Code	
Company name	HOSE
Date	10/30/2026
Subject	Measures of administrative penalties against individuals imposed by SSC

The Hochiminh Stock Exchange (HOSE) received the following two official decisions from the State Securities Commission (SSC):

- **Decision No. 656/QĐ-UBCK** dated October 28, 2026
- **Decision No. 657/QĐ-UBCK** dated October 28, 2026.

Purpose of the decisions: To implement preventive and deterrent measures violations of securities law and regulations on the stock market.

According to **Decision No. 656/QĐ-UBCK** dated October 28, 2026 regaridng the implementation of the preventive and deterrent measures violations of securities law and regulations on the stock market. Accordingly, the administrative sanctions against the following 3 individuals:

1. Thang Phu Minh
2. Lam Thuy Hang
3. Duong Thai Phuong Thao

Measure applied and the duration of application for the following 3 individuals:

- Probihition from securities trading for a period of 2 years, effective from November 2, 2026, pursuant to Point đ, Clause 3 and Clause 5, Article 306 of Decree No. 155/2020/ND-CP to Mr. Thang Phu Minh, Mrs. Lam Thuy Hang and Mrs. Duong Thai Phuong Thao.
- Prohibition from holding positions at securities companies, branches of securities companies, fund management companies, branches of foreign fund management companies in Vietnam, and securities investment companies for a period of 2 years, effective from November 2, 2026, pursuant to Clause 2 and Clause 5, Article 306 of

Decree No. 155/2020/ND-CP to Mr. Thang Phu Minh, Mrs. Lam Thuy Hang and Mrs. Duong Thai Phuong Thao.

According to **Decision No. 657/QĐ-UBCK** dated October 28, 2026 regarding the implementation of the preventive and deterrent measures violations of securities law and regulations on the stock market. Accordingly, the administrative sanctions against the following 17 individuals:

1. Le Ngoc Hai
2. Le Thi My Vinh
3. Le Van Quang
4. Nguyen Minh Hieu
5. Nguyen Thi Hai Anh
6. Nguyen Thi Thao Suong
7. Nguyen Thi Thu Trang
8. Nguyen Thi Thuy Nhung
9. Nguyen Van Cuong
10. Quach Vu Hung
11. Tran Boi Tai
12. Tran Hoang Nam
13. Tran Thi Thu Oanh
14. Tran Vo Quang Sang
15. Trinh Hieu Tu
16. Vo Thanh Tam
17. Vuong Kim Vy

Measure applied and the duration of application for the following 17 individuals:

- Probihition from securities trading for a period of 2 years, effective from November 2, 2026, pursuant to Point đ, Clause 3 and Clause 5, Article 306 of Decree No. 155/2020/ND-CP to 17 individuals.

- Prohibition from holding positions at securities companies, branches of securities companies, fund management companies, branches of foreign fund management companies in Vietnam, and securities investment companies for a period of 2 years, effective from November 2, 2026, pursuant to Clause 2 and Clause 5, Article 306 of Decree No. 155/2020/ND-CP to 17 individuals.

These decisions shall take effect from November 2, 2026.