



No.: 441/QĐ-UBCK

Hanoi, July 22, 2026

DECISION

**On the amendment to the Decision approving the establishment of
a securities company branch**

CHAIRPERSON OF THE STATE SECURITIES COMMISSION

Pursuant to the Law on Securities No. 54/2019/QH14, as amended and supplemented by Law No. 56/2024/QH15;

Pursuant to 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, as amended and supplemented by Decree No. 245/2025/ND-CP dated September 11, 2025;

Pursuant to Decision No. 686/QĐ-BTC dated February 28, 2025 of the Minister of Finance defining the functions, duties, powers and organizational structure of the State Securities Commission;

Pursuant to the License for Establishment and Operation No. 69/UBCK-GPHDKD dated August 28, 2007 issued by the Chairperson of the State Securities Commission to VNS Securities Joint Stock Company (now Guotai Haitong Securities (Vietnam) Corp.);

Pursuant to Decision No. 292/QĐ-UBCK dated 16 April 2008 of the Chairperson of the State Securities Commission approving the establishment of the branch of VNS Securities Joint Stock Company (currently Guotai Haitong Securities (Vietnam) Corp.) under the name VNS Securities Joint Stock Company – Ho Chi Minh City Branch (currently Guotai Junan Securities (Vietnam) Corp. – Ho Chi Minh City Branch);

Pursuant to the dossier requesting the change of name and the documents requesting the update of the head office address information due to changes in administrative boundaries of Guotai Haitong Securities (Vietnam) Corp.;

At the request of the Head of the Securities Business Management Department.

DECIDES:

Article 1. To amend the Decision approving the establishment of the securities company branch under Decision No. 292/QĐ-UBCK dated 16 April 2008 issued by the Chairperson of the

State Securities Commission approving the establishment of Guotai Haitong Securities (Vietnam) Corp. – Ho Chi Minh City Branch, with the following amendments:

- Branch name:
- + Vietnamese name: CÔNG TY CỔ PHẦN CHỨNG KHOÁN GUOTAI HAITONG (VIỆT NAM) – CHI NHÁNH HỒ CHÍ MINH
- + English name: GUOTAI HAITONG SECURITIES (VIETNAM) CORP. – HO CHI MINH BRANCH
- + Branch address: 3rd Floor, 2 Bis Cong Truong Quoc Te, Xuan Hoa Ward, Ho Chi Minh City, Vietnam.

Article 2. This Decision shall take effect from the date of its signing and shall constitute an integral part of the License for Establishment and Operation No. 69/UBCK-GPHĐKD dated 28 August 2007, issued by the Chairperson of the State Securities Commission of Vietnam to Guotai Haitong Securities (Vietnam) Corp., and Decision No. 292/QĐ-UBCK dated 16 April 2008 of the Chairperson of the State Securities Commission approving the establishment of Guotai Haitong Securities (Vietnam) Corp. – Ho Chi Minh Branch.

Article 3. The Chief of Office; the Director General of the Securities Business Management Department; the Chief Executive Officer of the Vietnam Stock Exchange; the Chief Executive Officer of the Ho Chi Minh Stock Exchange; the Chief Executive Officer of the Hanoi Stock Exchange; the General Director of the Vietnam Securities Depository and Clearing Corporation (VSDC); Guotai Haitong Securities (Vietnam) Corp.; and other relevant organizations and individuals shall be responsible for the implementation of this Decision.

Recipients:

- *As prescribed in Article 3;*
- *Chairperson (for reporting);*
- *Archived at: Office, Business Management Department (10 copies).*

**FOR THE CHAIRPERSON
VICE CHAIRPERSON**

[Signed and sealed]
Le Thi Viet Nga