

Số/No.: 537/2025/CV-SSIHO

V/v: Công bố các Nghị quyết Hội đồng quản trị về việc triển khai phát hành ESOP và ban hành Quy chế Kiểm toán nội bộ

Ref: Disclosing Resolutions of the Board of Directors on implementing the ESOP issuance and promulgating the Regulation on Internal Audit

TP. Hồ Chí Minh, ngày 18 tháng 4 năm 2025
Ho Chi Minh City, April 18th, 2025

CÔNG BỐ THÔNG TIN BẤT THƯỜNG
EXTRAORDINARY INFORMATION DISCLOSURE

Kính gửi/To: - Ủy ban Chứng khoán Nhà nước/ *The State Securities Commission*
- Sở Giao dịch Chứng khoán Việt Nam/ *Vietnam Stock Exchange*
- Sở Giao dịch Chứng khoán TP. Hồ Chí Minh/ *Hochiminh Stock Exchange*
- Sở Giao dịch Chứng khoán Hà Nội/ *Hanoi Stock Exchange*

1. Tên tổ chức:

Organization name

CÔNG TY CỔ PHẦN CHỨNG KHOÁN SSI

SSI SECURITIES CORPORATION

- Mã chứng khoán:

SSI

Ticker

SSI

- Địa chỉ:

72 Nguyễn Huệ, P. Bến Nghé, Quận 1, TP. Hồ Chí Minh

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2. Nội dung thông tin công bố/ *Contents of disclosure:*

2.1. Nghị quyết số 07/2025/NQ-HĐQT ngày 18/4/2025 của Hội đồng quản trị Công ty Cổ phần Chứng khoán SSI về việc thông qua Triển khai phương án phát hành cổ phiếu theo chương trình lựa chọn cho người lao động theo Nghị quyết số 01/2024/NQ-ĐHĐCĐ ngày 25/4/2024.

Resolution No. 07/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors of SSI Securities Corporation on approval of the Implementation of the Plan on shares issuance under the Employee Stock Ownership Plan according to Resolution No. 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024.

2.2. Nghị quyết số 08/2025/NQ-HĐQT ngày 18/4/2025 của Hội đồng quản trị Công ty Cổ phần Chứng khoán SSI về việc thông qua Quy chế phát hành cổ phiếu theo chương trình lựa chọn cho người lao động.



Resolution No. 08/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors of SSI Securities Corporation on approval of Regulation on shares issuance under Employee Stock Ownership Plan.

- 2.3. Nghị quyết số 09/2025/NQ-HĐQT ngày 18/4/2025 của Hội đồng quản trị Công ty Cổ phần Chứng khoán SSI về việc thông qua Tiêu chí phân bổ cổ phiếu phát hành theo chương trình lựa chọn cho người lao động.

Resolution No. 09/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors of SSI Securities Corporation on approval of Criteria for allocation of shares issued under the Employee Stock Ownership Plan.

- 2.4. Nghị quyết số 10/2025/NQ-HĐQT ngày 18/4/2025 của Hội đồng quản trị Công ty Cổ phần Chứng khoán SSI về việc thông qua Danh sách người lao động đủ điều kiện mua cổ phiếu phát hành theo chương trình lựa chọn cho người lao động.

Resolution No. 10/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors of SSI Securities Corporation on approval of List of employees entitled to purchase shares issued under the Employee Stock Ownership Plan.

- 2.5. Nghị quyết số 11/2025/NQ-HĐQT ngày 18/4/2025 của Hội đồng quản trị Công ty Cổ phần Chứng khoán SSI về việc ban hành Quy chế Kiểm toán nội bộ.

Resolution No. 11/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors of SSI Securities Corporation on promulgation of the Regulation on Internal Audit.

3. Thông tin này đã được công bố trên trang thông tin điện tử của Công ty vào ngày 18/4/2025 tại đường dẫn www.ssi.com.vn.

This information was posted on SSI website on April 18th, 2025 at this link www.ssi.com.vn.

Chúng tôi xin cam kết các thông tin công bố trên đây là đúng sự thật và hoàn toàn chịu trách nhiệm trước pháp luật về nội dung các thông tin đã công bố.

We hereby declare to be responsible for the accuracy and completeness of the above information.

Tài liệu đính kèm/Attached documents:

- Nghị quyết số 07/2025/NQ-HĐQT,
 - Nghị quyết số 08/2025/NQ-HĐQT,
 - Nghị quyết số 09/2025/NQ-HĐQT,
 - Nghị quyết số 10/2025/NQ-HĐQT,
 - Nghị quyết số 11/2025/NQ-HĐQT
- ngày 18/4/2025;
- Resolution No. 07/2025/NQ-HĐQT,*
- Resolution No. 08/2025/NQ-HĐQT,*
- Resolution No. 09/2025/NQ-HĐQT,*
- Resolution No. 10/2025/NQ-HĐQT,*
- Resolution No. 11/2025/NQ-HĐQT*
- dated April 18th, 2025*

Đại diện tổ chức
Organization representative
Người được ủy quyền công bố thông tin
Party authorized to disclose information



Nguyễn Kim Long
Giám đốc Luật và Kiểm soát tuân thủ
Director, Legal and Compliance



No: 07/2025/NQ-HDQT

Ho Chi Minh City, April 18th, 2025

**RESOLUTION
THE BOARD OF DIRECTORS**

**On approval of the Implementation of the Plan on shares issuance
under the Employee Stock Ownership Plan according to
Resolution No. 01/2024/NQ-ĐHĐCĐ**

**THE BOARD OF DIRECTORS
SSI SECURITIES CORPORATION**

Pursuant to

- The Charter of SSI Securities Corporation;
- Resolution No. 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024 of General Meeting of Shareholders of the Company;
- The minutes of collecting voting opinions of members of the Board of Directors on April 18th, 2025;

RESOLVED THAT

Article 1: Approve the implementation of the Plan on shares issuance under the Employee Stock Ownership Plan according to Article 7 Resolution No. 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024 of General Meeting of Shareholders, details as follows:

Name of share	SSI Securities Corporation shares
Ticker	SSI
Type of share	Ordinary shares
Par value	VND 10,000/share
Potential purchaser	Members of the Board of Directors, key personnel of the Company and its subsidiaries
Quantity of issued shares	Maximum 10,000,000 (Ten million) shares
Issuance price	Equal to par value VND 10,000/share
Estimated issuance period	2 nd Quarter of 2025 to end of 4 th Quarter of 2025 and after getting approval from the State Securities Commission
Restricted Period	Only 50% are freely transferrable after 02 years and the remaining 50% are freely transferrable after 03 years from the date of completion of the issuance. Revocation shares of employees purchased under ESOP violating regulations on transferred restriction shall be implemented in compliance with the Regulation on shares issuance promulgated by the Board of Directors.
Ownership ratio of foreign investor	Ownership ratio of foreign investors at SSI is 100%. Therefore, foreign employees who purchase shares under the Plan will not be limited on the ownership ratio of foreign investors.



Criteria for employees participating in the Plan, principles determining the quantity of allocated shares to each potential purchaser According to the Regulation on shares issuance under the Employee Stock Ownership Plan and Criteria on allocating shares under the Plan.

Other detailed contents were approved by Article 7 Resolution No. 01/2024/NQ-DHĐCĐ dated April 25th, 2024 of General Meeting of Shareholders.

Article 2: Authorize the Chairman of the Board of Directors to decide all relevant tasks and sign all relevant dossiers, documents including but not limited to the followings:

- Deciding the specified time to implement the shares issuance;
- Deciding the blocked account to receive the purchasing amount;
- Deciding the allocation of the remaining shares which are not registered for other potential purchasers eligible for standards stipulating in Article 1 of this Resolution;
- Deciding the potential purchaser in compliance with criteria in Article 1 of this Resolution, reporting to competent agencies on the issuance and implementing the relevant procedures in compliance with the applicable laws and competent agencies' requirements;
- Implementing the procedures for registration of shares issuance, additional depository, registration, additional listing of issued shares;
- Revising the Company's Charter to increase charter capital and implementing procedures to increase charter capital according to the issuance results of each batch at competent authorities in accordance with the laws;
- Implementing the necessary legal procedures to change the charter capital in the License on establishment and operation, Enterprise Registration Certificate, which equivalently to total actual par value of issued shares after completing the issuance;
- Other tasks to complete the shares issuance in compliance with Company's operation, legal provisions, and requirements from the competent agencies.

