VIX SECURITIES
JOINT STOCK COMPANY

No: 71/2026/VIX/NQ - HĐQT

THE SOCIALIST REPUBLIC OF VIETNAM
**Independence – Freedom - Happiness**

Ha Noi, November 2, 2026

# RESOLUTION OF THE BOARD OF DIRECTORS

*Re: Approval of the Issuance of the information disclosure regulations*

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**THE BOARD OF DIRECTORS**
**OF VIX SECURITIES JOINT STOCK COMPANY**

*Pursuant to:*

- *Law on Enterprises No. 59/2020/QH14 dated June 17, 2020 and its implementing, amending and supplementing documents;*
- *Law on Securities No. 54/2019/QH14 dated November 26, 2019 and its implementing, amending and supplementing documents;*
- *The Charter of VIX Securities Joint Stock Company (VIX);*
- *The Minutes of the Board of Directors' meeting dated November 2, 2026.*

## RESOLVED

**Article 1:** Approve the issuance of the Information Disclosure Regulations applicable to VIX Securities Joint Stock Company.

*(In accordance with the attached Information Disclosure Regulations)*

**Article 2:** This resolution shall take effect as of the date of signing. Members of the Board of the Directors, the Chief Executive Officer, relevant departements, and related persons shall be responsible for the implementing this resolution./.

**Recipients:**
- *As Article 2;*
- *Supervisory Board;*
- *Archived at: Administration Office, BOD.*

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




**HA HUY HUNG**

# INFORMATION DISCLOSURE REGULATIONS

*(Issued together with Resolution No. 71/2026/VIX/NQ-HĐQT dated November 2, 2026 of the Board of Directors of VIX Securities Joint Stock Company)*

## CHAPTER I: GENERAL PROVISIONS

### Article 1. Scope and Subjects of Application

1. Scope of regulation: These Regulations stipulate the performance of obligations, methods, procedures and order for disclosing information relating to the business operations of VIX Securities Joint Stock Company (hereinafter referred to as "VIX" or "the Company") on the securities market and in the mass media in accordance with law. They also stipulate coordination among the Company, shareholders and investors with competent authorities, and define the duties, responsibilities and powers of specialists, employees and affiliated units involved in the Company's information disclosure activities.
2. Subjects of application: These Regulations apply to the following subjects: employees and specialists of departments/units assigned information disclosure duties; persons authorized to disclose information; the Company's insiders and their related persons of insiders; heads of professional departments and affiliated units; shareholders and investors subject to information disclosure obligations in accordance with law; and other relevant organizations and individuals.

### Article 2. Interpretation of Terms

1. Other individuals and organizations subject to information disclosure obligations include:
   a. Securities practitioners of the Company; the Company's insiders and related persons of insiders;
   b. Major shareholders and groups of related persons holding 5% or more of the Company's outstanding voting shares;
   c. Major shareholders and groups of related persons holding 5% or more (or such other percentage as prescribed by law for a major shareholder) of the Company's voting shares;
   d. Shareholders and groups of related persons acquiring shares to hold 5% or more (or such other percentage as prescribed by applicable law for a major shareholder) of the Company's voting shares;
   e. Founding shareholders during the period in which the transfer of their shares in the Company is restricted;

f. Organizations and individuals conducting a public tender offer for the Company's shares;

g. Other agencies, organizations and individuals related to information disclosure activities on the Vietnamese securities market.

2. Insiders are persons holding important positions in the Company's governance and management structure, including:
   a. The Chairman and members of the Board of Directors;
   b. The Head and members of the Supervisory Board and members of the Internal Audit Committee;
   c. The Chief Executive Officer, Deputy Chief Executive Officers or equivalent managerial positions elected by the General Meeting of Shareholders or appointed by the Board of Directors;
   d. The Chief Financial Officer and Chief Accountant;
   e. The Legal Representative and the person authorized to disclose information;
   f. The Company Secretary and the person in charge of corporate governance;
3. Related persons are individuals or organizations having relationships with one another in the following cases:
   a. An enterprise and its insiders;
   b. An enterprise and an organization or individual holding more than 10% of its voting shares;
   c. An organization or individual that, in relation to another organization or individual, directly or indirectly controls, is controlled by, or is under common control with such organization or individual;
   d. An individual and such individual's biological father, biological mother, adoptive father, adoptive mother, father-in-law, mother-in-law, spouse, biological children, adopted children, daughters-in-law, sons-in-law, biological brothers, biological sisters, younger brothers, brothers-in-law and sisters-in-law;
   e. A contractual relationship in which one organization or individual acts as the representative of another organization or individual;
   f. Other organizations or individuals deemed related persons under the Law on Enterprises and other relevant laws.
4. Information disclosure date: The date on which information appears on one of the information disclosure channels prescribed by the laws on information disclosure.

