

CÔNG BỐ THÔNG TIN BẤT THƯỜNG
EXTRAORDINARY INFORMATION DISCLOSURE

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

- Tên tổ chức: **Công ty Cổ phần Chứng khoán TP. Hồ Chí Minh**
Name of organization: Ho Chi Minh City Securities Corporation
- Mã chứng khoán: **HCM**
Securities code: HCM
- Địa chỉ liên lạc: Tầng 2, 3, 5, 6, 7, 11 và 12 Tòa nhà AB, 76A Lê Lai, P. Bến Thành, TP.HCM
Address: Level 2, 3, 5, 6, 7, 11 & 12, AB Tower, 76A Le Lai Str., Ben Thanh Ward, HCM City
- Điện thoại: (+84 8) 3823 3299
Telephone: (+84 8) 3823 3299
- Email: cbtt@hsc.com.vn
Email: cbtt@hsc.com.vn.
Fax: (+84 8) 3823 3301
Fax: (+84 8) 3823 3301
Website: hsc.com.vn
Website: hsc.com.vn
- Nội dung thông tin công bố: **Báo cáo kết quả phát hành cổ phiếu theo Chương trình lựa chọn cho người lao động trong Công ty (ESOP 2026).**
Contents of disclosure: Report on share issuance under the Employee Stock Ownership Plan (ESOP 2026).
- Thông tin này đã được công bố trên trang thông tin điện tử của công ty vào ngày 17/09/2026 tại đường dẫn
<https://www.hsc.com.vn/vi/cong-bo-thong-tin>
This information was published on the company's website on 17 September 2026 as in the link
<https://www.hsc.com.vn/en/information-disclosure>

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; we bear the full responsible to the law.

ĐẠI DIỆN TỔ CHỨC
ORGANIZATION REPRESENTATIVE
Người được ủy quyền công bố thông tin
Person authorized to disclose information



Lê Anh Quân
Giám đốc Điều hành Truyền thông
Chief Communications Officer

BÁO CÁO KẾT QUẢ ĐỢT PHÁT HÀNH CỔ PHIẾU THEO CHƯƠNG TRÌNH
LỰA CHỌN CHO NGƯỜI LAO ĐỘNG TRONG CÔNG TY
REPORT ON THE RESULT OF THE SHARE ISSUANCE
UNDER EMPLOYEE STOCK OWNERSHIP PLAN

Kính gửi/To: - Ủy ban Chứng khoán Nhà Nước
The State Securities Commission
- Sở Giao dịch Chứng khoán Thành phố Hồ Chí Minh
Hochiminh Stock Exchange
- Tổng Công ty Lưu ký và Bù trừ Chứng khoán Việt Nam
Viet Nam Securities Depository and Clearing Corporation



I. Giới thiệu về Tổ chức phát hành
Information of the Issuer

- | | |
|---|--|
| 1. Tên Tổ chức phát hành
<i>Name of the Issuer</i> | : CÔNG TY CỔ PHẦN CHỨNG KHOÁN THÀNH PHỐ HỒ CHÍ MINH
<i>Ho Chi Minh City Securities Corporation</i> |
| 2. Tên viết tắt/ <i>Abbreviation</i> | : HSC |
| 3. Địa chỉ trụ sở chính
<i>Head Office address</i> | : Tầng 2, 3, 5, 6, 7, 11 và 12 Tòa nhà AB, 76A Lê Lai,
Phường Bến Thành, Thành phố Hồ Chí Minh
<i>Level 2, 3, 5, 6, 7, 11 & 12 AB Tower, 76A Le Lai Str.,
Ben Thanh Ward, Ho Chi Minh City</i> |
| 4. Số điện thoại/ <i>Phone</i>
Số fax/ <i>Fax</i>
Website | : (+84 28) 3823 3299
: (+84 28) 3823 3301
: www.hsc.com.vn |
| 5. Vốn điều lệ/ <i>Capital charter</i> | : 10.807.970.890.000 đồng
<i>VND 10,807,970,890,000</i> |
| 6. Mã cổ phiếu/ <i>Securities code</i> | : HCM |
| 7. Nơi mở tài khoản thanh toán
<i>Account bank name</i> | : Ngân hàng TMCP Đầu tư và Phát triển Việt Nam – chi
nhánh Nam Kỳ Khởi Nghĩa
<i>BIDV – Nam Ky Khoi Nghia Branch</i> |
| Số hiệu tài khoản/ <i>Bank account</i>
<i>No.</i> | : 1190051808 |

