

INCOMING DOCUMENTS  
No: 35 – Dated: March 17, 2026

TRANSLATION FOR REFERENCE ONLY

**MINISTRY OF FINANCE  
STATES SECURITIES COMMISSION**

**SOCIALIST REPUBLIC OF VIETNAM**  
**Independence – Freedom – Happiness**

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*Hanoi, March 16th 2026*

No: 150/QĐ-UBCK  
*v/v Registration documents for the  
private placement offering of SBS Securities JSC.*



**DECISION**

**Regarding the amendment of the Decision approving the establishment of a branch of a securities company**

**CHAIRMAN OF THE STATE SECURITIES COMMISSION**

*Based on the Securities Law No. 54/2019/QH14, as amended and supplemented by Law No. 56/2024/QH15;*

*Based on Government Decree No. 155/2020/ND-CP dated December 31, 2020, detailing the implementation of a number of articles of the Securities Law, as amended and supplemented by Government Decree No. 245/2025/ND-CP dated September 11, 2025;*

*Based on Decision No. 686/QĐ-BTC dated February 28, 2025, of the Minister of Finance, which stipulates the functions, tasks, powers, and organizational structure of the State Securities Commission;*

*Based on Establishment and Operation License No. 109/UBCK-GPHDKD dated January 28, 2010, issued by the Chairman of the State Securities Commission to Saigon Thuong Tin Bank Securities Joint Stock Company (now SBS Securities Joint Stock Company);*

*Based on Decision No. 159/QĐ-UBCK dated March 14, 2023, approving the establishment of a branch of a securities company, the Chairman of the State Securities Commission approves the establishment of SBS Securities Joint Stock Company - Saigon Branch;*

*Based on the application for change of location and the Director of the Saigon Branch of SBS Securities Joint Stock Company;*

*As requested by the Head of the Securities Business Management Department.*



**DECISION:**

**Article 1.** The Decision approving the establishment of a branch of a securities company No. 159/QĐ-UBCK dated March 14, 2023, issued by the Chairman of the State Securities Commission, for the establishment of SBS Securities Joint Stock Company - Saigon Branch, is amended as follows:

Branch location: Cadivi Tower, 5th floor, 70-72 Nam Ky Khoi Nghia Street, Saigon Ward, Ho Chi Minh City.

Branch Director:

+ Full name: Nguyen Van Thanh

+ Nationality: Vietnamese

Date of birth: February 23, 1961

Personal identification number: 036061000785.

**Article 2.** This Decision takes effect from the date of signing and is an integral part of the Establishment and Operation License No. 109/UBCK-GPHDKD dated January 28, 2010, issued by the Chairman of the State Securities Commission to SBS Securities Joint Stock Company, and the Decision approving the establishment of a branch of a securities company No. 159/QD-UBCK dated March 14, 2023, approved by the Chairman of the State Securities Commission, allowing SBS Securities Joint Stock Company to establish SBS Securities Joint Stock Company – Saigon Branch.

**Article 3.** The Chief of the Office, the Head of the Securities Business Management Board, the General Director of the Vietnam Stock Exchange, the General Director of the Ho Chi Minh City Stock Exchange, the General Director of the Hanoi Stock Exchange, the General Director of the Vietnam Securities Depository and Clearing Corporation, SBS Securities Joint Stock Company, and other relevant parties are responsible for implementing this Decision.

**Received:**

- As Article 3
- Chairman (to report)
- Save: VT, QLKD (10b)

**SIGNED BY THE CHAIRMAN  
VICE PRESIDENT**

*/Signed and sealed/*

**LE THI VIET NGÀ**

