

No: 115/2026/BC-VISC

Hanoi, 14/07/2026

REPORT ON GOVERNANCE STATUS OF COMPANY
(First 6 months of 2026)

To: - State Securities Commission;
- Viet Nam Exchange/ Ha Noi Stock Exchange/ Ho Chi Minh Stock Exchange

- Company's name: Viet Nam Financial Investment Securities Corporation
- Head office address: 8th Floors, Block B, Song Da Building, Pham Hung Street, Tu Liem Ward, Hanoi City, Vietnam.
- Phone: (024) 35149999 - Fax: (024) 35148766 - Email: info@visc.com.vn
- Charter capital: 451,333,000,000 VND (*Four hundred and fifty-one billion three hundred and thirty-three million Vietnamese dong*s)
- Stock code: VIG
- Company's governance model: General Meeting of Shareholders, Board of Management, Board of Supervisors and General Director
- Regarding the implementation of internal audit function: Implemented

I. ACTIVITIES OF THE GENERAL MEETING OF SHAREHOLDERS

Information on meetings and Resolutions/Decisions of the General Meeting of Shareholders (including Resolutions of the General Meeting of Shareholders adopted in the form of written opinions):

No	Resolution/Decision No	Date	Content
1	01/2026/NQ/DHDCD-VISC	15/04/2026	- Report on the 2025 business results and the 2026 business plan from the General Director Board; - Board of Directors' Report on Activities in 2025 and Operational Directions in 2026; - Report from the Board of Supervisors on the business results, as well as the performance of the Board of Directors and the General Director Board; - Report on the approval of remuneration for the Board of Directors and the Board of Supervisors for 2025 and the Remuneration Plan in 2026;

			- Proposal for approval of the Audited Financial Statements for 2025; - Proposal for selection of the auditing firm for the 2026 financial statements; - Proposal for profit distribution in 2025 and expected in 2026; - Proposal for private placement of shares; - Proposal for change of the legal representative, the head office, and the amendment of the Company's Charter; - Proposal on the dismissal and additional election of a replacement member of the Board of Directors for the 2023–2028 term; - Proposal for approval of several other matters within the authority of the 2026 Annual General Meeting of Shareholders, including: continuing the implementation of the registration for the additional business of securities underwriting, and extending the deadline for submitting dossiers, documents, and papers related to the Debt Purchase and Sale Agreement
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II. BOARD OF MANAGEMENT:

1. Information of the members of Board of Director (BOD):

No	Member of BOD	Position	Date of starting/cease being a member of the Board of Management	
			Date of appointment	Date of dismissal
1	Mr. Nguyen Phuc Long	Chairman of BOD	23/3/2023	
2	Mr. Ho Ngoc Hai	Vice Chairman of BOD	15/04/2026	
3	Mr. Duong Quang Trung	Member of BOD	23/3/2023	
4	Ms. Dao Thi Thanh	Member of BOD	23/3/2023	
5	Mr. Nguyen Viet Viet	Member of BOD	23/3/2023	
6	Mr. Nguyen Xuan Bieu	Member of BOD	23/3/2023	15/04/2026

2. Meetings of the Board of Director

No	Member of BOD	Position	Number of Board of Director meetings attended	Meeting attendance rate	Reason for absence
1	Mr. Nguyen Phuc Long	Chairman of BOD	07/07	100%	
2	Mr. Ho Ngoc Hai	Vice Chairman of BOD	07/07	100%	
3	Mr. Duong Quang Trung	Member of BOD	07/07	100%	
4	Ms. Dao Thi Thanh	Member of BOD	07/07	100%	
5	Mr. Nguyen Viet Viet	Member of BOD	07/07	100%	

3. The Board of Directors' Supervision of the Board of Management:

Based on the policies, strategies, business plans, and resolutions approved by the General Meeting of Shareholders, as well as the Company's internal regulations and applicable laws, during the first 06 months of 2026, the Board of Directors held Board meetings to provide direction, exercise close supervision, and establish strategic orientations for the management and operation of the Board of Management.

The Board of Directors also promptly addressed matters falling within its authority, thereby facilitating the effective management and operation of the Board of Management. Specifically:

- Successfully organize the Annual General Meeting of Shareholders in 2026.
- To promulgate the Risk Management Policy and Risk Limit Framework; and to issue the Regulations on Delegation of Authority, as well as the regulations governing the functions, duties, and responsibilities of the Company's departments and divisions.
- To appoint and assign key personnel possessing the requisite professional expertise and managerial competence, in alignment with the Company's strategic direction and business objectives.
- Carry out the procedures for amending the Enterprise Registration Certificate and the License for Establishment and Operation of the Securities Company with the competent state authorities.
- Implemented business activities in accordance with the business plan approved by the General Meeting of Shareholders.

