



THE SOCIALIST REPUBLIC OF VIETNAM

Independence – Freedom - Happiness

No.: 119/2026-SCT

Hanoi, 07<sup>th</sup> April 2026



**EXTRAORDINARY INFORMATION DISCLOSURE**

**To: State Securities Commission;  
Vietnam Stock Exchange;  
Hanoi Stock Exchange;**

1. Company's name: An Binh Securities Joint Stock Company (ABS)
  - Stock code: ABW
  - Head office: 16th floor, Geleximco Building, 36 Hoang Cau Street, O Cho Dua Ward, Hanoi
  - Tel: 024 35624626 Fax: 024 35624628
  - E-mail: [ptkd@abs.vn](mailto:ptkd@abs.vn)

2. Contents of disclosure

On 06th April 2026, ABS received the Decision on administrative tax penalties No.: 3418/QĐ-HAN-QLDN4-XPHC dated March 27, 2026, issued by the Hanoi Tax Department regarding the sanctioning of administrative tax violations (Details in the attached file).

3. This information was published on the company's website on 07<sup>th</sup> April 2026 as in the link <https://www.abs.vn/tin-tuc/ban-tin-cbtt/>.

We hereby certify and commit that the information provided is correct and we bear the full responsibility to the law for the disclosed information.

**Attached documents:**

- Decision on administrative tax penalties No.: 3418/QĐ-HAN-QLDN4-XPHC

**AN BINH SECURITIES JOINT STOCK COMPANY**

**Authorized person to disclose information**

*(Signed)*

**Dang Hai Chung**

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TAX DEPARTMENT  
HANOI TAX DEPARTMENT



THE SOCIALIST REPUBLIC OF VIETNAM

Independence – Freedom - Happiness

Hanoi, 27<sup>th</sup> March 2026

## DECISION

### On the Imposition of Administrative Sanctions

#### THE DIRECTOR OF HANOI CITY TAX DEPARTMENT

Pursuant to Articles 57, 68, 70, 78 and 85 of the Law on Handling of Administrative Violations (as amended and supplemented in 2020 and 2025);

Pursuant to the Law on Tax Administration; the Law amending and supplementing a number of articles of the Law on Tax Administration and its guiding documents;

Pursuant to Decree No. 125/2020/ND-CP dated October 19, 2020 of the Government providing for administrative sanctions for tax and invoice-related violations;

Pursuant to Decree No. 68/2025/ND-CP dated March 18, 2025 of the Government amending and supplementing a number of articles of the Government's Decree No. 118/2021/ND-CP dated December 23, 2021, detailing a number of articles and measures for the implementation of the Law on Handling of Administrative Violations;

Pursuant to Decree No. 310/2025/ND-CP dated December 2, 2025 of the Government amending and supplementing a number of articles of Decree No. 125/2020/ND-CP dated October 19, 2020 of the Government on administrative penalties for violations related to tax and invoices.

Pursuant to Decision No. 1376/QĐ-CT dated June 30, 2025 of the Director General of the Tax Department stipulating the functions, duties, powers, and organizational structure of provincial and municipal Tax Departments under the General Department of Taxation.

Pursuant to Decision No. 3736/QĐ-CT dated December 31, 2025 of the Director General of the Tax Department stipulating the functions, duties, and powers of the Office and divisions under provincial and municipal Tax Departments.

Pursuant to Decision No. 41891/QĐ-HAN dated December 31, 2025 of the Head of the Hanoi Tax Department on the delegation of authority to impose administrative penalties for violations in tax administration;

Pursuant to the Record of Administrative Violation in Taxation No. 584/BB-VPHC dated March 26, 2026.

Considering the proposal of the Head of Enterprise Support Management Division No. 4.





## HEREBY DECIDES:

### Article 1.

1. To impose administrative sanctions on the following enterprise:

An Binh Securities Joint Stock Company.

Head office address: 16th Floor, Geleximco Building, No. 36 Hoang Cau Street, O Cho Dua Ward, Hanoi city.

Tax code: 0102338461

Enterprise Registration Certificate No. 0102036848 dated September 26, 2006; Issued by: Hanoi Department of Planning and Investment.

Legal Representative: Mr Nguyen Quang Dat.

Gender: Male.

Position: Chief Executive Officer.

2. Administrative violation committed: Late submission of the tax declaration dossier beyond the prescribed deadline, specifically:

On March 18, 2026, the taxpayer submitted the Foreign Contractor Tax Declaration (Form No. 01/NTNN) for the tax period arising on February 24, 2026 (due date March 5, 2026), 13 days overdue.

3. Administrative violation provisions:

Clause 2, Article 13 of Decree No. 125/2020/ND-CP dated October 19, 2020 of the Government on administrative penalties for tax and invoice violations.

4. Aggravating circumstances (if any): None.

5. Mitigating circumstances (if any): None.

6. Applied administrative penalties and remedial measures as follows:

a. Main form of penalty:

Monetary fine: VND 3,500,000, detailed as follow.

Penalty for late submission of the tax declaration dossier under Clause 2, Article 13 of Decree No. 125/2020/ND-CP dated October 19, 2020 of the Government: VND 3,500,000. Sub-item 4254.

b. Additional sanctions (if any): None.

c. Remedial measures (if any): None.

Total amount of fine and remedial measures: VND 3,500,000 (In words: Three million five hundred thousand dong).

All costs for implementing the remedial measures shall be borne solely by An Binh Securities Joint Stock Company.

Article 2. This Decision shall take effect from the date of signing.

### Article 3. Implementation

1. Mr. Nguyen Quang Dat is assigned as the representative of the violating organization named in Article 1 of this Decision for execution.

An Binh Securities Joint Stock Company shall strictly comply with this sanctioning Decision. In case of failure to voluntarily comply within the prescribed time limit, enforcement measures shall be applied in accordance with law. For each day of late payment of the fine, the violating organization must pay an additional 0.05% per day calculated on the outstanding fine amount.

An Binh Securities Joint Stock Company must pay the fine into account No. 7111 at the State Treasury – Area I, with the tax authority being the Hanoi Tax Department, within 10 days from the date of receipt of this Decision.

The company has the right to lodge a complaint or initiate an administrative lawsuit against this Decision in accordance with the law.

2. Submit to the State Treasury – Region is responsible for collecting the fine.

3. Send to the Enterprise Support Management Division No. 4 for implementation of this Decision.

Recipients:

- As stated in Article 3;
- Archives: VT, QLDN4

**FOR THE DIRECTOR OF HANOI CITY  
TAX DEPARTMENT DEPUTY DIRECTOR**

(signed and sealed)

TRAN QUANG HUNG