Within the above scope of authorization, Chief Executive Officer is authorized to perform one or several specific tasks mentioned above in accordance with the provisions of law.

Article 3: This Resolution takes effect from the signing date. Members of the Board of Directors, Board of Management, related individuals and departments are responsible for implementation of this Resolution.

Recipients:

- As Article 3;
- BOD, BOM;
- Archives.

ON BEHALF OF THE BOARD OF DIRECTORS

Chairman



Nguyen Duy Hung

**RESOLUTION
BOARD OF DIRECTORS****On approval of Regulation on shares issuance
under Employee Stock Ownership Plan****BOARD OF DIRECTORS
SSI SECURITIES CORPORATION**

Pursuant to:

- Charter of SSI Securities Corporation;
- Resolution 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024 of the General Meeting of Shareholders;
- The minutes of collecting voting opinions of members of the Board of Directors dated April 18th, 2025;

RESOLVED THAT

Article 1: Promulgate the Regulation on shares issuance under Employee Stock Ownership Plan according to Article 7 of Resolution No. 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024 of the General Meeting of Shareholders as attachment.

Article 2: This Resolution takes effect from the signing date. Members of the Board of Directors, Board of Management, related individuals and departments are responsible for implementation of this Resolution.

Recipients:

- As Article 2;
- BOD, BOM;
- For archives.

**ON BEHALF OF BOARD OF DIRECTORS
CHAIRMAN**



[Signature]

Nguyen Duy Hung

REGULATION
ON SHARES ISSUANCE UNDER EMPLOYEE STOCK OWNERSHIP PLAN

(Attached to Resolution No. 08/2025/NQ-HĐQT dated April 18th, 2025)

CHAPTER I
GENERAL PROVISIONS

Article 1. GOVERNING AND APPLICABLE SCOPE

This Regulation shall apply to Employees who are eligible under this Regulation and working for SSI and its subsidiaries as specifically stipulated in Article 8 of this Regulation.

This Regulation is only applied for issued shares under the Employee Stock Ownership Plan according to Resolution No. 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024 of the Company's General Meeting of Shareholders. Shares issued under Employee Stock Ownership Plan in previous shall be governed by the Regulation in effect at the time of issuance.

Article 2. DEFINITIONS AND ABBREVIATED TERMS

In this Regulation, unless the context and content of provisions indicate otherwise, the definitions and abbreviated terms below shall have the following meanings:

1. **SSI or Company:** SSI Securities Corporation
2. **Subsidiaries:** Companies that SSI (i) holds over 50% of chapter capital or total ordinary shares of those companies or (ii) has the power to indirectly or directly decide to appoint majority or all of members of the Board of Directors, Director or Chief Executive Officer of those companies or (iii) has the power to decide to amend, supplement the Charter of those companies.
3. **GMS:** The General Meeting of Shareholders of SSI
4. **BOD or the Board:** the Board of Directors of SSI
5. **Chairman:** the Chairman of the Board of SSI
6. **Employees:** staffs of SSI
7. **ESOP:** The program for issuing shares under the Employee Stock Ownership Plan within the Company
8. **SSC:** State Securities Commission of Vietnam
9. **LC:** Labor Contract
10. **Shares:** SSI's shares

Article 3. PURPOSE OF ISSUANCE

The purposes of the shares issuance under ESOP ("Plan") are as follows:

1. Integrate the employees with the Company's short-term and long-term development goals and strategies, while recognizing outstanding contributions during the development, innovation, and organizational restructuring processes.
2. Encourage and retain key personnel, enhance their commitment level, and integrate their personal interests with the Company's long-term development.

3. Motivate to boost work performance, improve productivity, and contribute to the Company's sustainable growth.
4. Attract new employees with the capabilities, experience, and development potential that align with the Company's strategic direction.

Additionally, the Plan also mobilizes additional working capital for the Company.

Article 4. MEANINGS OF THE PLAN

1. The Plan permits Employees to entitle to get added value created by the Company and achieve the following targets:
 - a. To attract new personnel and retain qualified employees;
 - b. To motivate working abilities of employees;
 - c. To integrate interests of employees with Company;
 - d. To grant worthy benefits for employees.
2. For the employees
 - a. To create motivation to engage the Company's development;
 - b. When the Company grows, employees can get other benefits out of salaries and bonuses.
3. For the management levels and managers
 - a. To create motivation for working, long-term commitments for management levels of subsidiaries;
 - b. To increase income, competitiveness of benefits package in comparison with the market;
 - c. To be an additional income as a result of key personnel's contributions;
 - d. To attract new excellent personnel and retain qualified employees in the Company;
 - e. To create "entrepreneurship" culture in leader and management levels (concentrating on the long-term development of the Company with the same mindset of shareholders).
4. For the Company
 - a. To reduce the amount of cash spent for welfare programs;
 - b. To increase in value of Company that can attract more investment from great investors into the Company and meet the strategic objectives and long-term development;
 - c. To create beliefs for partners;
 - d. To enhance the Company's reputation and create a positive impact in society.
5. For the shareholders
 - a. To increase in asset value of Shareholders due to beneficial growth of the Company;
 - b. To reduce cash outflow from the Company's profits to pay employees for bonuses.

CHAPTER II

PROVISIONS ON ISSUED SHARES AND ACCOMPANYING CONDITIONS

Article 5. ISSUED SHARES

1. Total issued shares: 10,000,000 (Ten million) shares.

2. Type of shares: Ordinary shares
3. Form of shares: Book entries
4. Potential purchasers: Members of BOD, key personnel of SSI and Subsidiaries (as stipulated in Article 8 of this Regulation)
5. Price of issuance: equal to par value VND 10,000/share
6. In case a person who is entitled to purchase shares does not purchase totally allocated shares, the remaining will be distributed to the other eligible purchasers under this Regulation.
7. Restricted period:
 - a. Only 50% of issued shares is transferable after 02 years and the remaining 50% of issued shares is transferable after 03 years from the ending date of the issuance. The Company may revoke shares of Employees who purchased ESOP shares and breached the provisions on transfer restriction in accordance with Article 7 of this Regulation.
 - b. Rights and benefits, including subscription rights for additional shares issued to existing shareholders, arising from shares in the period of transfer restriction stipulated in Point a Clause 7 of this Article are not restricted to transfer. The shares received from the shares issuances for charter capital injection from owner equity and stock dividends arising from shares purchased under the Plan that are still in the period of transfer restriction, shall not be restricted to transfer but shall be deducted as stipulated in the Article 7.1.

Article 6. CONDITIONS ACCOMPANYING ISSUED SHARES

Employees who agree to purchase shares issued under this Regulation shall be deemed to accept all accompanying conditions as well as other relevant regulations of the Company, mainly including:

1. The period of transfer restriction stipulated in Clause 7, Article 5. Transfer restriction includes limitations on gifting, donating, contributing capital, using as rewards, etc. or any other manners which may change the owners of shares.
2. Full payment of purchased shares must be made on time under announcements of the Company.
3. To be responsible for paying personal income tax or any other taxes, costs arising from the purchase of shares, execution rights arising from shares, transfer those shares after restriction period.
4. The Company does not have any commitments whether written or implied to guarantee the value of shares and the dilution occurring before and after the shares issuance under this Regulation. Employees are responsible for obtaining information and entitled to refuse to purchase totally or partially of the quantity of shares allocated.

Article 7. RESOLVE ARISING CASES

1. Within the period of transfer restriction, if employees, who purchased shares under this Plan, transfer shares illegally, resign or no longer have any role at SSI for any reasons, be fired or violate the laws or internal regulations of the Company to the extent that BOD assesses too seriously, their shares will be revoked. The Company shall refund the money to purchase shares at the price of issuance (without deduction of received cash dividend). For the avoidance of doubt, the shares received from the issuance for charter capital injection from owner equity, stock dividends arising from shares purchased under the Plan that are still in the period of transfer restriction according to Clause 7 (b), Article 5, will be deducted at VND 10,000/share when Employees are revoked shares purchased under the Plan.

The revocation of shares does not mean that the Company shall revoke the Certificate of shares ownership, it may be executed by sending a notice via registered letter to the registered address,

delivering the notice directly or sending it via email to Employees at least 07 days prior to the effective date of the revocation.

2. Inheritance

If employees pass away within restriction period, all arising rights and obligations will be inherited in accordance with laws; at the same time, restrictions on these shares will be lifted from the commencement of inheritance.

