

MINISTRY OF FINANCE
STATES SECURITIES COMMISSION

SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness

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No: 113/GPĐC-UBCK

Hanoi, September 28th 2026



AMENDED LICENSE

License for Establishment and Operation of Securities Business

CHAIRMAN OF THE STATE SECURITIES COMMISSION

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

Based on Government Decree No. 155/2020/ND-CP dated December 31, 2020, detailing the implementation of a number of articles of the Securities Law, as amended and supplemented by Government Decree No. 245/2025/ND-CP dated September 11, 2025;

Pursuant to the Government's Resolution No. 24/2026/NQ-CP dated April 29, 2026, on the reduction, decentralization, and simplification of administrative procedures and business conditions in the fields of national defense, home affairs, finance, construction, foreign affairs, justice, and banking

Based on Decision No. 686/QĐ-BTC dated February 28, 2025, of the Minister of Finance, which stipulates the functions, tasks, powers, and organizational structure of the State Securities Commission;

Based on Establishment and Operation License No. 109/UBCK-GPHDKD dated January 28, 2010, issued by the Chairman of the State Securities Commission to Saigon Thuong Tin Bank Securities Joint Stock Company (now SBS Securities Joint Stock Company);

Based on the dossier requesting a change in the charter capital of SBS Securities Joint Stock Company;

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

DECISION:

Article 1. Amendment to License for Establishment and Operation No. 109/UBCK-GPHDKD dated January 28, 2010, issued by the Chairman of the State Securities Commission to SBS Securities Joint Stock Company, with the following details:

Charter capital: VND 1,561,076,000,000 (One trillion five hundred sixty-one billion seventy-six million Vietnamese Dong).



Article 2. This license takes effect from the date of signing and constitutes an integral part of the License for Establishment and Operation No. 109/UBCK-GPHĐKD dated January 28, 2010, issued by the Chairman of the State Securities Commission to SBS Securities Joint Stock Company.

Article 3. This amended license is executed in two (02) original copies: one (01) copy issued to SBS Securities Joint Stock Company and one (01) copy retained at the State Securities Commission.

**CÔNG TY
CỔ PHẦN
CHỨNG
KHOÁN
SBS**

Digitally signed by CÔNG TY CỔ PHẦN CHỨNG
KHOÁN SBS
DN: C=VN, S=THÀNH PHỐ HỒ CHÍ MINH, CN=
CÔNG TY CỔ PHẦN CHỨNG KHOÁN SBS,
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**SIGNED BY THE CHAIRMAN
VICE PRESIDENT**

/Signed and sealed/

LE THI VIET NGÀ