Through monitoring and evaluating compliance, the Board of Directors recognizes that the Board of Directors has exercised its assigned rights and duties in accordance with the

provisions of law, the Charter, the Resolutions of the Board of Directors and the General Meeting of Shareholders honestly, cautiously, and effectively, ensuring maximum benefits for the Company and shareholders

4. Activities of subcommittees under the Board of Directors:

The Audit Committee under the Board of Directors – Internal Audit Department fulfilled its key functions and responsibilities as follows:

- Advise on establishing policies and procedures in internal audit work to ensure the Company's business operations are in accordance with the provisions of law.
- Conduct quarterly internal audits, report the results to the Board of Management and direct timely handling plans.

5. Resolutions/Decisions of the Board of Directors in first 06 months of 2026:

No	Resolution/Decision No	Date	Content	Rate of approval
1	01/2026/NQ/HDQT-VISC	21/01/2026	Approval of the continued implementation of the Company's Risk Policy and Risk Limit	100%
2	02/2026/NQ/HDQT-VISC	09/02/2026	Approval of the Company's organizational structure, the functions and duties of its departments/divisions, and the internal authorization and approval matrix governing the operations of such departments/divisions	100%
3	03/2026/NQ/HDQT-VISC	27/02/2026	Approval of the plan for convening the 2026 Annual General Meeting of Shareholders.	100%
4	04/2026/NQ/HDQT-VISC	16/03/2026	Approval of the dismissal of the Person in Charge of Accounting and the appointment of the Chief Accountant of the Company.	100%
5	05/2026/NQ/HDQT-VISC	08/04/2026	Approval of the appointment of the Deputy General Director of the Company	100%
6	08/2026/NQ/HDQT-VISC	15/06/2026	Approval of the designation of the Company's legal representative	100%
7	09/2026/NQ/HDQT-VISC	18/06/2026	Approval of the change of	100%

			personnel holding the position of Vice Chairman of the Board of Directors of the Company	
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III. BOARD OF SUPERVISORS:

1. Information of members of Board of Supervisors

No	Member of Board of Supervisors	Position	Date of starting/cease being a member of the Board of Supervisors	Qualification
1	Ms. Pham Thi Tu Anh	Head of Board of Supervisors	23/3/2023	Bachelor of Banking and Finance
2	Ms. Nguyen Thi Kim Oanh	Member of Board of Supervisors	23/3/2023	Bachelor of Accounting
3	Ms. Vu Thi Thanh Hai	Member of Board of Supervisors	23/3/2023	Bachelor of Accounting

2. Meetings of Board of Supervisors

No	Member of Board of Supervisors	Position	Number of meetings as attended	Rate of attendance	Voting rate	Reason for absence
1	Ms. Pham Thi Tu Anh	Head of Board of Supervisors	1/1	100%	100%	
2	Ms. Nguyen Thi Kim Oanh	Member of Board of Supervisors	1/1	100%	100%	
3	Ms. Vu Thi Thanh Hai	Member of Board of Supervisors	1/1	100%	100%	

3. Supervisory activities of the Board of Supervisors towards the Board of Management, the Executive Board of Directors and shareholders:

- Participate in successfully organizing the Annual General Meeting of Shareholders in 2026 and supervise the implementation of the Resolutions of the General Meeting of Shareholders

in 2026, Resolutions/Decisions of the Board of Management and the Executive Board.

- Review compliance with regulations on ensuring safety in business, analyze plans and potential risks. Control compliance with regulations on information disclosure of the Company in accordance with the provisions of law.
 - In the first 6 months of 2026, the Board of Supervisors has completed participating in the Board of Management' meetings, supervising the Company's management and operation activities in compliance with the provisions of law, the Law on Enterprises, the Charter, and the Corporate Governance Regulations for the Board of Directors and the Board of Management.
- 4. Coordination between the Board of Supervisors and the activities of the Board of Management, the Board of Directors and other managers:**
- The members of the Board of Supervisors always proactively coordinate and discuss with each other and with the Board of Management, the Board of Directors to resolve difficulties and have timely solutions.
 - The Board of Supervisors recorded no abnormalities in the activities of the members of the Board of Management, the Board of Directors and the managers of the Company.
 - The Board of Management regularly held regular and ad hoc meetings as prescribed to deploy the work of monitoring and orienting the Company's business activities.
 - Prepare quarterly operational reports in a timely manner and ensure compliance with applicable legal regulations.