3. Termination of LC within restriction period

If employees terminate the LC with the Company within restriction period under mutual agreement, their shares will be revoked and the Company shall refund the money to purchase shares as stipulated in Clause 1 of this Article, excepts any other approvals from Chairman.

4. Retirement, serious accidents or illness leads to be unable to work

If employees retire under the regime or suffer serious accidents or illness to the extend that employees are unable to continue performing the LC, their shares will not be revoked but still be restricted to transfer, excepts any other approvals in writing from Chairman.

5. Handling with the revoked shares: the shares revoked under this Article shall be:

- (a) Repurchased by the Company and used as its treasury shares,
- (b) Repurchased by the Union of Company, or
- (c) Transferred directly the ownership to other Employees who listed in the eligible purchasers with the conditions that the existing restrictions on these shares are maintained.

Shares are repurchased by Union shall be (i) re-allocated to other purchasers belonging to Potential purchasers under Article 8 with conditions that the existing restrictions on these shares are maintained or (ii) handled in compliance with legal provisions, depending on decision of the Board or authorized person.

6. Chairman is authorized to make decision, carry out procedures to revoked the shares, re-allocate the revoked shares and handle other arising cases which are not stipulated in this Regulation without any Decisions of the Board.

7. The above provisions shall not apply to the shares which are no longer in the period of transfer restriction.

8. For shares that have been decide to be revoked and the Company has fully paid the Employees, but the ownership transfer procedures have not been completed, (i) Employees are not required to pay depository fees, and (ii) Company has authority to revoke automatically arising rights and benefits thereof after the date of Revocation Decision.

CHAPTER III

PURCHASER, CRITERIA AND METHOD OF CALCULATING

THE VOLUME OF PURCHASED SHARES

Article 8. POTENTIAL PURCHASER

Potential purchasers are entitled to purchase shares:

1. Employees of the Company, its subsidiaries satisfying one of the following conditions:

- a. The LC with the Company, its subsidiaries is still valid, the performance evaluation result for 2024 is rated B or higher and the minimum working period is 12 months as at February 10th, 2025;
- b. Top 10 Brokers of 2024;

- c. Top 10 Managers (Securities Advisory) of 2024;
- d. Other specific cases proposed by Board of Management, Head of Departments and approved by Chairman of the Board.

Note: Top 10 Brokers and Top 10 Managers are selected from current employees.

- 2. In special cases involving experts, senior personnel offered by the Company or the Subsidiaries, Chairman will decide on the quantity of shares allocated for these subjects on a case-by-case basis .
- 3. Members of the BOD (includes of the Company and Subsidiaries): as decided by Chairman.
- 4. Potential purchasers are not applied as below:
 - a. Persons who do not meet the requirements at Clause 1 of this Article;
 - b. Persons who submit resignation letter within the process of issuance or end his/her LC by April 10th, 2025;
 - c. Persons who is in his/her un-paid leave for at least 01-year term as of March 25th, 2025;
 - d. Drivers, cleaners, administrative staffs/assistants of departments;
 - e. Manager and people with title of Broker are not qualified in Top 10 specified at Point b and Point c Clause 1 of this Article;
 - f. Employees are disciplined under any methods within 01 year as of March 25th, 2025;
 - g. Others as decided by Chairman of the Board.
- 5. The Board or authorized person has fully authority to decide on the selection of potential purchasers for share issuance under the Plan and Regulation. The decision of the Board or authorized person is the final decision.

Article 9. BASIS FOR ESTABLISHING CRITERIA

Basis for establishing criteria to assess an Employee whether is a purchaser of this Plan includes:

- 1. Comprehensive development capability, including: Leadership, Innovation and Creativity, Adaptability to change;
- 2. Performance evaluation;
- 3. Commitment level;
- 4. Position level.

Article 10. IMPLEMENTING PROCEDURES

- 1. The Company implements all procedures to register for shares issuance in accordance with laws;
- 2. Employees fully read and understand all provisions of this Regulation;
- 3. Register to purchase shares;
- 4. Follow the procedures and regulations as notified by the Company;
- 5. Pay for the shares within the specified deadline;
- 6. The Company reports on the result of shares issuance, implements the additional registration, depository and listing of these new issued shares.

Employees who breach the orders, procedures as notified by the Company will be deemed to voluntarily waive the right to purchase allocated shares.

CHAPTER IV IMPLEMENTATION

Article 11. RESOLUTION OF COMPLAINTS

The Board authorizes the Chairman to resolve complaints arising from implementation of this Regulation. The decision of the Chairman is the final decision.

Article 12. AMENDMENT OF THE REGULATION CONTENT AND IMPLEMENTATION GUIDELINES

1. The BOD has fully authority to amend contents of this Regulation, including conditions accompanying issued share on the principle that amendments will not be more disadvantageous to employees who purchased shares, except for the remaining unissued shares or revoked shares.
2. The Chairman is entitled to promulgate documents on guiding for procedures of revoking shares and resolving arising cases.

Article 13. EFFECTIVENESS

1. This Regulation includes 4 Chapters, 13 Articles and takes effect from the date of promulgation.
2. Subsidiaries and all Employees participating in the Plan are responsible for implementation of this Regulation.

No. 09/2025/NQ-HĐQT

Ho Chi Minh City, April 18th, 2025**RESOLUTION
BOARD OF DIRECTORS****On approval of Criteria for allocation of
shares issued under the Employee Stock Ownership Plan****BOARD OF DIRECTORS
SSI SECURITIES CORPORATION**

Pursuant to:

- Charter of SSI Securities Corporation;
- Resolution No. 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024 of the General Meeting of Shareholders ("Resolution No. 01/2024/NQ-ĐHĐCĐ");
- Resolution No. 07/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors on approval of the implementation of the Plan on shares issuance under the Employee Stock Ownership Plan;
- Resolution No. 08/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors of SSI Securities Corporation on approval of Regulation on shares issuance under Employee Stock Ownership Plan according to Article 7 of Resolution No. 01/2024/NQ-ĐHĐCĐ;
- The minutes of collecting voting opinions of members of the Board of Directors dated April 18th, 2025;

RESOLVED THAT

Article 1: Promulgate the Criteria for allocation of shares issued under Employee Stock Ownership Plan according to Article 7 of Resolution No. 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024 of the General Meeting of Shareholders as attachments.

Article 2: Authorize the Chairman of the Board of Directors to adjust the Criteria for allocation of shares issued under Employee Stock Ownership Plan and decide on tasks, carry out procedures, and sign related documents and materials.

Article 3: This Resolution takes effect from the signing date. Members of the Board of Directors, Board of Management, related individuals and departments are responsible for implementation of this Resolution.

Recipients:

- As Article 3;
- BOD, BOM;
- For archives.

**ON BEHALF OF BOARD OF DIRECTORS
CHAIRMAN**



Nguyen Duy Hung

**CRITERIA FOR ALLOCATION OF
SHARES ISSUED UNDER THE EMPLOYEE STOCK OWNERSHIP PLAN**

(Attached to Resolution No. 09/2025/NQ-HDQT dated April 18th, 2025)

I. SUBJECTS OF APPLICATION

Subjects entitled to purchase shares issued under the Employee Stock Ownership Plan ("ESOP shares" or "shares") include:

1. Employees of the Company, its subsidiaries satisfying one of the following conditions:
 - a. The labor contract with the Company, its subsidiaries is still valid, the performance evaluation result for 2024 is rated B or higher and the minimum working period is 12 months as of February 10th, 2025;
 - b. Top 10 Brokers of 2024;
 - c. Top 10 Managers (Securities Advisory) of 2024;
 - d. Other specific cases proposed by the Board of Management, Head of Departments and approved by the Chairman of the Board of Directors ("BOD").

Note: Top 10 Brokers and Top 10 Managers are selected from current employees.

2. In special cases involving Experts and senior personnel offered by the Company or Subsidiaries, the Chairman of the BOD will decide on the quantity of shares allocated for these subjects on a case-by-case basis.
3. Members of the BOD (including those of the Company and its subsidiaries): as the decision of the Chairman of the BOD.
4. Subjects are not applied as below:
 - a. The employees do not satisfy the conditions in section I.1;
 - b. The employees submit a resignation letter within the process of issuance ESOP shares or termination of the labor contract by April 10th, 2025;
 - c. The employees are currently on unpaid leave for at least 01 year as at March 25th, 2025;
 - d. Drivers, cleaners, and administrative staff/assistants of the departments;
 - e. Managers and personnel with the title of Broker are not in the Top 10 mentioned in sections I.1.b and I.1.c;
 - f. The employees have been disciplined in any methods within 01 year as of March 25th, 2025;
 - g. Other cases as decided by the Chairman of the BOD.
5. The BOD or the authorized person has full authority to decide on the selection of subjects entitled to purchase shares according to this Plan and Criteria for allocation. The decision of the BOD or the authorized person shall be the final decision.