8. Giấy chứng nhận đăng ký doanh nghiệp : Mã số doanh nghiệp 0302910950 do Sở Kế hoạch và Đầu tư Thành phố Hồ Chí Minh cấp lần đầu ngày 29/4/2003, do Sở Tài chính Thành phố Hồ Chí Minh cấp thay đổi lần thứ 10 ngày 01/12/2025.
Enterprise Registration Certificate *No. 0302910950 issued by the Ho Chi Minh City Department of Planning and Investment on April 29th, 2003, and amended for the 10th time by the Ho Chi Minh City Department of Finance on December 1st, 2025.*
- Ngành nghề kinh doanh chính : Môi giới hợp đồng hàng hóa và chứng khoán.
Main business activities *Products contracts and securities brokerage.*
 - Mã ngành/Code : 6612
 - Sản phẩm/dịch vụ chính : Môi giới chứng khoán, Tự doanh chứng khoán, Bảo lãnh phát hành chứng khoán, Tư vấn đầu tư chứng khoán.
Main product/services *Securities brokerage services, Proprietary investments, underwriting for share issuance, Corporate finance advisory services.*
9. Giấy phép thành lập và hoạt động : số 11/GPHĐKD do Ủy ban Chứng khoán Nhà nước cấp ngày 29/4/2003, được điều chỉnh lần gần nhất theo Giấy phép điều chỉnh số 119/GPĐC-UBCK ngày 30/10/2025.
Business License *No. 11/GPHĐKD dated April 29th, 2003 and Amended License No. 119/GPĐC-UBCK dated October 30th, 2025, issued by the State Securities Commission of Vietnam.*

II. Phương án phát hành

Share issuance plan

1. Tên cổ phiếu: Cổ phiếu Công ty Cổ phần Chứng khoán Thành phố Hồ Chí Minh
Name of share: Share of Ho Chi Minh City Securities Corporation
2. Loại cổ phiếu: Cổ phiếu phổ thông
Type of share: Ordinary share
3. Số lượng cổ phiếu trước thời điểm phát hành:
Number of shares before the time of issuance:
 - Tổng số cổ phiếu đã phát hành: 1.080.797.089 cổ phiếu
Total number of shares in issue: 1,080,797,089 shares
 - Số lượng cổ phiếu đang lưu hành: 1.079.956.671 cổ phiếu
Total number of outstanding shares: 1,079,956,671 shares
 - Số lượng cổ phiếu quỹ: 840.418 cổ phiếu
Total number of treasury shares: 840,418 shares

4. Số lượng cổ phiếu dự kiến phát hành: 22.000.000 cổ phiếu, tương ứng 2,04% tổng số lượng cổ phiếu đang lưu hành.

The estimated number of shares to be issued: 22,000,000 shares, equivalent to 2.04% of the total number of outstanding shares.

5. Thời gian hạn chế chuyển nhượng: Cổ phiếu phát hành cho Người tham gia¹ sẽ bị hạn chế chuyển nhượng trong thời hạn 12 tháng kể từ ngày kết thúc đợt phát hành, trừ trường hợp cổ phiếu ESOP được mua lại theo Quy chế phát hành cổ phiếu theo Chương trình lựa chọn cho người lao động trong Công ty (Quy chế Chương trình ESOP 2026). Theo Quy chế Chương trình ESOP 2026 (Điều 5.2), thời gian hạn chế chuyển nhượng và thời điểm giải tỏa để cổ phiếu ESOP được tự do chuyển nhượng được quy định cụ thể như sau:

Transfer restriction period: Shares issued to Participants shall not be transferred within 12 months from the completion date of the issuance, except where ESOP shares are repurchased in accordance with the Regulations on share issuance under the Employee Stock Ownership Plan 2026 of the Company (ESOP 2026 Regulations). Pursuant to the ESOP 2026 Regulations (Article 5.2), the transfer restriction period and the release schedule for ESOP shares to become freely transferable are specified as follows:

