

CÔNG TY CỔ PHẦN
CHỨNG KHOÁN SMARTINVEST
*SMARTINVEST SECURITIES JOINT
STOCK COMPANY*

Số/No: 219/2026/CV

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập - Tự do - Hạnh phúc
*THE SOCIALIST REPUBLIC OF VIETNAM
Independence - Freedom - Happiness*

Hà Nội, ngày 23 tháng 10 năm 2026

Ha Noi, October 23th, 2026

CÔNG BỐ THÔNG TIN BẤT THƯỜNG
EXTRAORDINARY INFORMATION DISCLOSURE

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

1. Tên tổ chức/Name of organization: CÔNG TY CỔ PHẦN CHỨNG KHOÁN
SMARTINVEST/ *SMARTINVEST SECURITIES JOINT STOCK COMPANY*

- Mã chứng khoán/ *Stock code:* AAS

- Địa chỉ/ *Address:* Số 220+222+224 phố Nguyễn Lương Bằng, phường Đống Đa, Hà Nội/
No 220+222+224 Nguyen Luong Bang street, Dong Da ward, Ha Noi city.

- Điện thoại liên hệ/Tel: 024.3573.9769

Fax: 024.3573.9779

- E-mail: smartscbtt@aas.com.vn

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

Ngày 23/10/2026, Công ty Cổ phần Chứng khoán SmartInvest đã nhận được Quyết định số 639/QĐ-XPHC của Ủy ban Chứng khoán Nhà nước về việc xử phạt vi phạm hành chính đối với Công ty. Theo đó, Công ty bị phạt vi phạm 150.000.000 đồng (Một trăm năm mươi triệu đồng) theo quy định tại khoản 3a, Điều 43 Nghị định số 156/2020/NĐ-CP được bổ sung theo quy định tại điểm b khoản 34 Điều 1 Nghị định số 128/2021/NĐ-CP.

On October 23, 2026, SmartInvest Securities Joint Stock Company received Decision No. 639/QĐ-XPHC issued by the State Securities Commission of Vietnam on the imposition of an administrative penalty on the Company. Accordingly, the Company was fined 150,000,000 VND (One hundred and fifty million Vietnamese dong) pursuant to Clause 3a, Article 43 of



Decree No. 156/2020/ND-CP, as supplemented by Point b, Clause 34, Article 1 of Decree No. 128/2021/ND-CP.

3. Thông tin này đã được công bố trên trang thông tin điện tử của công ty vào ngày 23/10/2026 tại đường dẫn: <https://aas.com.vn/danh-muc-thong-tin-co-dong/cong-bo-thong-tin/>

This information was published on the Company's official website on October 23th, 2026 as in the link: <https://aas.com.vn/danh-muc-thong-tin-co-dong/cong-bo-thong-tin/>

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 certify that the information provided is true and correct and we bear the full responsibility to the law.

Tài liệu đính kèm/ Attached documents:

- Quyết định số 639/QĐ-XPHC của Ủy ban Chứng khoán Nhà nước về việc xử phạt vi phạm hành chính/
Decision No. 639/QĐ-XPHC issued by the State Securities Commission of Vietnam on the imposition of an administrative penalty

**Người được UQ CBTT/
Person authorized to disclose information**



Nguyễn Thị Huệ





DECISION

On the Imposition of an Administrative Penalty

THE CHIEF INSPECTOR OF THE STATE SECURITIES INSPECTORATE

Pursuant to Articles 57, 68, 70, 78 and 85 of the Law on Handling of Administrative Violations No. 15/2012/QH13, as amended and supplemented by Law No. 67/2020/QH14 and Law No. 88/2025/QH15;

Pursuant to the Government's Decree No. 118/2021/ND-CP dated December 23, 2021, detailing a number of articles and measures for implementing the Law on Handling of Administrative Violations, as amended and supplemented by Decree No. 68/2025/ND-CP and Decree No. 190/2025/ND-CP;

Pursuant to the Government's Decree No. 189/2025/ND-CP dated July 1, 2025, detailing the Law on Handling of Administrative Violations regarding the authority to impose administrative penalties, as amended and supplemented by Decree No. 311/2026/ND-CP;

Pursuant to the Government's Decree No. 156/2020/ND-CP dated December 31, 2020, prescribing administrative penalties for violations in the securities and securities market sector, as amended and supplemented by Decree No. 128/2021/ND-CP;

Based on Administrative Violation Record No. 18/BB-VPHC dated September 24, 2026;

HEREBY DECIDES:

Article 1.