II. SCORING METHOD FOR ALLOCATION OF ESOP SHARES

1. Factors under consideration and the weight of criteria

Criteria Employee group	Comprehensive Development Capability			Performance evaluation in 2024	Commitment level	Position level
	Leadership	Innovation & Creativity	Adaptability to Change			
Employees	10%	20%	10%	50%	10%	According to the coefficient of each title group
Top 10 Managers (Securities Advisory) of 2024 Top 10 Brokers of 2024	10%	20%	10%	55%	5%	
Objectives	Ability to lead and manage teams/projects to effectively implement tasks	Proactively propose and implement initiatives to enhance the efficiency of the Department and the Organization	Ready with solutions to optimize work, while being flexible and proactive in quickly adapting to any changes	Demonstrate employee performance and contribution to the Company's overall development over the past year	Demonstrate the process of commitment and dedication to the Company and long-term engagement with the Organization	Roles, responsibilities, and scope of influence of positions within the Company, reflected through the determination of relative ranks of different positions
Data sources	Department evaluates - based on specific data/evidence (e.g., number of initiatives participating in S-Shine, specific achievements or awards of individuals, etc.)			Performance evaluation results for 2024 on the Company's PMS system	Number of years working at the Company and/or the Department's assessment of the level of commitment	PC evaluation results according to the currently applied internal hierarchy system

Note:

- Employees who have not yet meet the seniority and performance evaluation but are selected to allocate ESOP shares are talent pool proposed by the Department Heads/Board of Managements and approved by the Chairman of the BOD as specified in section I.1.d. The selection rate is 15% of the remaining employees in each Unit/Department, excluding those eligible for shares purchase allocation.
- Brokers and Managers (Securities Advisory): scores from performance evaluation results are based on their ranking of the Top 10 Brokers and Top 10 Managers.

III. GENERAL METHOD OF ALLOCATION OF ESOP SHARES

1. The final score of each employee is the total evaluation score of the criteria and the allocation coefficient according to each title group.
2. Each group of employees is allocated a certain number of ESOP shares by the Chairman of the BOD.
3. The number of ESOP shares temporarily allocated to employee is based on the total number of ESOP of each group of employees and the final score of each employee.
4. Based on the number of ESOP shares temporarily allocated to each employee, the Unit/Department Director proposes adjustments, the Chief People Officer adjusts based on the proposed results of the Unit/Department and the Chairman of the BOD approves the final plan.





No. 10/2025/NQ-HĐQT

Ho Chi Minh City, April 18th, 2025

**RESOLUTION
BOARD OF DIRECTORS
On approval of List of employees entitled to purchase shares
issued under the Employee Stock Ownership Plan**

**BOARD OF DIRECTORS
SSI SECURITIES CORPORATION**

Pursuant to:

- Charter of SSI Securities Corporation;
- Resolution No. 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024 of the General Meeting of Shareholders ("Resolution No. 01/2024/NQ-ĐHĐCĐ");
- Resolution No. 07/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors on approval of the implementation of the Plan on shares issuance under the Employee Stock Ownership Plan;
- Resolution No. 08/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors on approval of Regulation on shares issuance under Employee Stock Ownership Plan according to Article 7 of Resolution 01/2024/NQ-ĐHĐCĐ;
- Resolution No. 09/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors on approval of Criteria for allocation of shares issued under the Employee Stock Ownership Plan according to Article 7 Resolution of No. 01/2024/NQ-ĐHĐCĐ;
- The minutes of collecting voting opinions of the Board of Directors dated April 18th, 2025.

RESOLVED:

Article 1: Approve List of employees entitled to purchase shares issued under the Employee Stock Ownership Plan according to Article 7 of Resolution No. 01/2024/NQ-ĐHĐCĐ dated April 25th, 2024 of the General Meeting of Shareholders as attachments.

Article 2: This Resolution takes effect from the signing date. Members of the Board of Directors, the Board of Management, related individuals and departments are responsible for implementation of this Resolution.

Recipients:

- As Article 2;
- BOD, BOM;
- For archives.

**ON BEHALF OF BOARD OF DIRECTORS
CHAIRMAN**


Nguyen Duy Hung

**LIST OF EMPLOYEES ENTITLED TO PURCHASE SHARES
ISSUED UNDER THE EMPLOYEE STOCK OWNERSHIP PLAN**

(Promulgated with Resolution No. 10/2025/NQ-HĐQT dated April 18th, 2025)

No.	Full name	Title	Total quantity of allocated shares
1	Nguyen Duy Hung	Chairman of the Board of Directors	1,000,000
2	Nguyen Hong Nam	Board Member cum Chief Executive Officer	650,000
3	Pham Viet Muon	Independent member of the Board	50,000
4	Nguyen Quoc Cuong	Independent member of the Board	20,000
5	Nguyen Manh Hung	Chairman of SSI Asset Management Company Limited	250,000
6	Nguyen Duy Khanh	Board member	200,000
7	Tran Luu Ha	Chief Technology Officer	150,000
8	Pham Thi Thu Ha	Financial Product Development Director	50,000
9	Le Thi Quy	Chief People Officer	70,000
10	Le Anh Phuc	Human Resource Leader	23,000
11	Luu Minh Tri	Information Security Director	30,000
12	Nguyen Thi Thu Huyen	Information Security Leader	10,000
13	Barry David Weisblatt	Expert	70,000
14	Ninh Son Truong	Project Director	100,000
15	Nguyen Thi Minh Nguyet	Brokerage Manager	9,000
16	Le Thanh Dat	Brokerage Manager	10,000
17	Tran Ngoc Tu	Brokerage Manager	9,000

No.	Full name	Title	Total quantity of allocated shares
18	Doan Thi Thuy Van	Brokerage Manager	8,000
19	Nguyen Thanh Binh	Brokerage Manager	8,000
20	Nguyen Hai Nam	Brokerage Manager	7,000
21	Pham The Truong	Brokerage Expert	10,000
22	Pham Van Loi	Brokerage Manager	11,000
23	Tran Phu Tung	Brokerage Manager	10,000
24	Le Ba Minh	Brokerage Expert	8,000
25	Dao Xuan Minh	Brokerage Manager	7,000
26	Khuc Ngoc Tuyen	Brokerage Manager	8,000
27	Bui The Tan	Chief Retail Officer	500,000
28	Nguyen Thi Thanh Ha	Chief Financial Officer	500,000
29	Nguyen Vu Thuy Huong	Senior Managing Director - Treasury & Principal Investment	500,000
30	Nguyen Ngoc Anh	Chief Executive Officer (CEO) of SSI Asset Management Company Limited (SSIAM) cum Chairman Assistant	500,000
31	Mai Hoang Khanh Minh	Managing Director – Institutional Brokerage	300,000
32	Nguyen Duc Thong	Deputy Chief Executive Officer	300,000
33	Thomas Nguyen	Chief Global Markets Officer	200,000
34	Chu Huy Hoang	Learning & Development Manager	25,000
35	Mi Na	Learning & Development Officer	5,000
36	Tran Ha Van	Branch Director	25,000

No.	Full name	Title	Total quantity of allocated shares
37	Tran Quang Binh	Branch Director	20,000
38	Nguyen Van Toan	Brokerage Project Director	25,000
39	Vu Minh Hang	Brokerage Administration Manager	20,000
40	Than Trung Liet	Branch Director	20,000
41	Tran Nguyen Anh Minh	IT Officer	8,000
42	Le Nguyen Quang Vu	IT Officer	8,000
43	Ninh Thi Huyen Trang	Brokerage Administration Leader	10,000
44	Dang Ngoc Quyen	Senior Operation Manager	30,000
45	Le Do Minh Nga	Deputy Project Manager	25,000
46	Huynh Van Xin Go	Operation Officer	5,000
47	Hoang Van Anh	Project Director	50,000
48	Tang Thi Ha	Business Analytics Leader	20,000
49	Tran Ngoc Thang	Senior Network Administrator	10,000
50	Do Van Duc	Software Development Leader	20,000
51	Hoang Thuy Dung	Senior Business Analyst	12,500
52	Pham Dang Quang	Trading Solutions Leader	10,000
53	Nguyen Thi Thu Hang	Quality Assurance Manager	30,000
54	Nguyen Van Nhung	Database Administrator	15,000
55	Dinh Quang Dat	Software Developer	8,000