Thời điểm được phép chuyển nhượng <i>Permitted transfer timeline</i>	Tỷ lệ có thể chuyển nhượng (giải tỏa) tối đa/ Maximum transferable (released) ratio
Sau 12 tháng kể từ ngày kết thúc đợt phát hành <i>After 12 months from the completion date of the issuance</i>	40%
Sau 24 tháng kể từ ngày kết thúc đợt phát hành <i>After 24 months from the completion date of the issuance</i>	Thêm 30% <i>An additional 30%</i>
Sau 36 tháng kể từ ngày kết thúc đợt phát hành <i>After 36 months from the completion date of the issuance</i>	Thêm 30% còn lại <i>The remaining 30%</i>

6. Giá phát hành: 10.000 đồng/cổ phiếu.
Issuance price: VND 10,000 per share
7. Nguồn vốn: Không áp dụng
Source of capital: Not applicable
8. Ngày kết thúc đợt phát hành: 15/09/2026
Ending date of issuance: September 15, 2026
9. Ngày dự kiến chuyển giao cổ phiếu: trong tháng 9 hoặc tháng 10 năm 2026
Expected date for transferring shares: in September or October 2026.

¹ Người tham gia: Theo Mục 1.3 Quy chế Chương trình ESOP 2026, Người tham gia Chương trình ESOP 2026, bao gồm thành viên Hội đồng Quản trị, Tổng Giám đốc và các nhân sự chủ chốt đang làm việc tại Công ty đáp ứng tiêu chuẩn và được lựa chọn.

Participants: According to Section 1.3, Participants in the ESOP 2026 Program include members of the Board of Directors, the Chief Executive Officer (CEO), and key personnel currently working at the Company who meet the criteria and are selected.

III. Kết quả phát hành cổ phiếu

The result of the share issuance

1. Số cổ phiếu đã phân phối: 22.000.000 cổ phiếu, tương ứng 100% tổng số cổ phiếu dự kiến phát hành.

Total number of shares to be distributed: 20,000,000 shares, equivalent to 100% of the estimated number of shares to be issued.

2. Số người lao động được phân phối: 110 người

The number of employees to be distributed: 110 Participants

3. Tổng số cổ phiếu sau đợt phát hành (ngày 15/09/2026): 1.102.797.089 cổ phiếu, trong đó:

The number of shares after issuance (on September 15, 2026): 1,102,797,089 shares, in which:

- Số lượng cổ phiếu đang lưu hành: 1.101.956.671 cổ phiếu;

Total number of outstanding shares: 1,101,956,671 shares

- Số lượng cổ phiếu quỹ: 840.418 cổ phiếu.

Total number of treasury shares: 840,418 shares

IV. Tài liệu gửi kèm

Attached files

1. Nghị quyết Hội đồng quản trị số 34/2026/NQ-HĐQT ngày 17/09/2026 thông qua kết quả phát hành cổ phiếu theo chương trình lựa chọn cho người lao động trong công ty (đính kèm Danh sách người lao động tham gia chương trình ESOP 2026, trong đó nêu cụ thể số lượng cổ phiếu của từng người lao động đã nộp tiền mua).

Resolution of the Board of Directors No. 34/2026/NQ-HĐQT dated September 17, 2026 on the approval of the result of the share issuance under employee stock ownership plan (attached to the List of employees participating in the ESOP 2026 program, which specifies the number of shares of each employee who has paid for the purchase).

2. Văn bản xác nhận của ngân hàng nơi mở tài khoản phong tỏa về số tiền thu được từ đợt phát hành.

Confirmation letter of the bank where opening the escrow account on the obtained amount from the issuance.

**CÔNG TY CỔ PHẦN CHỨNG KHOÁN
THÀNH PHỐ HỒ CHÍ MINH
HO CHI MINH CITY SECURITIES CORPORATION
ĐẠI DIỆN THEO PHÁP LUẬT**



**TRỊNH HOÀI GIANG
TỔNG GIÁM ĐỐC
CHIEF EXECUTIVE OFFICER**

RESOLUTION
BOARD OF DIRECTORS
HO CHI MINH CITY SECURITIES CORPORATION

In accordance with License for Establishment and Operation No. 11/GPHĐKD dated 29 April 2003 and Amendment License No. 119/GPĐC-UBCK dated 30 October 2025 issued by the State Securities Commission of Vietnam;