1. To impose an administrative penalty on the following organization:

Name of organization: SmartInvest Securities Joint Stock Company (the "Company").

Head office address: No. 220, 222 and 224 Nguyen Luong Bang Street, Dong Da Ward, Hanoi City.

Enterprise Registration Certificate: Enterprise Registration No. 0102111132, initially issued on December 13, 2006, with the 7th amendment dated December 17, 2025; issuing authority: Hanoi Department of Finance.

Securities Business License: No. 38/UBCK-GPHDKD dated December 26, 2006; latest amended License No. 129/GPDC-UBCK dated December 3, 2025; issuing authority: State Securities Commission of Vietnam.

Legal representative: Ngo Thi Thuy Linh Gender: Female

Position: Chairwoman of the Board of Directors.

2. Administrative violation committed:

Reporting inaccurate information.

The Company submitted a report containing inaccurate information, as identified in the minutes of the working session held on November 11, 2024, between the Company and the State Securities Commission of Vietnam, regarding the Company's use of funds and assets to secure obligations payable by other parties.

3. Applicable provision:

Clause 3a, Article 43 of Decree No. 156/2020/ND-CP, as supplemented by Point b, Clause 34, Article 1 of Decree No. 128/2021/ND-CP.

4. Aggravating circumstances: None.

5. Mitigating circumstances: None.

6. Penalties and remedial measures imposed:

a) Principal penalty: Monetary fine.

Specifically, a fine of VND 150,000,000 (One hundred and fifty million Vietnamese dong).

b) Additional penalties: None.

c) Remedial measure:

The Company is required to submit an accurate report containing the prescribed information in accordance with Clause 4a, Article 43 of Decree No. 156/2020/ND-CP, as amended and supplemented by Point c, Clause 34, Article 1 of Decree No. 128/2021/ND-CP.

The time limit for implementing the remedial measure and other matters directly related to its implementation shall comply with Clause 3, Article 51 of Decree No. 156/2020/ND-CP, as amended and supplemented by Point a, Clause 42, Article 1 of Decree No. 128/2021/ND-CP.

All expenses incurred in implementing the remedial measure shall be borne by the organization specified in this Article.

Article 2. This Decision shall take effect from the date of its signing.

Article 3. This Decision shall be:

1. Delivered to Ms. Ngo Thi Thuy Linh, the legal representative of the organization subject to the administrative penalty specified in Article 1 of this Decision, for implementation.

SmartInvest Securities Joint Stock Company, as specified in Article 1, shall strictly comply with this Decision on the imposition of an administrative penalty. If SmartInvest Securities Joint Stock Company fails to voluntarily comply within the prescribed time limit, enforcement measures shall be taken in accordance with the law. In addition, for each day of late payment of the fine, SmartInvest Securities Joint Stock Company shall be required to pay an additional amount equal to 0.05% of the outstanding fine.

SmartInvest Securities Joint Stock Company, as specified in Article 1, shall pay the fine to the State Treasury of Region I, located at No. 18 Giai Phong Street, Kim Lien Ward, Hanoi City, or into Account No. 7111 of the State Treasury of Region I at the bank, within 10 days from the date of receipt of this Decision.

SmartInvest Securities Joint Stock Company has the right to lodge a complaint or initiate an administrative lawsuit against this Decision in accordance with the law.

2. Sent to the State Treasury of Region I for collection of the fine.

3. Sent to Mr. Le Chien Thang, Deputy Chief Inspector of the State Securities Inspectorate, for implementation.

Recipients:

- As stated in Article 3;
- Chairperson of the State Securities Commission of Vietnam (for reporting);
- Mr. Bui Hoang Hai, Vice Chairperson of the State Securities Commission of Vietnam (for reporting);
- Large-Scale Public Companies Management Division (for information);
- Archives: VT, HS (08 copies).

CHIEF INSPECTOR

(Signed and stamped)

Pham Thi Hanh Huong