5. Other activities of the Board of Supervisors (if any): None

IV. EXECUTIVE BOARD

No	Member of Executive Board	Date of birth	Qualification	Date of appointment	Date of dismissal
1	Duong Quang Trung	01/9/1975	Bachelor of Economics, major in Accounting, Master of Business Administration	18/08/2023	
2	Pham Thi Hong Nhung	01/03/1985	Bachelor of Economics	01/08/2025	
3	Ta Anh Quang	27/11/1983	Master of Finance and Banking	08/04/2026	

V. CHIEF ACCOUNTANT

Full name	Date of birth	Qualification	Date of appointment/dismissal
Cao Mai Chi	10/05/1981	Master of Economics	16/03/2026

VI. TRAINING ON CORPORATE GOVERNANCE:

The Board of Directors is always interested in promoting and perfecting the Company's governance on the basis of compliance with current legal regulations. In that spirit, the Board of Management has implemented public governance courses for members to fully implement corporate governance.

VII. LIST OF RELATED PERSONS OF THE LISTED COMPANY (FIRST 6 MONTHS OF 2026) AND TRANSACTIONS OF RELATED PERSONS OF THE COMPANY WITH THE COMPANY ITSELF

1. **List of related persons of the Company:** Details are shown in the List attached to this Report (Appendix I).
2. **Transactions between the company and related persons of the company; or between the company and major shareholders, insiders, and related persons of insiders:**

No.	Name of organization/ individual	Relationship with the Company	No.* date of issue, place of issue	Address	Time of transactions with the Company	Resolution No. or Decision No. approved by General Meeting of Shareholders/ Board of Directors	Content, quantity, total value of transaction
1	Thang Long Phu Tho investment Joint Stock Company	Related parties of insiders	2600840484, issued for the first time on July 28, 2011, and amended for the 10th time on September 11, 2024 by Department of Finance of Phu Tho	King's Garden, Tu Vu Commune, Phu Tho Province.	First 06 months of 2026		Providing services: 37.268.000 VND

3. **Transactions between insiders of listed company, related persons of insiders and subsidiaries, companies controlled by the listed company:** None
4. **Transactions between the company and other entities:** None

VIII. TRANSACTIONS IN SHARES OF INSIDERS AND RELATED PERSONS OF

INSIDERS (FIRST 06 MONTHS OF 2026):

1. **List of insiders and related persons of insiders:** Details are shown in the List attached to this Report (Appendix II).
 2. **Transactions of insiders and related persons on shares of listed company:** None
- IX. **Other notes:** None

**CHAIRMAN OF BOARD OF
DIRECTORS**



Nguyễn Phúc Long

APPENDIX I. LIST OF INSIDER AND RELATED PERSONS

No	Full name	Securities trading account (if any)	Position in the company (if any)	Type of NSH Paper, NSH Date of issue, NSH issue place	Head office address/ Contact address	Date become related person	Date become non related person.	Reason for changing
1	Nguyen Phuc Long		Chairman			23/03/2023		
2	Duong Quang Trung		Member of BOD/ General Director			23/03/2023		
3	Nguyen Viet Viet		Member of BOD			23/03/2023		
4	Ho Ngoc Hai		Vice Chairman of BOD			15/04/2026		

9	Vu Thi Thanh Hai		Member of the Supervisory Board		23/03/2023		
10	Nguyen Thi Kim Oanh		Member of the Supervisory Board		23/03/2023		
11	Nguyen Thanh Van		Internal Audit Officer		08/04/2025		
12	Cao Mai Chi		Chief Accounting		16/03/2026		

APPENDIX II. LIST OF INSIDER AND RELATED PERSONS (INDIVIDUALS, ORGANIZATIONS) OF INSIDER

No	Full name	Securities trading account (if any)	Position in the company (if any)	Relationship with insiders	Type of NSH Paper, Date of issue, issue place	Head office address/ Contact address	Number of shares owned at the end of the period	Rate of shares owned at the end of the period	Note
1	Nguyen Phuc Long		Chairman of BOD				-	0	
1.1	Ho Thanh Huong			Spouse			-	0	
1.2	Nguyen Ho Huong Ly			Child			-	0	
1.3	Nguyen Ho Phuc Lan			Child			-	0	
1.4	Nguyen Ho Kim Phung			Child			-	0	