In accordance with HSC's Corporate Charter dated 23 April 2026 approved at the AGM Resolution No. 01/2026/NQ-ĐHĐCĐ of Ho Chi Minh City Securities Corporation,

In accordance with Resolution No. 01/2026/NQ-ĐHĐCĐ dated 23 April 2026 issued by the Annual General Meeting of Shareholders 2026 of Ho Chi Minh City Securities Corporation;

In accordance with Resolution No. 26/2026/NQ-HĐQT dated 22 July 2026 of the Board of Directors of Ho Chi Minh City Securities Corporation;

In accordance with Resolution No. 27/2026/NQ-HĐQT dated 22 July 2026 of the Board of Directors of Ho Chi Minh City Securities Corporation;

In accordance with Official Letter No. 7857/UBCK-QLKD dated 14 August 2026 issued by the State Securities Commission of Vietnam on receiving the dossier of the report on share issuance under the 2026 ESOP of Ho Chi Minh City Securities Corporation;

In accordance with Notice No. 283/2026/CV-HSC dated 17 August 2026 issued by Ho Chi Minh City Securities Corporation on the 2026 ESOP share issuance;

In accordance with Official Letters from Asia Commercial Joint Stock Bank – Ho Chi Minh City Branch: Confirmation of opening and blocking escrow account of HSC dated 22 June 2026 and Official Letter dated 16 September 2026 on conformation of balance in the escrow account, account number 50129387, at the end of 15 September 2026;

In accordance with the Board Meeting Minutes No. 34/2026/BB-HĐQT dated 17 September 2026 of the Board of Directors of Ho Chi Minh City Securities Corporation,

BOARD OF DIRECTORS
HO CHI MINH CITY SECURITIES CORPORATION
HEREBY RESOLVED

ARTICLE 1

The Board of Directors approved the results of share issuance under the Employee Stock Ownership Plan ("2026 ESOP") according to the Resolution No. 01/2026/NQ-ĐHĐCĐ approved by the Annual General Meeting of Shareholders 2026 dated 23 April 2026. Details are as follows:

- | | |
|----------------------------------|--|
| 1. Name of share | : Share of Ho Chi Minh City Securities Corporation |
| 2. Ticker | : HCM |
| 3. Type of shares | : Ordinary shares |
| 4. Issuance price | : VND 10,000 (Ten thousand Dong)/share |
| 5. Number of issuance shares | |
| 5.1 Number of offering shares | : 22,000,000 shares |
| 5.2 Number of distributed shares | : 22,000,000 shares , accounting for 100% of the total number of registered offering shares |



- 5.3 Total number of shares after completing the ESOP 2026 : **1,102,797,089 shares**
- In which:
- Total number of shares issued : 1,080,797,089 shares
(including 840,418 treasury shares)
 - Number of ESOP 2026 shares issued : 22,000,000 shares
6. Number of participants allocated shares : 110 participants
(Appendix attached)
7. Closing date : **On 15 September 2026**
8. Total charter capital after completing the ESOP 2026 : **VND 11,027,970,890,000**

ARTICLE 2

The Board of Directors approved the actual proceeds from the share issuance under the 2026 ESOP.

No.	Content	Value (VND)
1.	Total proceeds from the share issuance	220,000,000,000
2.	Total expenses (VAT included) Of which:	59,400,000
	• <i>Audit fee</i>	<i>59,400,000</i>
3.	Total net proceeds from the share issuance (3) = (1) – (2)	219,940,600,000

ARTICLE 3

The Board of Directors approved the allocation of the actual proceeds of VND 219,940,600,000 (after deduction of expenses incurred in connection with the issuance) from the share issuance under the ESOP 2026 to supplement capital for margin lending activities, in accordance with the plan for the use of proceeds from the issuance approved by the 2026 Annual General Meeting of Shareholders under Resolution No. 01/2026/NQ-ĐHĐCĐ dated 23 April 2026.

The above amount shall be utilized after the State Securities Commission notifies its receipt of the report on results of the share issuance under the ESOP 2026.