5. Periodic information disclosure: The disclosure of information at specified times during the year in accordance with law.
6. Extraordinary information disclosure: The disclosure of information within a specified period (24 hours, 48 hours, 10 days, etc.) after the occurrence of unexpected or extraordinary events as prescribed by law.
7. Information disclosure upon request: The disclosure of information at the request of the State Securities Commission (SSC), Stock Exchanges and other competent state management authorities.
8. Abbreviations:

VIX/Company: VIX Securities Joint Stock Company

SSC: State Securities Commission

SE: Stock Exchange

VSDC: Vietnam Securities Depository and Clearing Corporation

ID: Information Disclosure

PI: Personal Information.

**Article 3. Principles of Information Disclosure**

1. The languages used for information disclosure on the securities market are Vietnamese and English (English-language information disclosure shall be implemented according to the roadmap prescribed by Vietnamese law). Information disclosed in English must be consistent with the content of the information disclosed in Vietnamese. In the event of any discrepancy or difference in interpretation between the Vietnamese and English versions, the Vietnamese version shall prevail.
2. Entities subject to information disclosure obligations shall be legally responsible for the contents of the information disclosed. If any disclosed information is changed, the relevant entity must promptly disclose the full details of such changes and the reasons therefor compared with the previously disclosed information.
3. When making an information disclosure, the Company must concurrently report the disclosed information, including all required information, to the SSC and the Stock Exchange on which the relevant securities are listed or registered for trading;
4. Information disclosure shall be carried out by the Legal Representative or the person authorized to disclose information, who must ensure the accuracy and timeliness of the disclosed information and compliance with the content requirements prescribed by law and competent state authorities.
5. When the person authorized to disclose information is replaced, the newly authorized

person shall be responsible for completing the procedures for changing the authorized information disclosure person in accordance with applicable law.

6. Disclosure of personal information of entities subject to information disclosure obligations:

   - Personal Information includes: valid citizen identity cards/identity cards/military identity cards/passports, contact addresses, permanent residence addresses, telephone numbers, fax numbers, email addresses, securities trading account numbers, securities depository account numbers, bank account numbers, and trading codes of foreign investors and foreign-invested economic organizations holding more than 50% of charter capital (if any). Such information may only be disclosed with the consent of the relevant individual.

   - If the relevant person does not consent to or does not wish to make the above personal information public, the person carrying out the information disclosure must submit two sets of documents to the SSC and the Stock Exchange, including one set containing full Personal Information and one set excluding Personal Information, for the SSC and the Stock Exchange to publish the information.

**Article 4. Persons Responsible for Information Disclosure**

1. The person responsible for information disclosure shall be either one Legal Representative or one individual authorized to disclose information in accordance with these Regulations and relevant laws. The Legal Representative shall be responsible for the completeness, accuracy and timeliness of information disclosed by the authorized person. If an event requiring information disclosure occurs while both the Legal Representative and the authorized person are absent, the highest-ranking member of the Executive Management shall assume responsibility for carrying out the information disclosure.
2. The Company must report and re-report information concerning the person responsible for information disclosure to the SSC (hereinafter referred to as the SSC) and the Stock Exchange (hereinafter referred to as the Stock Exchange) within 24 hours from the effective date of the appointment, authorization or change of the person responsible for information disclosure.

**Article 5. Information Disclosure Channels**

1. Information disclosure channels include:
   a. The Company's website: www.vixs.vn.
   b. The SSC's information disclosure system: CSMS software.
   c. The HNX/VNX information disclosure system: CIMS software.
   d. The HSX information disclosure system: ECM software.
   e. The website of the Vietnam Securities Depository and Clearing Corporation (VSDC).

f. Other information channels as prescribed by law (printed newspapers, electronic newspapers, etc.).

2. Information disclosure to the SSC, Stock Exchanges, VSDC and other state management authorities shall be carried out in accordance with the regulations of each authority from time to time.
3. If information cannot be submitted through the electronic information disclosure system due to force majeure events, such as network or server incidents, inability to use digital certificates, or system suspension at the request of a competent authority, the Company shall submit the disclosed information in hard copy by post or directly to the SSC, Stock Exchange or VSDC to which the disclosure obligation is owed, and concurrently send an electronic data copy to the email address of the relevant authority within the prescribed deadline. The Company shall immediately notify the SSC, Stock Exchange or VSDC to which the disclosure obligation is owed of the reason why the information cannot be submitted through its electronic information disclosure system, for guidance or remediation of the incident (if necessary).
4. If an information disclosure obligation arises on a statutory weekly day off or public holiday, the Company shall disclose the information on its website and fully perform the information disclosure obligation in accordance with law on the next working day following such day off or public holiday.