1.5	Nguyen Ho Phuc Anh			Child		-	0	
1.6	Nguyen Ho Bao Tran			Child				
1.7	Nguyen Van Thuong			Father		-	0	
1.8	Nguyen Thi Minh Chau			Mother		-	0	
1.9	Ho Van Son			Father-in-law		-	0	

1.10	Nguyen Thi Hanh Lien			Sibling			-	0	
1.11	Nguyen Xuan Bieu			Sibling-in-law			-	0	
1.12	Nguyen Thi Hanh Loan			Sibling			-	0	
1.13	Tran Duc Dung			Sibling-in-law			-	0	
1.14	Thang Long investment group JSC			Chairman of BOD	0101164614, issued for the 33st time on June 05, 2026, by the Hanoi Department of Finance	8th Floor, Tower B, Song Da Building, Pham Hung Street, Tu Liem Ward, Ha Noi City	-	0	
1.15	Sakura Real Estate JSC			Vice Chairman of BOD	0104178615, issued for the 16th time on December 16, 2024, by the Hanoi	No. 108 Nguyen Trai Street, Thanh Xuan Ward, Ha Noi City	-	0	

					Department of Finance				
2	Duong Quang Trung		Member of BOD/ General Director			-	0		
2.1	Vu Thi Thanh			Mother		-	0		
2.2	Duong Anh Tuan			Sibling		-	0		
2.3	Le Thi Minh Hang			Sibling-in-law		-	0		
2.4	Duong Thi Tu Anh			Sibling		-	0		

2.5	Than Van Toan			Father -in - law		-	0		
2.6	Ta Thi Kien			Mother -in - law		-	0		
2.7	Duong Hai Nam			Child		-	0		
2.8	Thang Long investment group JSC			Member of BOD		0101164614, issued for the 33st time on June 5, 2026, by the Hanoi Department of Finance	8th Floor, Tower B, Song Da Building, Pham Hung Street, Tu Liem Ward, Ha Noi City	-	0
3	Nguyen Viet Viet		Member of BOD			-	0		
3.1	Nguyen Bac Huong			Father		-	0		



3.2	Vu Thi Bich			Mother		-	0	
3.3	Nguyen Phi Long			Sibling		-	0	
3.4	Nguyen Viet Hung			Sibling		-	0	
3.5	Le Thi Hong Van			Sibling-in-law		-	0	
3.6	Hoang Hong Nhung			Sibling-in-law		-	0	

3.7	Nguyen Ngoc Gia Khanh			Child		-	0	
3.8	Nguyen Khoi Nguyen			Child		-	0	
3.9	Nguyen Ngoc Gia An			Child		-	0	
4	Dao Thi Thanh		Member of BOD			-	0	
4.1	Cao Thi Khieu			Mother		-	0	
4.2	Dao Thi Thang			Sibling		-	0	

4.3	Dao Thi Nhung			Sibling			-	0	
4.4	Dao Thi Loi			Sibling			-	0	
4.5	Tran Ngoc Quang			Sibling-in-law			-	0	
4.6	Nguyen Hong Hai			Sibling-in-law			-	0	
4.7	Nguyen The Nam			Sibling-in-law			-	0	
4.8	Thang Long investment group JSC			Member of BOD / Deputy General Director/ Chief	0101164614, issued for the 33st time on June 5, 2026, by the Hanoi Department of Finance	8th Floor, Tower B, Song Da Building, Pham Hung Street, Tu Liem Ward, Ha Noi City	-	0	

				Financial Officer					
5	Ho Ngoc Hai		Vice Chairman of BOD				-	0	
5.1	Ho Van Son			Parent			-	0	
5.2	Ho Thanh Huong			Sibling			-	0	
5.3	Nguyen Phuc Long		Chairman of BOD	Sibling-in-law			-	0	
5.4	Vu Thi Phuong Thao			Spouse			-	0	
5.5	Ho Phuc Lam			Child			-	0	

5.6	Ho Bao Tram			Child			-	0	
5.7	Ho Bao Ngoc			Child			-	0	
5.8	Vu Dinh Hien			Parent-in-law			-	0	
5.9	Nguyen Thi Tham			Parent-in-law			-	0	
5.10	Thang Long Phu Tho investment JSC			Chairman of BOD	2600840484, issued for the first time on July 28, 2011, and amended for the 10th time on September 11, 2025, by the Phu Tho Department of Finance	King's Garden, Tu Vu Commune, Phu Tho Province	-	0	
5.11	Thang Long investment group JSC			Member of BOD/ General Director	0101164614, issued for the 33st time on June 5, 2026, by the Hanoi Department of Finance	8th Floor, Tower B, Song Da Building, Pham Hung Street, Tu Liem Ward, Ha Noi City	-	0	
5.12	Sakura Real Estate JSC			General Director	0104178615, issued for the 17th time on August 26, 2025, by the Hanoi Department of Finance	No. 108 Nguyen Trai Street, Thanh Xuan Ward, Ha Noi City	-	0	