No.	Full name	Title	Total quantity of allocated shares
56	Tran Sang	Deputy System Manager	25,000
57	Bui Van Quoc	Senior Software Developer	14,000
58	Nguyen Ngoc Quoc	Business Analytics Leader	25,000
59	Vu Quang Khoi	Quality Assurance Officer	10,000
60	Pham Tuan	Network Administrator	5,000
61	Pham Ha Thuong	Business Analyst	9,000
62	Duong Minh Tuan	Solution Architect	50,000
63	Nguyen Tran Minh Tu	Senior Application Support Officer	13,000
64	Dao The Dung	Senior Software Developer	12,000
65	Nguyen Duc Quan	Automation TestEngineer	10,000
66	Pham Thanh Dam	Software Developer	8,000
67	Nguyen Dinh Son	Software Developer	10,000
68	Tran Bao Long	Solution Engineer	15,000
69	Nguyen Cong Minh	Software Developer	7,000
70	Nguyen Nhu Thuong	DevOps Engineer	14,000
71	Nguyen The Nghiep	Senior Business Analyst	10,000
72	Vu Thi Hang Nga	Business Analyst	5,000
73	Nguyen Van Nguyen	DevOps Leader	25,000
74	Le Van Hung	Software Developer	7,000

No.	Full name	Title	Total quantity of allocated shares
75	Ninh Thanh Binh	Software Developer	10,000
76	Hoang Van Duc	Software Developer	7,000
77	Vu Tuan Anh	Software Developer	7,000
78	Vu Thi Bich Ngoc	Senior Business Analyst	8,000
79	Bui Minh Hieu	Software Developer	8,000
80	Phan Huu Thanh Chung	DevOps Engineer	14,000
81	Nguyen Duc Thu	Software Developer	8,000
82	Vu Thi Hang	Senior Quality Assurance Officer	10,000
83	Nguyen Viet Hung	Business Analyst	8,000
84	Tran Trung Kien	Project Manager	28,000
85	Dao Duc Manh	Data Scientist	8,000
86	Nguyen Thi Thanh Mai	Business Analyst	7,000
87	Nguyen The Thanh	Software Development Leader	25,000
88	Le Dai Phong	Senior Business Analyst	13,000
89	Nguyen Van Duc	Software Developer	10,000
90	Nguyen Huy Hieu	Senior Software Developer	12,000
91	Tran Dinh Tung	Software Development Manager	30,000
92	Tran Thanh Tung	Senior Software Developer	11,000
93	Trieu Minh Ha	Senior Software Developer	15,000

No.	Full name	Title	Total quantity of allocated shares
94	Hoang Phuong Anh	Digital Sales Officer	5,000
95	Khuong Thi Minh Nguyet	Project Director	60,000
96	Duong Quoc Thinh	Institutional Brokerage Director	53,000
97	Le Bich Ngoc	Senior Institutional Brokerage Officer	8,000
98	Pham Quoc Dat	Institutional Sales Director	28,000
99	Pham Thi Thu Trang	Senior Institutional Brokerage Officer	7,000
100	Le Ngoc Quynh Anh	Institutional Sales Manager	20,000
101	Mai Chan Phong	Institutional Brokerage Officer	4,000
102	Cao Tan Phat	Institutional Sales Director	31,000
103	Nguyen Thi Ngoc Chau	Deputy Administration Manager	14,000
104	Nguyen Thi Thuy	Deputy Administration Manager	19,000
105	Hoang Thi Tuyet Ngan	Administration Officer	5,000
106	Nguyen Tri Duc	Administration Officer	5,000
107	Chu Thi Anh Nguyet	Director – Head of DCM	114,000
108	Ta Thai Binh	Director – Head of Corporate Finance	103,000
109	Nguyen Thi Thuy Duyen	IB Manager	20,000
110	Nguyen Thien Bao	IB Analyst	8,000
111	Nghiem Thi Minh Anh	IB Analyst	7,000
112	Nguyen Van Duc	IB Analyst	6,000

No.	Full name	Title	Total quantity of allocated shares
113	Do Thi Mai Huong	Digital Marketing Leader	12,000
114	Nguyen Xuan Thai	Design Leader	10,000
115	Nguyen Hong Anh	Senior Branding Officer	10,000
116	Ta Linh Chi	Senior Events Officer	13,000
117	Pham Thao Linh	Senior Product Marketing Officer	11,000
118	Nguyen Thi Thu Thuy	Post-trade Operation Manager	45,000
119	Nguyen Thi Thanh Thuy	Principal Investment Manager	50,000
120	Nguyen Hoang Long	Derivatives Trading Manager	24,000
121	Nguyen Hoang Hai	Senior Equity Investment Officer	10,000
122	Nguyen Manh Tuan	Software Developer	10,000
123	Le Cam Binh	Internal Audit Director	34,000
124	Tu Cam Hue	Deputy Internal Audit Manager	16,000
125	Nguyen Kim Long	Director of Legal & Compliance	40,000
126	Nguyen Khac Hai	Managing Director – Legal and Compliance	100,000
127	Nguyen Thi Duyen	Legal Leader	23,000
128	Tran Tuan Huy	Compliance Leader	23,000
129	Duong Doan Thuy Ai	Legal Officer	5,000
130	Bui Ho Tu Anh	Legal Leader	22,000
131	Nguyen Khanh Linh	Senior Legal Officer	12,000

No.	Full name	Title	Total quantity of allocated shares
132	Do Thi Thuy Dung	Business Intelligence Analyst	15,000
133	Nguyen Thi Minh Ngoc	Process Automation Developer	15,000
134	Luu Minh Tuan	Performance Management Manager	50,000
135	Pham Khanh Hoai	Performance Management Officer	15,000
136	Ha Tien Thanh	Database Administration Leader	12,000
137	Do Thi Bich	Treasury Back office Officer	10,000
138	Nguyen Thi Phuong Nhung	Money Market Manager	95,000
139	Tran Thi Ngoc Lan	Money Market Dealer	10,000
140	Dinh Manh Thang	Money Market Dealer	10,000
141	Truong Nguyen Thien Huong	Senior Human Resource Officer	8,000
142	Ho Thi Hoang Linh	Senior Human Resource Officer	8,000
143	Chu Minh Anh	Human Resource Officer	6,000
144	Le Tuong Van	Digital Product Development Manager	24,000
145	Nguyen Thu Quyen	Deputy Digital Product Development Manager	15,000
146	Pham Thi Ngoc Ly	Deputy Digital Product Development Leader	10,000
147	Tran Lan Thanh	Digital Product Development Officer	9,000
148	Pham Thi Phuong Thao	Customer Experience Manager	20,000
149	Tran Dinh Quoc Sanh	Financial Product Development Leader	11,000
150	Le Thi Thanh Tam	Digital Product Development Director	30,000

No.	Full name	Title	Total quantity of allocated shares
151	Duong Thi Thuy	Senior Digital Product Development Officer	16,000
152	Nguyen Thi Thuy Trang	Senior Financial Product Development Manager	15,000
153	Dang Manh Cuong	Risk Management Director	36,000
154	Huynh Thi Thanh Lan	Senior Risk Management Officer	14,000
155	Nguyen Thanh Tu	Deputy Legal & Compliance Manager	8,000
156	Nguyen Ba Huy	Portfolio Manager	32,000
157	Nguyen Mai Chi	Legal & Compliance Officer	7,000
158	Nguyen Xuan Quynh	Portfolio Manager	35,000
159	Vu Thi Nguyen Huong	Fund Operation Manager	15,000
160	Vu Thuy Mai	Senior Legal & Compliance Officer	9,000
161	Nguyen Nghia Tuan	Deputy Business Development Director	12,000
162	Bui Vinh Thien	Associate Portfolio Manager	10,000
163	Do Kim Ngoc	Fund Operation Officer	5,000
164	Nguyen Hoai Thuc Anh	Portfolio Officer	6,000
165	Dao Phuoc Toan	Principal Investment Director	32,000
166	Nguyen Hoang Nhat Anh	Business Development Officer	20,000
167	Le Anh Minh	Portfolio Manager	35,000
168	Chu Thi Thuy Hang	Equity Investment Officer	5,000
169	Nguyen Thi Cuc	Accountant	4,000