ARTICLE 4

The Board of Directors approved the registration for adjustment of the License for Establishment and Operation with the State Securities Commission of Vietnam and the registration for amendment of the Enterprise Registration Certificate with the Department of Finance of Ho Chi Minh City, in accordance with the charter capital after the adjustment as specified in Article 5 of this Resolution.

ARTICLE 5

The Board of Directors approved the update of the charter capital and the number of shares set out in the Appendix to the Company's Charter following the completion of the issuance of shares under the ESOP 2026 according to the Resolution No. 01/2026/NQ-ĐHĐCĐ approved by the Annual General Meeting of Shareholders 2026 dated 23 April 2026. Details are as follows.

- **Contents of the Appendix to the Charter before the amendment**

No.	Year	Charter capital (VND)	Number of shares (ordinary shares)	Note
...	...	...	...	
14.	30/10/2025	10,807,970,890,000	1,080,797,089	

- **Contents of the Appendix to the Charter after the amendment**

No.	Year	Charter capital (VND)	Number of shares (ordinary shares)	Note
...	...	...	...	...
14.	30/10/2025	10,807,970,890,000	1,080,797,089	
15.	.../09/2026	11,027,970,890,000	1,102,797,089	Updated in accordance with the number of the amended License issued by the State Securities Commission of Vietnam.

All other provisions of the Company's Charter shall remain unchanged.

ARTICLE 6

The Board of Directors authorized the Chairman of the Board of Directors and/or the Chief Executive Officer to carry out all necessary procedures in connection with the update of the Company's new charter capital, including but not limited to signing and promulgating the Company's Charter reflecting the new charter capital, signing applications, documents and dossiers for the amendment of the License for Establishment and Operation with the State Securities Commission of Vietnam and the Enterprise Registration Certificate with the Department of Finance of Ho Chi Minh City, and carrying out other procedures (if any) in accordance with applicable laws and regulations.

ARTICLE 7

This Resolution takes effect from the signature date.

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



JOHAN NYVENE

To:

- + BOD members,
- + BOM members,
- + BOD Office for archiving,

APPENDIX
THE LIST OF EMPLOYEES TO PARTICIPATE IN THE 2026 ESOP

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
01	000036	Nyvene Johan ¹ (Nguyen Quoc Huan)	Chairman		Vietnam	430,000	10,000	4,300,000,000
02		Andrew Collin Vallis	Member of BoD		British	430,000	10,000	4,300,000,000
03		Nguyễn Thị Hoàng Lan	Member of BoD		Vietnam	430,000	10,000	4,300,000,000
04	000031	Trịnh Hoài Giang	Chief Executive Officer		Vietnam	2,500,000	10,000	25,000,000,000
05	000004	Thân Thị Thu Dung	Corporate Governance Officer		Vietnam	200,000	10,000	2,000,000,000
06	000043	Phạm Lê Thu Minh	Director, Head of Internal Audit		Vietnam	200,000	10,000	2,000,000,000
07	000072	Trần Tấn Đạt	Managing Director, Head of Institutional Client Division		Vietnam	800,00	10,000	8,000,000,000
08	001270	Võ Trịnh Xuân Mai	Senior Director, Head of Institutional Sales		Vietnam	240,000	10,000	2,400,000,000

¹ Mr. Johan Nyvene – Chairman – has two nationalities (1) USA nationality named Johan Nyvene and (2) Vietnamese nationality named Nguyen Quoc Huan.

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
09	001914	Lê Đỗ Quyên	Director, Head of Institutional Trading		Vietnam	160,000	10,000	1,600,000,000
10	000007	Tạ Hạnh Quyên	Institutional Trading Director		Vietnam	120,000	10,000	1,200,000,000
11	002915	Huỳnh Thị Thanh Thảo	Corporate Access Manager		Vietnam	70,000	10,000	700,000,000
12	000137	Võ Thị Ngọc Hân	Senior Institutional Sales Director		Vietnam	220,000	10,000	2,200,000,000
13	001818	Vũ Anh Quân	Senior Institutional Sales Manager		Vietnam	90,000	10,000	900,000,000
14	003068	Vũ Nhứt Vương	Senior Institutional Sales Executive		Vietnam	60,000	10,000	600,000,000
15	003121	Hồ Nhật Nam	Institutional Trading Supervisor		Vietnam	60,000	10,000	600,000,000
16	003278	Peter Redhead	Managing Director, Head of Research Division		British	800,000	10,000	8,000,000,000
17	002991	Phạm Vũ Thăng Long	Senior Research Director, Head of Macroeconomics		Vietnam	400,000	10,000	4,000,000,000
18	003378	Nguyễn Mạnh Dũng	Chief Market Strategist		Vietnam	280,000	10,000	2,800,000,000
19	001906	Phạm Liên Hà	Senior Research Director, Head of Financial Services Sector		Vietnam	280,000	10,000	2,800,000,000

