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| **SMART INVEST SECURITIES JOINT STOCK COMPANY** | **SOCIALIST REPUBLIC OF VIETNAM** |
| ---------- | **Independence - Freedom - Happiness** |
| | ---------- |
| No. 12/2026/TTr-HĐQT | *Hanoi, ..October..23.., 2026* |

# SUBMISSION

*Re: Approval of the Provision of Securities Transaction Clearing and Settlement Services*

***To:*** **THE GENERAL MEETING OF SHAREHOLDERS**
**SMART INVEST SECURITIES JOINT STOCK COMPANY**

***Pursuant to:***

- *Law on Enterprises No. 59/2020/QH14 passed by the 14th National Assembly of the Socialist Republic of Vietnam on June 17, 2020;*
- *Law on Securities No. 54/2019/QH14, passed by the 14th National Assembly of the Socialist Republic of Vietnam on November 26, 2019;*
- *Decree No. 155/2020/ND-CP dated December 31, 2020, of the Government, detailing the implementation of certain articles of the Law on Securities, and its amendments, supplements and implementing regulations;*
- *Pursuant to the Charter of Smart Invest Securities Joint Stock Company ("Company's Charter").*

Based on the State Securities Commission of Vietnam's implementation plan for securities transaction clearing and settlement under the Central Counterparty (CCP) mechanism for the underlying securities market, the Board of Directors of SmartInvest Securities Joint Stock Company (the "Company") respectfully submits the following matters to the General Meeting of Shareholders for consideration and approval:

1. Approval the provision of securities transaction clearing and settlement services under the Central Counterparty (CCP) mechanism in accordance with applicable laws.
2. Approval the delegation of authorization to the Board of Directors to:
   a. Select and register for the appropriate type of clearing membership (General Clearing Member, Direct Clearing Member or Non-Clearing Member), based on the Company's eligibility and operational needs.
   b. Decide on, approve, organize and direct the implementation of all necessary procedures with the competent state authorities to obtain the requisite licenses for the provision of securities transaction clearing and settlement services under the Central Counterparty (CCP) mechanism; and carry out other related procedures in accordance with applicable laws and the Company's Charter.
   c. Delegate authority to the Chairwoman of the Board of Directors and/or the General Director of the Company to carry out the necessary procedures with the competent state authorities for

obtaining the requisite licenses for the provision of securities transaction clearing and settlement services under the Central Counterparty (CCP) mechanism.

Respectfully submitted!

***Recipients:***

- *As above;*
- *BOD, Executive Board; HR/Admin.*

**ON BEHALF OF THE BOARD OF DIRECTORS**
**CHAIRWOMAN**

S.G.P: 38 - C.T.C.P
CÔNG TY CỔ PHẦN CHỨNG KHOÁN SMARTINVEST
P. ĐỐNG ĐA - T.P HÀ NỘI

**Ngo Thi Thuy Linh**