No.	Full name	Title	Total quantity of allocated shares
170	Vu Ha Son	Associate Portfolio Manager	15,000
171	Tran Thu Phuong	Business Development Manager	20,000
172	Pham Huyen Trang	Research Director	25,000
173	Tran Thi Thanh Mai	Branch Chief Accountant	10,000
174	Dao Thi Bich Diep	Branch Chief Accountant	30,000
175	Tran Thi Thu Thuy	Branch Deputy Accounting Manager	15,000
176	Le Thi Truong Mo	Deputy Accounting Manager	14,000
177	Nguyen Thi Hai Anh	Chief Accountant	24,000
178	Tran Thi Thanh Nhan	Accountant	7,000
179	Ninh Thi Huyen Trang	Accounting Controller	8,000
180	Nguyen Thi An Vi	Accountant	7,000
181	Dinh Thi Thuong Huyen	Finance Manager	18,000
182	Kim Thi Nhu Mai	Senior Finance Officer	5,000
183	Pham Luu Hung	Head of Research & Advisory Center cum Head of Learning & Development Center	75,000
184	Luong Thi Viet	Senior Support Officer	16,000
185	Dao Minh Chau	Deputy Equity Research Director	28,000
186	Nguyen Thu Ha	Deputy Equity Research Director	30,000
187	Truong Minh Phuong Duy	Equity Research Officer	9,000
188	Bach Chan Man	Equity Research Officer	9,000

No.	Full name	Title	Total quantity of allocated shares
189	Dinh Phuong Duc	Customer Services Manager	45,000
190	Tran Thu Trang	Customer Services Manager	23,000
191	Truong Thi Minh Tan	Customer Services Manager	4,000
192	Nguyen Doan Hieu	Customer Services Manager	4,000
193	Bui Thi Chau	Customer Services Manager	20,000
194	Phan Thi Bich Nga	Customer Services Manager	5,000
195	Huynh Thi Lan Phuong	Deputy Customer Services Manager	4,000
196	Pham Hong Mai	Senior Customer Services Officer	7,000
197	Lai Thi Nhat Minh	Senior Customer Services Officer	10,000
198	Nguyen Thu Huong	Senior Customer Services Officer	10,000
199	Nguyen Van Lam	Trading Operation Manager	32,000
200	Luu Hong Ngoc	Deputy Financial Services Operations Manager	12,000
201	Dong Thi Hoa	Senior Customer Services Officer	10,000
202	Nguyen Thi Bich Van	Senior Financial Services Process Officer	8,000
203	Tran My Lan Uyen	Deputy Customer Services Manager	5,000
204	Tran Thanh Hai	Senior Customer Services Officer	7,500
205	Nguyen Phuong Lan	Senior Customer Services Officer	7,000
206	Nguyen Thi Thuy Trinh	Customer Care Leader	5,000
207	Nguyen Doan Phuong Uyen	Customer Services Manager	7,000

No.	Full name	Title	Total quantity of allocated shares
208	Vu Thanh Huyen	Senior Customer Services Officer	7,500
209	Nguyen Thuy My Ngon	Senior Customer Care Officer	5,000
210	Nguyen Thi Ha	Senior Customer Services Officer	4,000
211	Huynh Thi Ngoc My	Senior Customer Services Officer	3,000
212	Huynh Hong Thuy	Senior Trading Operation Officer	5,000
213	Nguyen Dieu Thuan	Trading Operation Controller	10,000
214	Duong Thi Trinh	Customer Services Officer	3,000
215	Dang Hong Hanh	Senior Trading Solutions Officer	5,000
216	Quach Thi Nhu	Customer Care Officer	2,000
217	Ha Ngoc Tran	Senior Customer Services Officer	5,000
218	Vu Thi Huyen Trang	Deputy Trading Operation Manager	15,000
219	Tran Thi Van Anh	Customer Services Manager	7,000
220	Nguyen Khanh Linh	Senior Customer Services Officer	4,000
221	Nguyen Thai Hoai Linh	Senior Trading Solutions Officer	15,000
222	Ha Minh Nguyet	Trading Solutions Officer	5,000
223	Trinh Kim Ngan	Trading Operation Officer	4,500
224	Tran Nhat Khanh Huyen	Trading Operation Officer	2,500
225	Nguyen Thi Truc Ly	User & System Control Officer	5,000
226	Nguyen Thi Thuy Trang	Customer Care Officer	2,000

No.	Full name	Title	Total quantity of allocated shares
227	Hoang Hai Yen	Financial Services Process Officer	5,000
228	Nguyen Thi My Huyen	Trading Process Officer	8,500
229	Huynh Trong Nhan	Deputy Trading Solutions Manager	12,000
230	Truong Thanh Nghia	Customer Care Manager	12,000
231	Le Tu Anh	Senior Trading Solutions Officer	4,000
232	Pham Thi Ha	Customer Services Officer	1,000
233	Hoang Thi Thu Hien	Senior Supervisor	2,000
234	Tran Lan Anh	Customer Services Staff	2,000
235	Nguyen Thi Ngoc Tram	Support Staff	3,000
236	Nguyen Cat Tuong	Trading Operation Officer	3,000
237	Le Thi Thanh Thuong	Support Staff	2,000
238	Vu Thanh Van	Trading Operation Staff	3,000
239	Vo Thi My Trinh	Trading Solutions Officer	5,000
240	Nguyen Thu Ha	Support Staff	4,000
241	Tran Thi Cham	Senior Trading Process Officer	5,000
242	Nguyen Hong Phuong Nhi	Support Staff	2,000
243	Tran Thi Hong Tuyet	Financial Solution Manager	20,000
244	Ngo Thi Yen Thanh	Financial Services Operations Officer	5,000
245	Le Thanh Huyen	Support Staff	3,000

No.	Full name	Title	Total quantity of allocated shares
246	Le Gia Hien	Customer Services Staff	2,000
247	Tran Van An	Chairman Secretary	12,000
248	Le Thu Ha	Senior Learning & Development Officer	10,000
249	Le Cong Hiep	Brokerage Project Director	20,000
250	Tran Thi Nguyet Anh	Branch Director	20,000
251	Tran Ngoc Dung	Brokerage Project Director	20,000
252	Do Lan Phuong	Branch Director	22,000
253	Do My Hanh	Performance Management Expert	10,000
254	Nguyen Vu Quynh Huong	Customer Administration Officer	9,000
255	Doan Manh Hung	Branch Director	20,000
256	Do Thi Ngoc	Performance Management Expert	10,000
257	Bui Hai	Personal Customer Officer	8,000
258	Pham Quang Thinh	Broker	8,000
259	Nguyen Thanh Hieu	Software Development Manager	25,000
260	Truong Vinh Trung	Application Support Leader	10,000
261	Trinh Dinh Cuong	Project Manager	25,000
262	Pham Thanh Huyen	Senior Business Analyst	8,000
263	Thai Thi Hoang Tho	Senior Business Analyst	7,500
264	Hoang Van Linh	Senior Business Analyst	10,000

No.	Full name	Title	Total quantity of allocated shares
265	Hoang Thuy Linh	Senior Business Analyst	12,000
266	Ly Hung Son	Software Development Manager	30,000
267	Duong Cong Dat	Automation TestEngineer	12,000
268	Le Xuan Hai	Software Developer	7,000
269	Nguyen Thu Thao	Business Analytics Leader	10,000
270	Nguyen Thu Ha	Software Tester	5,000
271	Du Van Minh	Software Developer	6,000
272	Nguyen Huu Huy	Senior Infrastructure Manager	40,000
273	Tran Dieu Hoa	Senior Business Analyst	10,000
274	Nguyen Ngoc Thien Kim	Business Development Officer	8,000
275	Nguyen Thi Thuy Linh	Project Director	31,000
276	Le Bao Nguyen	Project Director	40,000
277	Vo Thi Thuong	Senior Project Officer	6,000
278	Ngo Thu Nga	Institutional Brokerage Director	27,000
279	Ta Thi Lan Huong	Senior Institutional Sales Manager	11,000
280	Dinh Van Toan	Senior Administration Officer	7,000
281	Nguyen Khanh Ly	IB Manager	15,000
282	Vu Le Minh Tri	IB Associate Director	17,000
283	Luong Lan My	Corporate Communications Director	34,000