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
20	002969	Chế Thị Mai Trang	Research Director, Head of Industrial & Technology Sector		Vietnam	130,000	10,000	1,300,000,000
21	000093	Trần Hương Mỹ	Research Director, Head of Consumer Goods Sector		Vietnam	130,000	10,000	1,300,000,000
22	002500	Hồ Thị Kiều Trang	Research Director, Head of Property Sector		Vietnam	130,000	10,000	1,300,000,000
23	003367	Nguyễn Hoàng Nam	Research Director, Head of Energy & Utilities Sector		Vietnam	130,000	10,000	1,300,000,000
24	002515	Trương Hồng Kim	Research Manager, Consumer Goods Sector		Vietnam	60,000	10,000	600,000,000
25	003062	Trần Thị Thu Nga	Senior Research Analyst, Industrial & Technology Sector		Vietnam	60,000	10,000	600,000,000
26	000099	Võ Thị Nhật Minh	ETF Research Manager		Vietnam	60,000	10,000	600,000,000
27	003349	Nguyễn Thanh Tùng	Senior Research Analyst, Financial Sector		Vietnam	60,000	10,000	600,000,000
28	001757	Phạm Ngọc Bích	Managing Director, Head of Corporate Finance Division		Canada	800,000	10,000	8,000,000,000
29	000076	Trần Thị Thành	Senior Director, Head of Legal & Regulatory Process		Vietnam	220,000	10,000	2,200,000,000
30	003116	Lê Thị Kim Anh	Corporate Finance Director		Vietnam	130,000	10,000	1,300,000,000

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
31	000016	Nguyễn Thị Cát Trinh	Corporate Finance Director		Vietnam	130,000	10,000	1,300,000,000
32	003244	Trần Minh Tuấn	Corporate Finance Manager		Vietnam	80,000	10,000	800,000,000
33	001262	Đỗ Hoàng Ngọc Phượng	Senior Legal & Regulatory Process Executive		Vietnam	70,000	10,000	700,000,000
34	003189	Nguyễn Trí Cường	Senior Corporate Finance Analyst		Vietnam	60,000	10,000	600,000,000
35	003059	Nguyễn Thị Minh Trang	Senior Legal & Regulatory Process Executive		Vietnam	50,000	10,000	500,000,000
36	003460	Dư Anh Tuấn	Senior Corporate Finance Analyst		Vietnam	50,000	10,000	500,000,000
37	000445	Nguyễn Tấn Thắng	Senior Director, Head of Treasury & Fixed Income Investment		Vietnam	230,000	10,000	2,300,000,000
38	000094	Nguyễn Thị Thúy Hằng	Treasury & Fixed Income Investment Director		Vietnam	120,000	10,000	1,200,000,000
39	003439	Hồ Lũy Muối	Liquidity Management Manager		Vietnam	90,000	10,000	900,000,000
40	003442	Nguyễn Thị Hồng Cẩm	Bond Director		Vietnam	120,000	10,000	1,200,000,000
41	000034	Nguyễn Thị Tâm Hạnh	Senior Director, Head of Margin Lending Risk Management		Vietnam	230,000	10,000	2,300,000,000

