CÔNG TY CỔ PHẦN CHỨNG KHOÁN SMARTINVEST
Digitally signed by CÔNG TY CỔ PHẦN CHỨNG KHOÁN SMARTINVEST
DN: C=VN, S=HÀ NỘI, L=Đống Đa, CN=CÔNG TY CỔ PHẦN CHỨNG KHOÁN SMARTINVEST, OID.0.9.2342.19200300.100.1.1=MST:0102111132
Reason: I am the author of this document
Location: your signing location here
Date: 2026-11-26 09:21:36
Foxit Reader Version: 9.7.1

SMARTINVEST SECURITIES JOINT STOCK COMPANY

No.: 02/2026/BBKP-AAS

SOCIALIST REPUBLIC OF VIETNAM

Independence – Freedom – Happiness

Hanoi, November 25, 2026

MINUTES OF VOTE COUNTING
COLLECTION OF SHAREHOLDERS' WRITTEN OPINIONS IN 2026
SMARTINVEST SECURITIES JOINT STOCK COMPANY

- Pursuant to the Law on Enterprises 2020 passed by the National Assembly of the Socialist Republic of Vietnam on 17 June 2020 and its amending and supplementing documents;
- Pursuant to the Law on Securities No. 54/2019/QH14 passed by the National Assembly of the Socialist Republic of Vietnam on 26 November 2019 and its amending and supplementing documents;
- Pursuant to the Charter of SmartInvest Securities Joint Stock Company.

Today, at ...13:00.. on ....25/11..../2026, at the head office of SmartInvest Securities Joint Stock Company, located at: 220+222+224 Nguyen Luong Bang Street, Dong Da Ward, Hanoi City, the Vote Counting Committee conducted the counting of ballots for the collection of shareholders' written opinions as follows:

I. CORPORATE INFORMATION

- Company name: **SMARTINVEST SECURITIES JOINT STOCK COMPANY** ("AAS"/"the Company")
- Stock code: AAS
- Head office address: 220+222+224 Nguyen Luong Bang Street, Dong Da Ward, Hanoi City, Vietnam
- Establishment and Operation License No. 38/UBCK-GPHĐKD issued by the State Securities Commission on 26 December 2006, as amended and supplemented from time to time
- Enterprise registration number: 0102111132

II. COMPOSITION OF THE VOTE COUNTING COMMITTEE

Pursuant to the Company's Charter, the Board of Directors organized the vote counting and prepared these minutes under the witness and supervision of the Board of Supervisors.

The Vote Counting Committee for the collection of shareholders' written opinions to

adopt the Resolution of the General Meeting of Shareholders comprises the following members:

1. **Head of the Vote Counting Committee**

- Ms. Ngo Thi Thuy Linh – Chairwoman of the Board of Directors

2. **Vote Counting Supervisor**

- Ms. Bui Thi Quynh Anh – Member of the Board of Supervisors

3. **Vote Counter**

- Ms. Luu Huong Tra

III. PURPOSE AND MATTER SUBMITTED FOR SHAREHOLDERS' OPINIONS:

On the basis of the State Securities Commission's Plan for the implementation of clearing and settlement of securities transactions under the Central Counterparty (CCP) mechanism for the underlying securities market; the Board of Directors (the "BOD") of SmartInvest Securities Joint Stock Company sought shareholders' written opinions to adopt the Resolution of the General Meeting of Shareholders on the provision of clearing and settlement services for securities transactions in accordance with the law.

Matter submitted for opinions: To approve the provision by SmartInvest Securities Joint Stock Company of clearing and settlement services for securities transactions under the Central Counterparty (CCP) mechanism as set out in Proposal No. 12/2026/TTr-HĐQT dated 23/10/2026 of the BOD (attached hereto).

