

SUBMISSION

(Re: The Company's Provision of Securities Transaction Clearing and Settlement Services under the Central Counterparty (CCP) Mechanism)

To: The General Meeting of Shareholders of Wall Street Securities Corporation

On 25 June 2026, the State Securities Commission of Vietnam issued Official Letter No. 896/UBCK-QLKD announcing the plan to implement securities transaction clearing and settlement under the Central Counterparty (CCP) mechanism for the underlying securities market. This is a new clearing and settlement method expected to be implemented from 2027. The State Securities Commission of Vietnam is expected to consider granting Certificates of Eligibility to Provide Securities Transaction Clearing and Settlement Services to securities companies, as a basis for the Company to implement securities transaction clearing and settlement under the Central Counterparty (CCP) mechanism of the Vietnam Securities Depository and Clearing Corporation.

Pursuant to the Law on Securities and Decree No. 155/2020/ND-CP dated 31 December 2020 of the Government, detailing the implementation of a number of articles of the Law on Securities, in order for Wall Street Securities Corporation to be granted a Certificate of Eligibility to Provide Securities Transaction Clearing and Settlement Services under the Central Counterparty mechanism and become a clearing member of the Vietnam Securities Depository and Clearing Corporation, the Board of Directors respectfully submits to the General Meeting of Shareholders for approval the following matter: Wall Street Securities Corporation shall provide securities transaction clearing and settlement services under the Central Counterparty (CCP) mechanism for the underlying securities market.

The Board of Directors respectfully requests the General Meeting of Shareholders to consider and approve the above proposal.

Yours sincerely,

Recipients:

- *Shareholders of Wall Street Securities Corporation (for written consultation);*
- *Archived at the Office of the Board of Directors and the Company's archives.*

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



NGUYEN DINH TU

SHAREHOLDERS' WRITTEN OPINION FORM

I. PURPOSE OF COLLECTING SHAREHOLDERS' OPINION

Wall Street Securities Corporation (Enterprise Registration No. 0102590252) collects Shareholders' written opinions to approve the Resolution of the General Meeting of Shareholders on the Company's provision of securities transaction clearing and settlement services under the central counterparty (CCP) mechanism for the underlying securities market.

II. SHAREHOLDER INFORMATION

Shareholder:
Nationality:
Citizen ID/Passport/Enterprise Registration No.: Date of issue:../../.....
Address:
Telephone: :
Number of shares held as of the voting date:(shares)

III. MATTER FOR CONSULTATION AND VOTING OPTIONS

Matter	Agree	Disagree	No opinion
Agree with the Company's provision of securities transaction clearing and settlement services under the central counterparty (CCP) mechanism for the underlying securities market, as detailed in Submission No. 39 dated 28/9/2026 and the attached Draft Resolution.	☐	☐	☐

IV. VOTING METHOD AND RESPONSE DEADLINE

- Shareholders shall indicate their opinions by marking "x" or "√" in the corresponding voting box in Section III above.
- Sign for confirmation section below (for an institutional shareholder, the signature must be that of its lawful authorized representative or legal representative and affixed with the entity's seal) and send the ballot to Wall Street Securities Corporation by one of the following methods:
 - Place the ballot in a sealed envelope and send it to: Office of Wall Street Securities Corporation, No. 243A De La Thanh Street, Lang Ward, Hanoi City, Vietnam. For forms received after the deadline, the postmark shall apply.
 - Send by email to: Info@wss.com.vn



3. Deadline for shareholders to return the Opinion Form: no later than 5:00 p.m. on 12/10/2026, based on the postmark and/or the time the email is received.

Best regards./.

**SIGNATURE CONFIRMATION
OF SHAREHOLDER'S**

(Signature and full name, if the shareholder is an individual; or signature of the legal representative, full name and seal, if the shareholder is an organization.)

