SAIGON – HANOI SECURITIES JOINT STOCK COMPANY	**SOCIALIST REPUBLIC OF VIETNAM Independence – Freedom – Happiness**
No: 09/2026/TTr-ĐHĐCĐ	*Hanoi, March 26, 2026*

PROPOSAL

(Re: Provision of Clearing and Settlement Services for Securities Transactions through a Central Counterparty and Offering of Financial Products)

To: **THE GENERAL MEETING OF SHAREHOLDERS**

Pursuant to:

- *The Law on Enterprises no. 59/2020/QH14 dated June 17, 2020; the Law on Securities no. 54/2019/QH14 dated November 26, 2019, and their amendments and implementing regulations;*
- *The Decree no. 155/2020/NĐ-CP dated December 31, 2020 guiding the implementation of a number of articles of the Law on Securities, as amended and supplemented;*
- *The applicable Charter of Saigon – Hanoi Securities Joint Stock Company.*

The plan for provision of clearing and settlement services for securities transactions through a central counterparty was approved by the General Meeting of Shareholders (GMS) of Saigon – Hanoi Securities Joint Stock Company (Company/SHS) at the Annual General Meeting 2025.

The provision of securities clearing and settlement services through a Central Counterparty (CCP) has not yet been implemented, as the State Regulatory Authority has not organized its execution. As soon as the competent authority initiates the implementation of this activity, the Company will register and carry out the operations in accordance with applicable laws and regulations.

Pursuant to Article 202 of the Decree no. 155/2020/NĐ-CP dated December 31, 2020, a securities company must obtain approval from the GMS prior to implementing the offering of financial products. The Ministry of Finance shall provide guidance on financial products, including documentation, procedures, processes for offering, as well as other related matters concerning the offering, trading, reporting, and disclosure of financial products.

The policy to implement financial product offerings was approved by the Company's GMS at the Annual General Meeting 2025. However, as of now, the Ministry of Finance has not yet issued further guidance on financial products that align with SHS' business needs and objectives.

In order to establish a legal basis for implementing the above activities in 2026, when market conditions become more stable, opportunities are clearer, and relevant guidance has been issued by the State Regulatory Authorities for implementation in the securities market, the

Board of Directors (BOD) respectfully submits to the GMS for approval the following proposal:

1. Approval for SHS to implement the following additional business activities:

(i) Provision of clearing and settlement services for securities transactions through CCP;

(ii) Offering financial products that comply with applicable laws, guidance from the State regulatory authorities, and the Company's internal regulations.

2. To authorize the BOD to decide on and approve specific plans for implementing the activities stated in Section 1 above.

3. To authorize the Company's Chief Executive Officer (CEO) to organize the registration and implementation of the activities stated in Section 1 above, based on the specific plans approved by the BOD, with the competent State regulatory authorities, including but not limited to the preparation, completion, and submission of relevant documents, applications, and dossiers, and the performance of other related tasks, such as:

(i) Application dossier for the Certificate of Eligibility to provide clearing and settlement services for securities transactions through a CCP;

(ii) Application dossier for the Certificate of Eligibility to offer financial products;

(iii) Other documents as required by the State Securities Commission, the Stock Exchange, and other relevant regulatory authorities.

4. To authorize the BOD to issue additional regulations related to the provision of clearing and settlement services for securities transactions through a CCP and the offering of financial products in the Company's Charter and internal regulations (if necessary), to ensure compliance with applicable laws and regulatory requirements.

5. The BOD is permitted to delegate to the Company's CEO the authority to decide on the matters stated in Sections 2 and 4 above within the scope of its authorized powers.

6. The BOD shall be responsible for reporting on the implementation of the assigned and delegated tasks to the GMS at its nearest annual meeting.

Submitted to the General Meeting of Shareholders for approval.

ON BEHALF OF THE BOARD OF DIRECTORS
CHAIRMAN

S.G.P: 66 - C.T.C.P
CÔNG TY CỔ PHẦN CHỨNG KHOÁN SÀI GÒN-HÀ NỘI
P. CỬA NAM - T.P HÀ NỘI

DO QUANG VINH

Recipients:
- As above;
- Information disclosure: SSC, Stock Exchange,
- Archived: BOD's Office.