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
42	003359	Hoàng Thị Hải	Margin Lending Risk Management Director		Vietnam	120,000	10,000	1,200,000,000
43	002052	Phạm Minh Hoàng	Margin Lending Risk Management Director		Vietnam	120,000	10,000	1,200,000,000
44	000108	Trần Thị Mỹ Linh	Managing Director, Head of Trading		Vietnam	300,000	10,000	3,000,000,000
45	002205	Mai Quý Sang	Senior Structured Products & Quantitative Trading Manager		Vietnam	100,000	10,000	1,000,000,000
46	002392	Loc Nguyen	Senior Risk Manager		USA	70,000	10,000	700,000,000
47	003111	Bùi Mạnh Khang	Senior ETF Trader		Vietnam	80,000	10,000	800,000,000
48	000008	Nguyễn Cảnh Thịnh	Managing Director, Head of Retails Client Division		Vietnam	800,000	10,000	8,000,000,000
49	000044	Trần Thị Kim Oanh	Wealth Director		Vietnam	135,000	10,000	1,350,000,000
50	000591	Nguyễn Vương Quế Phương	Wealth Director		Vietnam	135,000	10,000	1,350,000,000
51	000063	Luân Thị Xuân Đào	Wealth Director		Vietnam	105,000	10,000	1,050,000,000
52	001038	Nguyễn Thành Nhân	Wealth Director		Vietnam	105,000	10,000	1,050,000,000

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
53	000283	Trần Văn Phước	Wealth Director		Vietnam	135,000	10,000	1,350,000,000
54	001386	Huỳnh Tấn Thuế	Wealth Director		Vietnam	80,000	10,000	800,000,000
55	000051	Trần Quốc Cường	Wealth Director		Vietnam	135,000	10,000	1,350,000,000
56	000136	Trần Khánh	Wealth Director		Vietnam	105,000	10,000	1,050,000,000
57	000179	Hồ Đức Thắng	Wealth Director		Vietnam	80,000	10,000	800,000,000
58	003181	Đồng Duy Lâm	Wealth Director		Vietnam	105,000	10,000	1,050,000,000
59	001853	Vũ Thị Thu Thủy	Director, Head of Market Information & Advisory		Vietnam	135,000	10,000	1,350,000,000
60	002823	Phạm Đặng Huỳnh Châu	Senior Manager, Head of Sales		Vietnam	85,000	10,000	850,000,000
61	001260	Quách Minh Trí	Senior Manager, Head of Investor Relation Services		Vietnam	85,000	10,000	850,000,000
62	000314	Nguyễn Hoàng Phương	Senior Manager, Head of Sales Training & Business Development		Vietnam	85,000	10,000	850,000,000
63	003020	Phạm Thị Tú	Manager, Head of Marketing		Vietnam	85,000	10,000	850,000,000

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
64	001289	Phạm Thị Lan Dung	Senior Wealth Manager		Vietnam	100,000	10,000	1,000,000,000
65	002849	Nguyễn Thị Quế Trân	Wealth Manager		Vietnam	95,000	10,000	950,000,000
66	000277	Nguyễn Thị Hường	Senior Wealth Manager		Vietnam	95,000	10,000	950,000,000
67	001181	Nguyễn Duy Phương	Senior Wealth Manager		Vietnam	95,000	10,000	950,000,000
68	003071	Lê Nguyên Bình	Managing Director, Chief Operations Officer		Vietnam	700,000	10,000	7,000,000,000
69	000050	Nguyễn Mỹ Hương	Director, Head of Middle Office		Vietnam	140,000	10,000	1,400,000,000
70	000075	Phạm Thành Văn	Director, Head of Back Office		Vietnam	140,000	10,000	1,400,000,000
71	000015	Cao Hoàng Anh	Director, Head of Transaction Management		Vietnam	140,000	10,000	1,400,000,000
72	000005	Hoàng Hà	Director, Head of Margining Management		Vietnam	140,000	10,000	1,400,000,000
73	003225	Cao Phương Trâm	Director, Head of Data		Vietnam	170,000	10,000	1,700,000,000
74	000022	Đoàn Chí Trung	Director, Head of IT		Vietnam	200,000	10,000	2,000,000,000

