



MINISTRY OF FINANCE
STATE SECURITIES COMMISSION

SOCIALIST REPUBLIC OF VIET NAM
Independence – Freedom – Happiness

No. 10055/UBCK-QLKD

Hanoi, October 09, 2026

Re: Report on the ESOP share issuance of
An Binh Securities Joint Stock Company

To: An Binh Securities Joint Stock Company

The State Securities Commission of Vietnam (SSC) has received the documents reporting the issuance of shares under the Employee Stock Ownership Plan (ESOP) of An Binh Securities Joint Stock Company (the “Company”), as set out in Issuance Report No. 353/ABS-IB.26 dated 2 October 2026. The SSC hereby provides its opinions as follows:

1. Organizations and individuals participating in the preparation of dossiers, documents, and reports relating to securities activities and the securities market shall be legally responsible for the legality, accuracy, truthfulness, and completeness of such dossiers, documents, and reporting documents. Organizations and individuals involved in certifying dossiers and reporting documents shall be responsible before the law within the scope related to such dossiers and reporting documents in accordance with Clause 1, Article 11a of the Law on Securities, as supplemented by Clause 4, Article 1 of Law No. 56/2024/QH15.

2. The SSC has published on its official website a notice confirming receipt of the complete set of documents reporting the Company's issuance of shares under its employee stock ownership plan. The Company's ESOP share issuance plan shall be implemented in accordance with Resolution No. 17/NQ-DHDCD2026 of the 2026 Annual General Meeting of Shareholders dated 18 March 2026, Corporate Governance Resolution No. 6, 68/NQ-HDQT2026 dated 7 September 2026, Board of Directors Resolution No. 75/NQ-HDQT2026 dated 2 October 2026, and applicable laws and regulations.

3. The SSC requests that the Company comply with the reporting, disclosure and share issuance requirements applicable to its employee stock ownership plan in accordance with 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, as amended and supplemented by Decree No. 245/2025/ND-CP dated 11 September 2025.



The SSC hereby notifies the Company for its information and compliance./.

Recipients:

- As stated above;
- Chairperson of the SSC (for reporting purposes)
- VNX, HOSE, VSDC;
- Archived: VT, AOLMD

**FOR AND ON BEHALF OF THE CHAIRPERSON
DIRECTOR GENERAL OF THE SECURITIES
BUSINESS MANAGEMENT DEPARTMENT**

(Signed)

Hồ Thị Hằng

