

No. 04../2026/NQ-HĐQT

Hanoi, March 06., 2026

## RESOLUTION

(Re: Issuance of the Meeting Rules for the 2026 Annual General Meeting of Shareholders of Smart Invest Securities Joint Stock Company)

### THE BOARD OF DIRECTORS

#### OF SMART INVEST SECURITIES JOINT STOCK COMPANY

- Pursuant to the Law on Enterprises 2020 adopted by the National Assembly of the Socialist Republic of Vietnam on June 17, 2020 and its amendments and supplements;
- Pursuant to the Securities Law No. 54/2019/QH14 adopted by the National Assembly of the Socialist Republic of Vietnam on November 26, 2019 and its amendments and supplements;
- Pursuant to the Charter of SmartInvest Securities Joint Stock Company;
- Pursuant to the Meeting minutes of the Board of Directors No. 04../2026/BBH-HĐQT on March 06., 2026

### RESOLVED THAT

**Article 1:** To promulgate together with this Resolution the Rules of Procedure for the 2026 Annual General Meeting of Shareholders of SmartInvest Securities Joint Stock Company

**Article 2:** This Resolution takes effect from the date of signing. The members of the Annual General Meeting Organizing Committee, relevant parties, and shareholders attending the Annual General Meeting of Shareholders of Smart Invest Securities Joint Stock Company are responsible for implementing this Resolution./.

**Recipients:**

- As Article 2;
- General Meeting Organizing Committee
- Archives.

ON BEHALF OF THE BOARD OF DIRECTORS



Ngô Thị Thuy Linh

**MEETING RULES FOR  
THE 2026 ANNUAL GENERAL MEETING OF SHAREHOLDERS**

*(Issued under Resolution No. .... /2026/QĐ-HĐQT dated March ... .., 2026 of Smart Invest Securities Joint Stock Company)*

**CHAPTER I  
GENERAL PROVISIONS**

**Article 1. Scope and Application Subjects**

1. The Rules for organizing the General Meeting of Shareholders are used for organizing the 2026 Annual General Meeting of Shareholders (hereinafter referred to as the “**Meeting**”) of SmartInvest Securities Joint Stock Company (hereinafter referred to as the “**Company**”).
2. These Rules stipulate the working principles, the rights and obligations of the parties participating in the Meeting, and the conditions and procedures for conducting the Meeting.

**Article 2. Working Principles of the Meeting**

1. The General Meeting of Shareholders shall operate on the principles of publicity, fairness, and democracy; ensuring the lawful rights and interests of shareholders and the Company; and complying with the provisions of law, the Company’s Charter, and these Rules.
2. Conditions to ensure order during the Meeting:
  - Participants shall sit in appropriate seats as guided by the Organizing Committee;
  - No smoking in the meeting room or during the Meeting;
  - Mobile phones must be set to silent mode;
  - No filming, photography, or audio recording without the consent of the Presidium during the Meeting;
  - No information may be transmitted externally in any form until the Meeting concludes, unless approved by the Presidium;
  - Other regulations as announced by the Presidium and the Organizing Committee during the Meeting.

**Article 3.** Shareholders and other parties participating in the Meeting are responsible for complying with the provisions set forth in these Rules

**CHAPTER II  
RIGHTS AND OBLIGATIONS OF PARTICIPANTS IN THE MEETING**

**Article 4. Shareholders Attending the Meeting**

1. Conditions for attending the Meeting

All shareholders holding shares of the Company or duly authorized representatives whose names appear on the list of shareholders entitled to attend the Meeting on the record date.
2. Rights and Obligations of Eligible Shareholders
  - a) Shareholders or authorized persons attending the Meeting must present the following

documents:

- Invitation letter to the Meeting;
  - Identification documents (valid Citizen Identification Card or Passport);
  - Power of Attorney and invitation letter (in case of authorized representation)
- b. Registration for Attendance: Shareholders or authorized representatives must present the aforementioned documents to the Shareholder Eligibility Verification Committee to receive the meeting documents and a Voting Ballot, two Ballot Papers which includes details such as the shareholder code and the number of voting shares (owned and/or authorized).
- c. Shareholders may authorize in writing another person to attend and vote on their behalf at the General Meeting of Shareholders. The authorized representative may not further authorize another person to attend the Meeting.
- d. Shareholders wishing to express opinions during discussions must obtain the consent of the Chair of the Meeting. Statements must be concise and focus on key issues relevant to the approved Meeting agenda. Issues already addressed by previous speakers should not be repeated to avoid duplication. Shareholders may also write their questions on the question form and submit them to the Secretariat.
- e. Shareholders shall participate in voting on matters within the authority of the General Meeting of Shareholders in accordance with the Law on Enterprises.
- f. Shareholders and shareholder representatives attending the Meeting, after hearing the reports on matters to be approved, shall discuss and approve them through voting. During the Meeting, shareholders must follow the instructions of the Presidium, maintain polite conduct, and refrain from causing disorder.
- g. Shareholders or authorized representatives arriving after the Meeting has commenced, upon completing the registration procedures, may attend and vote on the remaining matters according to the approved Meeting agenda. In this case, the validity of votes already conducted shall not be affected.