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
75	003100	Nguyễn Thanh Phong	Digital Transformation Project Director		Vietnam	400,000	10,000	4,000,000,000
76	003473	Phạm Việt Long	Director, Head of Customer Experience		Vietnam	60,000	10,000	600,000,000
77	003261	Tạ Quốc Hưng	Product Development Director		Vietnam	200,000	10,000	2,000,000,000
78	003319	Hà Trọng Hiếu	Technical Lead		Vietnam	80,000	10,000	800,000,000
79	000055	Phạm Thị Linh Chi	MO Director Ha Noi Branch		Vietnam	120,000	10,000	1,200,000,000
80	000059	Vương Anh Việt	IT Services Director		Vietnam	120,000	10,000	1,200,000,000
81	000074	Hà Vũ Kiều Phong	Senior Infrastructure Manager		Vietnam	80,000	10,000	800,000,000
82	003268	Lương Minh Phú	Infrastructure Manager		Vietnam	60,000	10,000	600,000,000
83	003210	Đặng Hoàng Huy	Data Engineering Manager		Vietnam	60,000	10,000	600,000,000
84	000060	Nguyễn Thế Thắng	Senior Fullstack Developer		Vietnam	60,000	10,000	600,000,000
85	003160	Hoàng Vĩnh Bình	Senior Quality Control Executive		Vietnam	60,000	10,000	600,000,000

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
86	003461	Nguyễn Xuân Huấn	Senior Fullstack Developer		Vietnam	60,000	10,000	600,000,000
87	001910	Nguyễn Ngọc Minh Trâm	Business Analysis Manager		Vietnam	70,000	10,000	700,000,000
88	000652	Phạm Trung Kiên	Senior Back Office Manager		Vietnam	60,000	10,000	600,000,000
89	003127	Tổng Công Cường	Managing Director, Chief Risk Officer		Vietnam	700,000	10,000	7,000,000,000
90	000632	Bùi Thị Ngọc Thảo	Director, Head of Internal Control & Compliance		Vietnam	120,000	10,000	1,200,000,000
91	002786	Nguyễn Thị Xuân Dung	Senior Manager, Head of Legal		Vietnam	75,000	10,000	750,000,000
92	000666	Nguyễn Thị Mỹ Linh	Manager, Head of Risk Management		Vietnam	75,000	10,000	750,000,000
93	003015	Hà Triều Uyên	Senior Internal Control & Compliance Executive		Vietnam	50,000	10,000	500,000,000
94	000046	Lâm Hữu Hồ	Managing Director, Chief Financial Officer		Vietnam	700,000	10,000	7,000,000,000
95	000097	Phạm Ngọc Quang	Director, Head of Management Accounting		Vietnam	120,000	10,000	1,200,000,000
96	000067	Hồ Thị Thu Thảo	Director, Head of Financial Accounting		Vietnam	120,000	10,000	1,200,000,000

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
97	000084	Trần Thị Ngân	Senior Financial Accounting Manager		Vietnam	80,000	10,000	800,000,000
98	000013	Lê Thị Thùy Dương	Internal Accounting Manager		Vietnam	60,000	10,000	600,000,000
99	000239	Vũ Thị Thúy Vân	Cash Management Manager		Vietnam	60,000	10,000	600,000,000
100	003313	Lại Phan Khánh Trình	Financial Planning & Analysis Manager		Vietnam	60,000	10,000	600,000,000
101	003026	Nguyễn Linh Lan	Managing Director, Chief Human Resources Officer		Vietnam	700,000	10,000	7,000,000,000
102	002993	Nguyễn Thị Chánh Kim	Senior Director, Head of HR CoE		Vietnam	200,000	10,000	2,000,000,000
103	003125	Cao Thanh Trúc	Manager, Head of HR Services		Vietnam	70,000	10,000	700,000,000
104	003328	Nguyễn Kim Thúy Hà	Senior Office Manager		Vietnam	80,000	10,000	800,000,000
105	000049	Nguyễn Bích Hạnh	Senior Office Manager		Vietnam	80,000	10,000	800,000,000
106	003175	Trần Nguyễn Diễm Phương	Learning & Development Manager		Vietnam	50,000	10,000	500,000,000
107	002353	Lê Anh Quân	Managing Director, Chief Communications Officer		Vietnam	700,000	10,000	7,000,000,000

No.	Employee ID	Name	Title	ID card/ Passport	Nationality	Number of shares	Issuance price	Total amount paid by participants
108	000195	Truong Ngọc Quỳnh Tiên	Director, Head of Investor Relation		Vietnam	130,000	10,000	1,300,000,000
109	003174	Nguyễn Thị Bích Nga	Director, Head of Communications		Vietnam	120,000	10,000	1,200,000,000
110	002919	Bùi Huyền My	Senior Communications Executive		Vietnam	50,000	10,000	500,000,000
		Total				22,000,000		220,000,000,000