## CHAPTER II: INFORMATION DISCLOSURE CONTENT

### Article 6. Information Disclosure Capacities

1. The Company shall fully perform its information disclosure obligations corresponding to each of its legal capacities and activities on the securities market in accordance with law.
2. The Company's information disclosure capacities include, but are not limited to:
   a. Securities company;
   b. Public company and listed organization;
   c. Trading member and depository member;
   d. Issuer and underwriting organization;
   e. Major shareholder, founding shareholder, strategic shareholder or investor subject to information disclosure obligations in accordance with law;
   f. Related person of an insider or any other capacity giving rise to information disclosure obligations in accordance with law.
3. Where the Company concurrently holds multiple capacities giving rise to information disclosure obligations, it shall fully perform all corresponding information disclosure obligations in accordance with law.

### Article 7. Periodic Information Disclosure

The Company must make periodic information disclosures within the time limits prescribed by the laws on information disclosure, including but not limited to:

1. Financial statements;
2. Financial safety ratio reports;
3. Annual reports;
4. Information and documents for the Annual General Meeting of Shareholders;
5. Corporate governance reports;
6. Information disclosure regarding other activities of the Company:

- Information disclosure concerning offering, issuance, listing, registration for trading and reports on the use of proceeds;
- Shareholder structure and foreign ownership ratio;
- Information disclosure concerning the Company's share buyback transactions and sale of treasury shares;
- Other information disclosure as prescribed.

7. Other periodic information disclosures as prescribed by applicable laws and regulations on information disclosure on the Vietnamese securities market.

**Article 8. Extraordinary Information Disclosure**

1. The Company shall make extraordinary information disclosures within 24 hours (or such other period as prescribed by applicable legal documents) from the occurrence of, or receipt of information about, events subject to extraordinary information disclosure under the laws on securities and the securities market. Where the law prescribes a different disclosure deadline for a specific event, the Company shall comply with the corresponding deadline.
2. The content of extraordinary information disclosures must be accurate, complete and timely, and must truthfully reflect the event that has occurred, clearly stating the details of the event, its causes and the measures or plans for handling and remedying it (if any), in accordance with law.
3. Extraordinary information disclosure shall be made in accordance with the Circular guiding information disclosure on the securities market issued by the Ministry of Finance, relevant regulations and rules of the SSC, Stock Exchanges and the Vietnam Securities Depository and Clearing Corporation, and other relevant laws.
4. Relevant units and individuals shall promptly provide information, records and documents concerning the event to the Company's focal point responsible for information disclosure, ensuring that the information disclosure is complete and made within the prescribed deadline.

**Article 9. Information Disclosure upon Request**

1. The Company must disclose information within the prescribed period from receipt of a request from the SSC or a Stock Exchange where information relating to the Company or its branches seriously affects the lawful rights and interests of investors.

2. The disclosed information referred to in Clause 1 of this Article must clearly state the event for which the SSC or Stock Exchange has requested disclosure, the cause and degree of verification of such event, and remedial measures (if any).

**Article 10. Other Information Disclosure**

In addition to the periodic, extraordinary and upon-request information disclosure obligations stipulated in these Regulations, the Company shall perform other information disclosure obligations in accordance with the laws on securities and the securities market and other relevant laws.

**Article 11. Amendment and Correction of Disclosed Information**

1. Upon discovering that disclosed information contains errors, is inaccurate or needs to be amended or supplemented, relevant units and individuals shall promptly notify the person responsible for information disclosure, and concurrently review and determine the reasons, the content to be amended or supplemented, and the responsibilities of the relevant parties (if any).

2. Based on the information requiring amendment or supplementation, the person responsible for information disclosure shall coordinate with relevant units to submit the matter to the competent authority for consideration and approval, and carry out the disclosure of amended, supplemented or corrected information in accordance with law and the Company's internal regulations.

3. Any amendment, supplementation or correction of disclosed information must be accurate, complete and timely. Explanations and reports must also be made, and the amended, supplemented or corrected information must be disclosed to the SSC, Stock Exchanges and relevant authorities and organizations in accordance with law.