#### **Article 5. Presidium and Chairperson**

1. The Presidium shall be elected by the General Meeting of Shareholders and consists of the Chair and other members of the Presidium. The Chair of the Presidium shall preside over the General Meeting of Shareholders.
2. Rights and obligations of the Presidium
  - 2.1. For the Presidium:
    - a) To conduct the activities of the Meeting in accordance with the agenda approved by the General Meeting of Shareholders; to perform necessary tasks to ensure the orderly conduct of the Meeting and to meet the expectations of the majority of attending shareholders.
    - b) To guide participants and the Meeting in discussions.
    - c) To present draft proposals on matters requiring voting by the Meeting.
    - d) To answer questions raised by the Meeting or designate another person to answer.
  - 2.2. For the Chair:

- a) To implement necessary and reasonable measures to ensure that the Meeting is conducted in an orderly manner, in accordance with the approved agenda, and reflecting the wishes of the majority of attendees.
- b) The Chair has the right to adjourn the General Meeting of Shareholders when the required quorum is present to another time as prescribed by law or change the meeting venue in the following cases:
  - The meeting venue does not have sufficient seating for all attendees;
  - The communication facilities at the meeting venue do not ensure that attending shareholders can participate in discussions and voting;
  - There are attendees obstructing or causing disorder, posing a risk that the Meeting cannot proceed fairly and lawfully;
  - The adjournment is necessary to ensure that the Meeting proceedings are conducted legally.
- c) The maximum adjournment period shall not exceed three (03) working days from the scheduled opening date of the Meeting. The reconvened General Meeting of Shareholders shall only consider matters that were raised but not lawfully resolved at the previous adjourned Meeting.

#### **Article 6. Shareholder's Verification Committee**

The Shareholder's Verification Committee shall be established by the Organizing Committee of the Meeting. The Committee is responsible for verifying the eligibility of shareholders or authorized representatives attending the Meeting, determining their validity in accordance with the law and cross-checking with the Company's list of shareholders entitled to attend the Meeting; distributing Meeting documents and voting cards; reporting to the Meeting and taking responsibility for the results of the verification before the Meeting officially commences.

#### **Article 7. Meeting Secretariat**

1. The Organizing Committee introduces the Secretariat proposed by the Chair and approved by the General Meeting of Shareholders.
2. The Secretariat shall assist as assigned by the Chair, including:
  - a) Recording fully and accurately the contents of the Meeting;
  - b) Assisting the Presidium in announcing the draft Minutes and Resolution of the Meeting and notices from the Presidium to shareholders when requested;
  - c) Receiving written questions from shareholders.

#### **Article 8. Voting Counting Committee**

1. The Vote Counting Committee consists of two (02) members nominated by the Chair and approved by the General Meeting of Shareholders.
2. The Committee is responsible for:
  - a) Supervising the voting process of shareholders or authorized representatives attending the

Meeting;

- b) Summarizing the number of voting shares for each matter and reporting the results to the Chair and the Secretariat.

### **CHAPTER III**

#### **CONDUCTING THE MEETING**

##### **Article 9. Conditions for Convening the Meeting**

The General Meeting of Shareholders shall be conducted when the number of attending shareholders and authorized representatives represents more than 50% of the total voting shares according to the Company's shareholder list.

##### **Article 10. Voting Procedures**

1. All matters in the Meeting agenda must be approved by voting of all attending shareholders through Voting Cards based on the number of shares owned or represented.
2. Voting method: Matters in the Meeting agenda shall be voted on as decided by the Chair using forms appropriate to the proceedings of the Meeting, specifically:

Voting by completing the Voting Card: shareholders shall complete the Voting Card at the Meeting as requested by the Chair to vote on the following options: Approve; Disapprove; Abstain, Applicable to:

- Approval of submissions and reports presented at the Meeting;
  - Approval of the Minutes and Resolution of the Meeting;
  - Other matters arising during the Meeting (if any).
3. The total number of votes approving, disapproving, and abstaining for each matter shall be announced by the Head of the Vote Counting Committee at the Meeting.

##### **Article 11. Approval of Resolution**

1. Resolutions of the General Meeting of Shareholders on the following matters shall be approved when shareholders representing at least 65% of the total voting shares of all shareholders and authorized representatives attending and voting at the Meeting approve:
  - a) Types of shares and total number of shares of each type;
  - b) Changes in business sectors and business lines;
  - c) Changes in the Company's management organizational structure;
  - d) Investment projects or sale of assets with a value equal to or greater than 35% of the total assets recorded in the Company's latest financial statements;
  - e) Reorganization or dissolution of the Company.
2. Resolutions on other matters in the Meeting agenda shall be approved when shareholders representing more than 50% of the total voting shares of all shareholders and authorized representatives attending the Meeting approve.

##### **Article 12. Meeting Minutes and Resolution**

1. The Minutes and Resolution of the General Meeting of Shareholders must be completed and

- approved before the closing of the Meeting.
2. The Minutes and Resolution of the General Meeting of Shareholders must be kept at the Company's head office.

## CHAPTER IV

### IMPLEMENTATION PROVISIONS

**Article 13.** These regulations, consisting of 13 articles, are issued by Smart Invest Securities Joint Stock Company in compliance with applicable laws. Shareholders and meeting organizers must comply fully./.

ON BEHALF OF THE BOARD OF DIRECTORS

CHAIRWOMAN



**Ngô Thị Thuy Linh**