6	Pham Thi Tu Anh		Head of the Supervisory Board			-	0	
6.1	Pham Van Tuan			Father		-	0	
6.2	Nguyen Thi Thu Thuy			Mother		-	0	
6.3	Nguyen Trung Kien			Spouse		-	0	
6.4	Nguyen Tu Duong			Child		-	0	
6.5	Nguyen Minh Quang			Child		-	0	
6.6	Nguyen Quoc Khanh			Father-in-law		-	0	

6.7	Nguyen Thi Chung			Mother-in-law		-	0	
6.8	Pham Thi Phuong Lien			Sibling		-	0	
7	Vu Thi Thanh Hai		Member of the Supervisory Board			-	0	
7.1	Nguyen Thi Bich Hang			Mother		-	0	
7.2	Tran Quang Hoa			Spouse		-	0	
7.3	Nguyen Thi Huong			Mother-in-law		-	0	

8	Nguyen Thi Kim Oanh		Member of the Supervisory Board			-	0	
8.1	Tran Thi Thu Hang			Mother		-	0	
8.2	Ta Manh Cuong			Spouse		-	0	
8.3	Ta Minh Thanh			Child		-	0	
8.4	Ta Minh Khoi			Child		-	0	
8.5	Ta Hong Tu			Father-in-law		-	0	
8.6	Nguyen Thi Phan			Mother-in-law		-	0	

8.7	Nguyen Thi Le Hang			Sibling		-	0	
8.8	Nguyen Van Boi			Sibling-in- law		-	0	
8.9	Nguyen Thi Hai Yen			Sibling		-	0	
8.10	Vu Ngoc Toan			Sibling-in- law		-	0	



9	Pham Thi Hong Nhung		Deputy General Director/ Corporate governance officer/ Information Disclosure Officer			-	0	
9.1	Pham Ngoc Dan			Parent		-	0	
9.2	Pham Thi Lan			Parent		-	0	
9.3	Pham Tien Dung			Sibling		-	0	
9.4	Tran Thi Nhung			Sibling-in-law		-	0	

9.5	Pham Thi Thu Phuong			Sibling		-	0	
9.6	Thai Duc Trung			Sibling-in-law		-	0	
9.7	Nguyen Tien Thanh			Spouse		-	0	
9.8	Nguyen Van Khanh			Father-in-law		-	0	
9.9	Pham Thi Yen			Mother-in-law		-	0	
9.10	Nguyen Linh Dan			Child		-	0	

10.6	Ta Quang Nguyen			Older brother		-	0	
10.7	Nguyen Thi Hang			Sister-in-law		-	0	
10.8	Ta Thi Thanh Binh			Older sister		-	0	
10.9	Nguyen Tien Manh			Brother-in- law		-	0	
10.10	Vu Thi Huyen Trang			Wife		-	0	
10.11	Ngo Thi Hoa			Mother-in- law		-	0	
10.12	Ta Dang Khoa			Son		-	0	
10.13	Ta Vu Thu Quynh			Daughter		-	0	

11	Cao Mai Chi		Chief Accountant		-	0	
11.1	Nguyen Thi Mai Hoa			Parent	-	0	
11.2	Cao Huu Dung			Sibling	-	0	
11.3	Nguyen Dieu Linh			Sibling – in - law	-	0	
11.4	Nguyen Van Duc Phat			Child	-	0	

11.5	Nguyen Van Duc Phuoc			Child		-	0	
12.	Nguyen Thanh Van		Internal Auditor			-	0	
12.1	Nguyen Dinh Tuan			Father		-	0	
12.2	Duong Thi Ngu			Mother		-	0	
12.3	Nguyen Hoang Duy			Sibling		-	0	
12.4	Le Huyen Trang			Sibling-in-law		-	0	
12.5	Le Hoang Anh			Spouse		-	0	

12.6	Le Minh Khoi			Child		-	0	
12.7	Le Minh khue			Child		-	0	
12.8	Le Van Thanh			Parent-in-law		-	0	
12.9	Hoang Thi Hoa			Parent-in-law		-	0	