No.	Full name	Title	Total quantity of allocated shares
284	Pham Viet My	Quantitative Trading Officer	10,000
285	Tran Huynh Phuong Quyen	Legal Officer	5,000
286	Duong Minh Duc	Branch Director	82,000
287	To Phuong Ly	Treasury Back office Manager	33,000
288	Phan Tung Lam	Bond and Structured Products Director	15,000
289	Hoang Thi Xoan	Human Resource Manager	30,000
290	Vu Cuong	Expert	20,000
291	To Thuy Linh	Deputy Chief Executive Officer	25,000
292	Nguyen Phan Dung	Deputy Chief Executive Officer	22,000
293	Le Quy Hai	Associate Portfolio Manager	10,000
294	Pham Tuan Anh	Associate Portfolio Manager	4,000
295	Nguyen Manh Hung	Associate Portfolio Manager	4,000
296	Nguyen Thi Hang	Accounting Controller	6,000
297	Nguyen Thi Ngoc Diep	Accounting Controller	6,000
298	Nguyen Hoang Giang	Equity Research Manager	9,000
299	Ngo Thi Kim Thanh	Senior Strategic Investment Officer	9,000
300	Nguyen Tran Phuong Nga	Senior Equity Research Officer	9,000
301	Nguyen Thi Minh Thu	Senior Customer Services Officer	4,000
302	Nguyen Thi Quynh Nga	Deputy Financial Services Operations Manager	10,000

No.	Full name	Title	Total quantity of allocated shares
303	Phung Thi Ngoc Linh	Financial Services Director	25,000
304	Huynh Thi Thanh Thao	Deputy Head of Trading Operations Center	75,000
305	Cao Huong Thao	Deputy Trading Solutions Manager	5,000
306	Ho Thi Quynh Mai	Senior Financial Services Operations Officer	7,500
307	Huynh Thi Hai	Trading Solutions Manager	20,000
TOTAL QUANTITY OF ALLOCATED SHARES			10,000,000





No. 11/2025/NQ-HĐQT

Ho Chi Minh City, April 18th, 2025

**RESOLUTION
OF THE BOARD OF DIRECTORS**

Ref: Promulgation of the Regulation on Internal Audit

**THE BOARD OF DIRECTORS
SSI SECURITIES CORPORATION**

- Decree No. 05/2019/NĐ-CP dated January 22nd, 2019 on internal audit;
- Pursuant to Circular No.121/2020/TT-BTC dated December 31st, 2020 stipulating the operation of securities companies;
- Pursuant to the Charter of SSI Securities Corporation ("Company");
- The minutes of collecting opinions of members of the Board of Directors (the "Board") dated April 18th, 2025;

RESOLVES THAT

Article 1: To promulgate with this Resolution the Regulation on Internal Audit of SSI Securities Corporation.

Article 2: This Resolution shall take effect from the date of signing. Related individuals and departments shall be responsible for implementing this Resolution.

Recipients:

- As Article 2;
- Archived.

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



NGUYEN DUY HUNG

REGULATION ON INTERNAL AUDIT
SSI SECURITIES CORPORATION

(Promulgated with Resolution No. 11/2025/NQ-HĐQT dated April 18th, 2025 of the Board of Directors)

CHAPTER I
GENERAL PROVISIONS

Article 1. Scope of governing

This Regulation stipulates the objectives, scope of activities, position, duties, powers, responsibilities of internal audit at SSI Securities Corporation (the Company) and the relationship with other departments, including the scope and method of providing information for audit purposes; including requirements for independence, objectivity, fundamental principles, requirements for professional qualifications, assurance of internal audit quality, and other related contents.

Article 2. Applicable entities

This Regulation applies to all members of the Company's Internal Audit Department and organizations and individuals within the Company related to internal audit activities throughout the enterprise, including the head office, branches, and transaction offices.

Article 3. Objectives of internal audit

By means of carrying out inspection, assessment, and consulting activities, internal audit provides independent, objective assurance and recommendations on the following:

1. The Company's internal control system has been established and operated in an appropriate manner in order to prevent, detect, and handle the Company's risks;
2. The Company's governance and risk management processes ensure efficiency and high performance;
3. The Company's operational and strategic objectives, plans, and missions are achieved.

Article 4. Position of internal audit

1. The Internal Audit Department is established by the Company's Board of Directors. The Company's Board of Directors directly manages the Internal Audit Department through the Audit Committee.
2. The Internal Audit Department will report or exchange directly (if necessary) professional issues with the Audit Committee under the Company's Board of Directors.
3. The Internal Audit Department will report daily administrative work directly to the Chief Executive Officer.

Article 5. Scope of internal audit

The scope of internal audit includes, but is not limited to the inspection and evaluation of the adequacy and effectiveness of governance, risk management, and internal control, as well as the quality of performance in fulfilling

assigned tasks, and providing recommendations for improvement to achieve the goals and objectives of the enterprise. Specifically:

1. Independent assessment of the appropriateness and compliance with laws, the Charter, decisions of the General Meeting of Shareholders, the Board of Directors;
2. Inspection, review, and evaluation of the adequacy, effectiveness, and efficiency of the internal control system under the Board of Management to improve this system;
3. Evaluation of the compliance of business operations with internal policies and procedures;
4. Advising on the establishment of internal policies and procedures;
5. Evaluation of compliance with legal regulations, control of measures to ensure asset safety;
6. Internal audit evaluation through financial information and through the business process;
7. Evaluation of the process of identifying, assessing, and managing business risks;
8. Evaluation of the effectiveness of activities;
9. Evaluation of compliance with commitments in contracts;
10. Implementation of information technology system control;
11. Investigation of violations within the Company;
12. Implementation of internal audit of the Company and its subsidiaries.

Article 6. Fundamental principles and personnel requirements of the Internal Audit Department

1. Fundamental principles

- a) Independence: The Internal Audit Department is independent of other departments of the Company, including the Board of Management; internal audit activities are independent of the operating and professional activities of the Company; employees performing internal audit work must not undertake tasks that are the subject of internal audit, and must not concurrently hold positions in professional departments such as brokerage, proprietary trading, research, investment consulting, underwriting, risk management;
- b) Objectivity: The Internal Audit Department and its employees must ensure objectivity, fairness, and impartiality in the performance of their duties. The Company must ensure that internal audit is not subject to any interference when performing its duties correctly;
- c) Internal auditors must demonstrate objectivity in the process of collecting, evaluating, and communicating information about activities or processes, systems that have been or are being audited. Internal auditors need to provide a fair assessment of all relevant issues and not be influenced by personal objectives or the interests of anyone else when making comments and evaluations;
- d) Integrity: Internal auditors must perform their work honestly, diligently, and responsibly; comply with the law and perform the contents of work publicly as prescribed by law and the profession;
- e) Confidentiality: Employees of the Internal Audit Department must respect the value and ownership of provided information, and shall be banned from revealing such information without permission from proper authorization except in case disclosure of such information falls into their duties or conform to requirements laid down by laws.

2. Personnel requirements of the Internal Audit Department

The personnel of the Internal Audit Department must meet the following criteria:

- a) Individuals working in this department must not have been subject to a fine or higher penalty for violations in the fields of securities, banking, or insurance within the last 05 years up to the year of appointment;
- b) Must not have been disciplined at the level of warning or severer form for violations in economic, financial, or accounting management, or be not subject to disciplinary sentence;
- c) Must have at least 05 years of experience working in the training major or at least 03 years of experience working at the current unit or at least 03 years of experience in auditing, accounting, or inspection field;
- d) The Head of the Internal Audit Department must have professional qualifications in law, accounting, auditing, and have sufficient experience, reputation, and authority to effectively perform the assigned tasks;
- e) Must not be a related person to the heads of professional departments, professional employees, the Chief Executive Officer, Deputy Chief Executive Officer, or Branch Directors in the Company;
- f) Must have a professional certificate in Basic Knowledge of Securities and the Securities Market or a Securities Practice Certificate, and a professional certificate in Law on Securities and the Securities Market;
- g) Must not concurrently hold other positions in the Company.

Article 7. Professional standards

- 1. The Internal Audit Department must comply with legal regulations on internal audit, Internal Audit Standards, and professional ethics promulgated or published by competent state agencies.
- 2. In addition, the Internal Audit Department will comply with the Company's relevant policies and procedures on internal audit, including the internal audit process approved and promulgated by the Company.

