Code	
Company name	HOSE
Date	11/12/2026
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. 674/QĐ-UBCK** dated November 5, 2026
- **Decision No. 675/QĐ-UBCK** dated November 5, 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. 674/QĐ-UBCK** dated November 5, 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 Mr. Le Viet Cuong:

Measure applied and the duration of application for Mr. Le Viet Cuong:

- Probihition from securities trading for a period of 2 years, effective from November 10, 2026, pursuant to Point đ, Clause 3 and Clause 5, Article 306 of Decree No. 155/2020/ND-CP to Mr. Le Viet Cuong.
- 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 10, 2026, pursuant to Clause 2 and Clause 5, Article 306 of Decree No. 155/2020/ND-CP to Mr. Le Viet Cuong.

According to **Decision No. 675/QĐ-UBCK** dated November 5, 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 4 individuals:

1. Le Mong Thai Thuong
2. Le Mong Truc Quynh
3. Truong Kim Duyen
4. Nguyen Susan Ha.

Measure applied and the duration of application for the following 4 individuals:

- Probihition from securities trading for a period of 2 years, effective from November 10, 2026, pursuant to Point đ, Clause 3 and Clause 5, Article 306 of Decree No. 155/2020/ND-CP to 4 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 10, 2026, pursuant to Clause 2 and Clause 5, Article 306 of Decree No. 155/2020/ND-CP to 4 individuals.

These decisions shall take effect from November 10, 2026.