**CHAIRMAN OF THE BOARD OF
DIRECTORS**



NGUYEN DINH TU



No.: 44./2026/TB-WSS

-----o0o-----
Hanoi, 28 September 2026

Re: Written consultation of shareholders

NOTICE OF WRITTEN CONSULTATION OF SHAREHOLDERS IN 2026

To: Shareholders of Wall Street Securities Corporation

Pursuant to:

- *The Law on Enterprises No. 59/2020/QH14 dated 17 June 2020 and its amendments and implementing guidance;*
- *The Law on Securities No. 54/2019/QH14 dated 26 November 2019 and its amendments and implementing guidance;*
- *The Law No. 56/2024/QH15 dated 29 November 2024 amending and supplementing a number of articles of the Law on Securities, Law on Accounting, Law on Independent Audit, Law on State Budget, Law on Management and Use of Public Property, Law on Tax Administration, Law on Personal Income Tax, Law on National Reserves, and Law on Handling of Administrative Violations;*
- *The Charter of Wall Street Securities Corporation;*
- *Resolution No. 31/2026/NQ-BOD dated 26 August 2026 of the Board of Directors.*

The Board of Directors of Wall Street Securities Corporation (the “Company”) hereby gives notice of the written consultation of shareholders in 2026, with the following details:

1. Shareholders entitled to provide opinions: Shareholders holding shares of the Company as identified in the shareholder list finalized as of 22 September 2026.

2. Matters for consultation:

- Approval of the full text of Submission No. 39 dated 28 September 2026 regarding the Company’s provision of securities transaction clearing and settlement services under the central counterparty (CCP) mechanism for the underlying securities market.
- Detailed information has been posted on the website <https://www.wss.com.vn/> and is enclosed with this Notice.

3. Deadline and method for shareholders to submit their opinions

- Deadline for submitting the written opinion form to the Company: from the date of this Notice until 5:00 p.m. on 12 October 2026.

If the Company receives completed opinion forms from all shareholders before the above deadline, the consultation may be closed earlier.

- Voting method: as specified in the attached Opinion Form.



- Method of submission: deliver the Opinion Form in person or send it by post to the Company at the following address:

Office of Wall Street Securities Corporation, No. 243A De La Thanh Street, Lang Ward, Hanoi City, Vietnam.

4. Expected time for compiling opinions and counting votes:

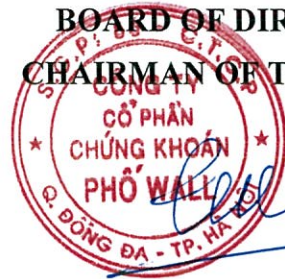
After 5:00 p.m. on 12 October 2026, or when WSS has received opinion forms from all shareholders, whichever occurs first, the Company will compile the shareholders' opinions and announce the voting results in accordance with applicable regulations. Shareholders are respectfully requested to indicate their votes on the Opinion Form and return it to the Company within the prescribed deadline.

Yours sincerely,

Recipients:

- *As stated above;*
- *Filed.*

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



NGUYEN DINH TU



DRAFT

RESOLUTION OF THE GENERAL MEETING OF SHAREHOLDERS

(Re: The Company's provision of securities transaction clearing and settlement services under the central counterparty (CCP) mechanism for the underlying securities market of the Vietnam Securities Depository and Clearing Corporation)

**GENERAL MEETING OF SHAREHOLDERS
WALL STREET SECURITIES CORPORATION**

- Pursuant to the Law on Enterprises No. 59/2020/QH14 adopted by the National Assembly of the Socialist Republic of Vietnam on 17 June 2020;
- Pursuant to the Law on Securities No. 54/2019/QH14 adopted by the National Assembly of the Socialist Republic of Vietnam on 26 November 2019 and its implementing documents;
- Pursuant to the Charter and organizational and operational regulations of Wall Street Securities Corporation;
- Submission No. 39/2026/TT-HĐQT dated 28/9/2026 of the Chairman of the Board of Directors;
- Pursuant to the Minutes of Vote Counting for the Written Shareholder Consultation No. ____/WSS-BBKP dated ____ 2026.

HEREBY RESOLVES:

Article 1. To approve the Company's provision of securities transaction clearing and settlement services under the Central Counterparty (CCP) mechanism for the underlying securities market.

Article 2. To assign the General Director to direct the preparation of the application dossier for the Certificate of Eligibility to Provide Securities Transaction Clearing and Settlement Services and submit it to the State Securities Commission of Vietnam, and to carry out all necessary related tasks to enable the Company to implement the provision of securities transaction clearing and settlement services under the Central Counterparty (CCP) mechanism for the underlying securities market.

Article 3. This Resolution shall take effect from the date of signing. The General Director, relevant departments and individuals shall be responsible for implementing this Resolution./.

Recipients:

- *As in Article 3.;*
- *VP. HĐQT;*
- *Filed.*

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

NGUYEN DINH TU