Article 8. Principles of professional ethics for internal audit

- 1. Integrity: Internal auditors must perform professional tasks with honesty, prudence, and a sense of responsibility; comply with legal regulations and disclose necessary information as required by law and professional requirements of internal audit; not participate in illegal activities that harm the Company's reputation.
- 2. Objectivity: Internal auditors must demonstrate the highest level of professional objectivity in collecting, evaluating, and exchanging information about audited activities and processes. Internal auditors provide objective assessments of all relevant situations and are not influenced by their own interests or those of others in making judgments and conclusions.
- 3. Professional Competence and prudence: Internal auditors apply professional knowledge, skills, and experience in internal audit work. At the same time, they act prudently, in accordance with applicable professional and technical standards.
- 4. Confidentiality: Internal auditors must respect the values and ownership of the information provided and not disclose this information unless permitted by competent authorities, except when disclosure is required by professional responsibility or by law.
- 5. Professional ethics: Internal auditors must comply with the law and relevant regulations, and avoid any action that diminishes professional reputation.

6. The person in charge of internal audit must take measures to monitor, evaluate, and manage to ensure that internal auditors comply with the principles of professional ethics for internal audit.

Article 9. Powers of the Internal Audit Department

1. To proactively perform tasks according to the approved audit plan.
2. To be equipped with necessary resources and provided fully and promptly with all necessary information, documents, and dossiers for internal audit activities.
3. To access, review all professional processes, assets, and interview all officials and employees of the unit on issues related to the content of the audit. All officials, employees, and managers in the Company are responsible for providing dossiers, explanations, and fully and promptly coordinating and supporting the Internal Audit Department in carrying out its role and responsibilities.
4. To receive documents, written documents, and meeting minutes of the Company's Board of Directors and other functional departments related to the work of internal audit and attend internal meetings as prescribed by law or as stipulated in the Company's Charter and internal regulations.
5. To supervise, evaluate, and monitor the repair, remediation, and improvement activities of the leaders of units and departments regarding issues that internal audit has recorded and made recommendations on.
6. To be protected from uncooperative actions of the audited department/unit.
7. To be trained to improve the capacity of internal auditors in the Internal Audit Department.
8. To attend internal meetings as prescribed by law or as stipulated in the Company's Charter and internal regulations.

Article 10. Responsibilities of the Internal Audit Department

1. To keep documents and information confidential in accordance with current legal regulations and the Company's Regulations.
2. To be responsible to the Company's Board of Directors for the results of internal audit work, for the assessments, conclusions, recommendations, and proposals in internal audit reports.
3. To promptly monitor, urge, and inspect the results of implementing post-audit recommendations of the Company's departments/units.
4. To organize continuous training to improve and ensure professional competence for internal auditors.
5. Other responsibilities as prescribed by law and the Company's Regulation on internal audit.

Article 11. Independence and objectivity of internal audit

1. The Internal Audit Department will not be interfered with by any factors in the organization, including issues of audit selection, scope, procedures, frequency, timing, or report content to allow for the maintenance of the necessary independent and objective state of mind.
2. Internal auditors do not have direct responsibility or authority on any activities they audit. Accordingly, internal auditors will not perform internal control, develop processes, install systems, prepare dossiers, or participate in any other activities that could impair the judgment of internal auditors.

3. Internal auditors will demonstrate the highest level of professional objectivity in collecting, evaluating, and communicating information about the audited activity or process. Internal auditors will assess all relevant situations in a balanced manner and not be influenced by their own interests or those of others in making judgments.
4. The person in charge of internal audit will annually commit and confirm with the Company's Board of Directors the independence of the organization from the Internal Audit Department.

CHAPTER II

INTERNAL AUDIT ACTIVITIES

Article 12. Method of performing internal audit

The method of performing internal audit is the "risk-oriented" audit method, prioritizing the concentration of resources to audit departments/processes that are assessed to have a high level of risk.

Article 13. Internal audit plan

Annually, before January 30th, the Internal Audit Department will submit the annual audit plan to the Audit Committee or the authorized agency/department of the Company for consideration and approval.

Article 14. Audit reports and inspection of the implementation of audit recommendations

1. Each internal audit report includes: audit content, audit scope; assessments, conclusions on the audited content and the basis for these opinions; weaknesses, shortcomings, errors, violations, recommendations for remedial measures, correction of errors and handling of violations; proposals for rationalization and improvement of professional processes; improvement of risk management policies, organizational structure of the Company (if any).
2. The annual internal audit report includes the following contents:
 - Audit plan proposed; audit work performed;
 - Major shortcomings and violations detected; measures recommended by internal audit;
 - Assessment of the internal control system related to the audited activity and proposals for improving the internal control system;
 - Situation of implementation of measures, recommendations, and proposals of internal audit;
 - Self-assessment of internal audit achievements and future development directions.
3. Extraordinary Report: In case of detecting serious violations or when there is a high risk that may adversely affect the operation of the enterprise, the Internal Audit Department must report immediately to the Board of Directors and send it simultaneously to the Audit Committee and the Chief Executive Officer of the Company.
4. Inspection of the implementation of Internal Audit recommendations: Inspection and evaluation of the time and results of the work that the audited department/unit has implemented according to the recommendations of internal audit.

Article 15. Storage of internal audit reports, dossiers, and documents

1. Dossiers and documents in each audit must be recorded in writing (paper or electronic), stored in orderly manner so that the authorized individuals and organizations can access and understand the work and results performed in the audit report.
2. Internal audit reports, dossiers, and documents must be stored in accordance with current regulations of the State and the Company.

Article 16. Ensuring and improving the quality of internal audit

1. The Internal Audit Department will maintain a quality assurance and improvement program that includes all aspects of the Internal Audit Department.
2. The program will include an assessment of the Internal Audit Department's compliance with internal audit regulations and standards; assessment of compliance with the Code of Ethics for internal auditors. The program also assesses the effectiveness and efficiency of the Internal Audit Department and identifies opportunities for improvement.
3. Re-evaluation of internal audit activities is performed at the end of the audit and annual self-evaluation of the overall internal audit activities is performed by the Internal Audit Department itself to ensure the quality of internal audit activities. If necessary, a qualified audit firm may be hired for independent external evaluation.
4. The person in charge of internal audit will report to the Audit Committee on the quality assurance and improvement program of the Internal Audit Department, including the results of the annual internal evaluation and external evaluation (if any).

CHAPTER III

RESPONSIBILITIES OF PARTIES TOWARDS INTERNAL AUDIT

Article 17: Responsibilities of the Audit Committee

1. Propose to promulgate the Regulation on Internal Audit of the Company.
2. Approve the risk-based internal audit plan, annual internal audit report.
3. Approve the internal audit budget and resource plan.
4. Receive information reported from the person in charge of internal audit on the performance of the Internal Audit Department related to the department's plan and other issues.
5. Decide to implement appropriate requests from the Board of Management and the person in charge of internal audit to determine whether there are any resources limitations or scope inadequacies.
6. Facilitate to ensure that the Internal Audit Department fully exercises its powers and duties as prescribed.
7. Decide and approve the implementation of recommendations of internal audit; direct departments to implement the recommendations of internal audit; take timely measures to handle recommendations and proposals internal audit.

Article 18. Responsibilities of the Chief Executive Officer

1. Create favorable conditions for the internal audit to perform assigned tasks and direct departments to coordinate with internal audit in accordance with the regulations on internal audit.
2. Push departments to implement the recommendations agreed upon with the Internal Audit Department or as directed by the Board of Directors, and notify the Internal Audit Department of the implementation status of the recommendations agreed upon with the Internal Audit Department.
3. Ensure that the Internal Audit Department is fully informed of changes and new issues arising in the operation of the department/unit to identify related risks early.

Article 19. Responsibilities of Audited Departments and Units

1. Provide full information, documents, and dossiers necessary for the work of the internal audit as required by the Internal Audit Department in an honest, accurate manner, and must not conceal information.
2. Immediately notify the Internal Audit Department when detecting weaknesses, shortcomings, errors, violations, major asset losses, or the risk of asset loss.
3. Implement the recommendations agreed upon with the Internal Audit Department or as directed by the Audit Committee or the Chief Executive Officer.
4. Provide all favorable conditions for the Internal Audit Department to work most effectively.
5. Other responsibilities towards internal audit as prescribed by law and this regulation.

CHAPTER IV IMPLEMENTATION PROVISIONS

Article 20. Effectiveness

This Regulation takes effect from April 18th, 2025.

Article 21. Implementation

Members of the Board of Directors (including the Audit Committee), the Chief Executive Officer, the person in charge of internal audit, and organizations and individuals of the Company are responsible for implementing this Regulation.