**Article 12. Postponement of Information Disclosure**

1. The Company may postpone information disclosure in cases of force majeure (natural disasters, fires, war, epidemics, etc.) and must report such postponement to the SSC, Stock Exchange and relevant state management authorities immediately upon occurrence of the event, clearly stating the reasons for postponing the information disclosure.

2. Immediately after the force majeure circumstances have been remedied, the Company must fully disclose all information that was not previously disclosed, in accordance with law.

## CHAPTER III: INFORMATION DISCLOSURE PROCEDURES AND RESPONSIBILITIES

### Article 13. Information Disclosure Procedures

1. The Company's information disclosure procedures shall, at a minimum, comprise the following basic steps:

   Step 1: Identify information required to be disclosed

   Step 2: Prepare and review information disclosure documents

   Step 3: Submit the information disclosure content to the competent authority for approval

   Step 4: Carry out information disclosure

   Step 5: Archive and preserve information disclosure dossiers

2. The Chief Executive Officer shall be responsible for formulating and promulgating detailed procedures for information disclosure, and for directing and supervising the relevant departments and individuals of the Company in implementing these Regulations, the promulgated Procedures and applicable laws and regulations.

3. When shareholders, investors or competent authorities request clarification or the provision of information, the person responsible for information disclosure shall respond with information falling within the categories required to be disclosed under law and the Company's Charter. If a shareholder's, investor's or competent authority's question or request does not fall within the above categories of information, depending on the nature and content of the matter requiring clarification, the Executive Management shall designate relevant individuals and professional departments of the Company to provide a timely response to the shareholder, investor or competent authority. The contents of official response letters must be approved by the Chief Executive Officer.

### Article 14. Responsibilities of the Information Disclosure Department

1. Supervise compliance with the information disclosure procedures.
2. Review the accuracy and appropriateness of reports and disclosed information, compare reports against current information disclosure regulations, and disclose information to the necessary organizations and individuals in accordance with applicable regulations.
3. Be accountable to the Board of Directors and the Chief Executive Officer for the implementation of information disclosure.
4. Perform other assigned tasks.

### Article 15. Responsibilities of Professional Departments and Affiliated Units

1. Monitor and properly comply with the provisions of the Information Disclosure Regulations.
2. Provide information in accordance with the functions and duties assigned under the Information Disclosure Regulations or upon direct request of the Chief Executive Officer or the Information Disclosure Department.
3. Be responsible for the accuracy and timeliness of information disclosure documents and information provided to the Information Disclosure Department.

## CHAPTER IV: IMPLEMENTATION

### Article 16. Handling of Information Disclosure Violations

1. If the Company commits a violation of the laws and regulations on information disclosure, it shall, depending on the nature and severity of the violation, bear responsibility and be dealt with in accordance with the law.
2. If the person responsible for information disclosure or any relevant individual or unit violates information disclosure regulations or fails to fully perform its assigned responsibilities, thereby causing the Company to breach its information disclosure obligations, such person or unit may, depending on the nature and severity of the violation and the responsibility of each individual or unit, be subject to disciplinary action under the Company's internal regulations and/or sanctions in accordance with law.
3. If a violation causes damage to the Company or any relevant organization or individual, liability for compensation for damages shall be determined in accordance with law and the Company's relevant internal regulations.

### Article 17. Effectiveness

1. These Regulations consist of 4 Chapters and 19 Articles, take effect as of the date of signing, and replace all previously issued information disclosure regulations.
2. Matters not provided for in these Regulations shall be governed by the Company's Charter and relevant laws. In the event that any provision of these Regulations is inconsistent with applicable law, the law shall prevail.

### Article 18. Amendment, Supplementation and Replacement of the Regulations

1. During implementation, if any difficulties arise or amendments or supplements to these Regulations are required to ensure compliance with law and the Company's actual operating conditions, relevant units and individuals shall report and make proposals to the focal point for consolidation and submission to the competent authority for consideration.
2. Amendments and supplements to these Regulations shall fall within the decision-making authority of the Company's Board of Directors.

**Article 19. Implementation**

Members of the Board of Directors, the Chief Executive Officer, the person responsible for information disclosure, heads of professional departments and relevant individuals of VIX Securities Joint Stock Company shall be responsible for organizing the implementation of and complying with these Regulations.

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

S.G.P: 70 - C.T.C.P
CÔNG TY CỔ PHẦN CHỨNG KHOÁN VIX
P. HAI BÀ TRƯNG - T.P HÀ NỘI

**HA HUY HUNG**