IV. VOTE COUNTING RESULTS

1. Total number of shareholders as of the record date of 22/10/2026 for the collection of shareholders' written opinions: 5,432 shareholders, owning/representing 229,999,521 shares, equivalent to 100% of the total voting shares.
2. Total number of opinion ballots sent to shareholders' registered addresses: 5,432 ballots, representing 229,999,521 shares, equivalent to 100% of the total voting shares.
3. Total number of opinion ballots received: 34 ballots, representing 144,964,861 shares, accounting for 63.03% of the total voting shares.
4. Number of valid opinion ballots: 33 ballots, representing 144,964,775 shares, accounting for 63.03% of the total voting shares.
5. Number of invalid opinion ballots: 01 ballot, representing 86 shares, accounting for 0.00004% of the total voting shares.

Detailed vote counting results are as follows:

1. Votes in favor: 144,964,775 votes, equivalent to 63.03% of the total votes of all shareholders entitled to vote.
2. Votes against: 0 votes, equivalent to 0% of the total votes of all shareholders entitled to vote.

3. Abstentions: 0 votes, equivalent to 0% of the total votes of all shareholders entitled to vote.

V. RESOLUTION ADOPTED

Pursuant to Clause 4, Article 148 of the Law on Enterprises 2020, the Company's Charter and the 2026 Regulations on the Collection of Shareholders' Written Opinions, a Resolution of the General Meeting of Shareholders shall be adopted if it is approved by shareholders holding more than 50% of the total votes of all shareholders entitled to vote.

According to the vote counting results, the approval rate reached 63.03% of the total votes of all shareholders entitled to vote. Accordingly, the General Meeting of Shareholders of the Company adopted the Resolution on the following matter:

- To approve the provision of clearing and settlement services for securities transactions under the Central Counterparty (CCP) mechanism, ensuring strict compliance with the provisions of law and the Company's Charter. Details are set out in Proposal No. 12/2026/TTr-HĐQT (attached hereto).

The vote counting concluded at ..16:00.. on ..25.1.11...../2026.

These minutes are made in three (03) originals and kept at the Company's head office.

HEAD OF THE VOTE COUNTING COMMITTEE

CHAIRWOMAN OF THE BOD

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

VOTE COUNTING SUPERVISOR	VOTE COUNTER
BUI THI QUYNH ANH	LUU HUONG TRA

SMARTINVEST SECURITIES JOINT STOCK COMPANY	**SOCIALIST REPUBLIC OF VIETNAM**
	Independence – Freedom – Happiness
No.: 02/2026/AAS/NQ-DHDCD	*Hanoi, November 25, 2026*

RESOLUTION
GENERAL MEETING OF SHAREHOLDERS
SMARTINVEST SECURITIES JOINT STOCK COMPANY

Pursuant to:

- *Law on Enterprises No. 59/2020/QH14 dated 17/06/2020 and documents amending, supplementing and guiding its implementation;*
- *Law on Securities No. 54/2019/QH14 dated 26/11/2019 and documents amending, supplementing and guiding its implementation;*
- *Charter on Organization and Operation of SmartInvest Securities Joint Stock Company;*
- *Minutes of Vote Counting No. 02/2026/BBKP-AAS dated ....25/11../2026 on the collection of shareholders' written opinions.*

RESOLVES

Article 1. To approve the provision of clearing and settlement services for securities transactions under the Central Counterparty (CCP) mechanism, ensuring full compliance with the provisions of law and the Company's Charter.

The detailed contents of Proposal No. 12/2026/TTr-HĐQT are attached to this Resolution.

Article 2. Implementation Provisions

This Resolution takes effect from the date of signing. The Board of Directors, the Board of Management and relevant departments/divisions are responsible for implementing this Resolution.

Recipients:

- *Shareholders, Company's Website;*
- *Members of the BOD, BOS;*
- *BOM*
- *Archive: Admin*

ON BEHALF OF THE
GENERAL MEETING OF SHAREHOLDERS
CHAIRWOMAN OF THE BOARD OF DIRECTORS

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