Resolutions and decisions have been passed;
 - i. Full names and signatures of all members or authorized representatives attending the meeting.
2. The minutes of the Supervisory Board meeting and documents used in the meeting must be kept at the Company's head office in order to determine the responsibilities of each member of the Supervisory Board.
3. In case the chairperson or the person taking the minutes refuses to sign the minutes of the meeting but is signed by all other members of the Control Board attending the meeting and has all the contents as prescribed at Points a, b, c, d, e, f, g, and h, Clause 1 of this Article, this record is still valid.
4. The chairperson, the person taking the minutes and the signatories on the minutes shall be responsible for the truthfulness and accuracy of the contents of the minutes of the meeting. The recordkeeper and members of the Supervisory Board attending the meeting must sign the minutes of the meeting. In case the members directly attending the meeting do not sign the minutes, the reason must be clearly stated; if the reason is not clearly stated, the votes of such members on the contents at the meeting are considered invalid.

Article 13. Working Relationships

1. Working relationship with State management agencies and other agencies: Strictly

comply with the scope of responsibility in accordance with the Law on Credit Institutions, the Law on Enterprises, the Law on Securities, the Charter of SBSI, other provisions of law and this Regulation.

2. Relationship with Shareholders: Members of the Supervisory Board must always attach importance to the interests of Shareholders, be responsible for providing Shareholders with necessary information in a timely and sufficient manner in accordance with the provisions of law and SBSI.
3. Relationship with the Board of Directors: The Supervisory Board regularly monitors the situation and performance of the Board of Directors to make independent recommendations, is responsible for participating in opinions with the Board of Directors at meetings of the Board of Directors as well as the opinion polls sent by members of the Board of Directors to members of the Supervisory Board control; promptly notify the Board of Directors of issues detected through internal supervision and audit activities. The Board of Directors shall implement the recommendations of the Supervisory Board to the Board of Directors in the report on internal audit results (if any) and notify the Supervisory Board of the results of implementation of recommendations.
4. Relationship with the General Director and the Executive Board: The Supervisory Board supervises and inspects the management and administration of SBSI by the General Director and the Executive Apparatus in accordance with the provisions of law and the Charter of SBSI, promptly notifies the inspection results to the General Director and the inspected units; participate in professional training conferences in the SBSI system; advising on existing remedial measures and other issues to promote the safe and effective operation of SBSI; participate in preliminary and final sessions of units and the whole system. The General Director shall fully and promptly send to the Supervisory Board the regulatory documents and professional instructions of SBSI, copies of legal documents of State management agencies, SBSI's business plans, and reports on monthly, quarterly and annual operations of SBSI. The General Director shall receive internal reports, organize the implementation of recommendations of the Control Board to the General Director in the report on internal audit results (if any) and notify the Control Board of the results of the implementation of recommendations.

Article 14. Implementation provisions

1. The amendment, supplementation and replacement of this Regulation shall be decided by the Control Board and submitted to the General Meeting of Shareholders for approval;
2. Matters not yet mentioned in this Regulation shall be implemented in accordance with the relevant provisions of law and other regulations of SBSI. When there are any contents in this document that are contrary to the provisions of the law and the SBSI Charter, such contents shall naturally cease to be valid and must be based on the law and the Charter for implementation, and the drafting unit must immediately report to the level that issued the document for timely handling;
3. The Regulation on Operation of the Supervisory Board of Stanley Brothers Securities Joint Stock Company takes effect fromJanuary.....2026 and replaces the Regulation

on organization and operation of the Supervisory Board and the amendments and supplements (if any) previously issued. Members of the Board of Directors, members of the Control Board, the General Director and relevant units and individuals shall be responsible for the implementation of this Regulation.

Recipients:

- Board of Directors;
- Executive Board;
- Save: VT, BKS

**TM. CONTROL BOARD HEAD OF
CONTROL BOARD**

