



TRỢN VỐN TRÁI NGHIỆM ĐẦU TƯ

No. 59/BC-HĐQT26



THE SOCIALIST REPUBLIC OF VIETNAM

Independence - Freedom – Happiness

Hanoi, July ..2.9.. 2025

SEMI-ANNUAL REPORT ON CORPORATE GOVERNANCE 2026

To: - The State Securities Commission;
- Vietnam Stock Exchange (VNX);
- Hanoi Stock Exchange (HNX).

- Name of company: An Binh Securities Joint Stock Company
- Address of headoffice: 16th floor, Geleximco Building, 36 Hoang Cau Street, O Cho Dua ward, Hanoi, Vietnam
- Telephone: 02435624626 Fax: 02435624628 Email: vanthu@abs.vn
- Charter capital: 3.011.500.000.000VND
- Stock symbol: ABW
- Corporate Governance model: General Meeting of Shareholders (GMS), Board of Directors (BOD), Board of Supervisors (BOS), Chief Executive Officer (CEO)
- The implementation of internal audit: Implemented

I. Activities of the General Meeting of Shareholders

Information on meetings, resolutions and decisions of the General Meeting of Shareholders (including the resolutions of the General Meeting of Shareholders approved in the form of written comments):

On 18/03/2026, An Binh Securities Joint Stock Company (ABS) held the Annual General Meeting of Shareholders. On the basis of reports and proposals, the General Meeting of Shareholders discussed and approved:

No.	Resolution/Decision No.	Date	Content
1	17/NQ-ĐHĐCĐ2026	18/03/2026	Approved contents: - 2025 Business Results Report, 2025 Audited Financial Statements; - Business plan for 2026; - The plan for charter capital increase of An Binh Securities Joint Stock Company, specifically including a private placement of shares and the issuance of shares under the Employee Stock

			Ownership Plan (ESOP); - The plan of issuance, registration and listing of public offering bonds in 2026; - The Proposal on the plan for listing the Company's shares on the Ho Chi Minh City Stock Exchange; - The Report of the BOD on its operation in 2025 and BOD's orientation in 2026; - The Report on remuneration and operation costs of the BOD, Supervisory Board in 2025 and proposals for 2026; - Proposal for funds allocation and distribution profit after tax in 2025; - The Report of the Supervisory Board on its operation in 2025 and orientation in 2026; - The authorization of the BOD to select an auditor for the Semi-Annual Financial Statements and the Annual Financial Statements of 2026; - The amendments of Company Charter - The dismissal of a member of the Board of Directors pursuant to the resignation letter of Ms. Vu Thi Huong, Mr. Le Viet Ha, Mr. Khuong Duc Tiep, Mr. Do Trong Cuong; - The election of Mr. Tran Viet Dung, Ms. Vu Khanh Linh, Mr. Nguyen Quang Dat, Ms. Vu Thi Hai Nga as additional members of the Board of Directors for the 2023–2028 term.
--	--	--	--

II. Board of Directors (Semi-annual report):

1. Information about the members of the Board of Directors:

No.	Board of Directors' members	Position	The date becoming/ceasing to be the member of the Board of Directors	
			Date of appointment	Date of dismissal
1	Ms: Vu Thi Huong	Chairwoman	19/04/2018	18/03/2026
2	Ms: Tran Kim Khanh	Member	19/04/2018	
3	Mr: Le Viet Ha	Member	15/04/2021	18/03/2026
4	Mr: Khuong Duc Tiep	Member	26/04/2022	18/03/2026
5	Mr: Do Trong Cuong	Member	22/04/2025	18/03/2026
6	Mr: Tran Viet Dung	Chairman	18/03/2026	
7	Mr: Nguyen Quang Dat	Member	18/03/2026	
8	Ms: Vu Khanh Linh	Member	18/03/2026	
9	Ms: Vu Thi Hai Nga	Member	18/03/2026	

2. Meetings of the Board of Directors:

No.	Board of Directors' members	Number of meetings attended	Attendance rate	Reasons for absence
1	Ms: Vu Thi Huong	7	100%	Dismissed from 18/03/2026
2	Ms: Tran Kim Khanh	27	100%	
3	Mr: Le Viet Ha	7	100%	Dismissed from 18/03/2026
4	Mr: Khuong Duc Tiep	7	100%	Dismissed from 18/03/2026
5	Mr: Do Trong Cuong	7	100%	Dismissed from 18/03/2026
6	Mr: Tran Viet Dung	20	100%	Only attend meetings from the elected date
7	Mr: Nguyen Quang Dat	20	100%	Only attend meetings from the elected date
8	Ms: Vu Khanh Linh	20	100%	Only attend meetings from the elected date
9	Ms: Vu Thi Hai Nga	20	100%	Only attend meetings from the elected date

3. Supervising the Board of Management by the Board of Directors:

The Board of Directors has regularly supervised the business activities and approves proposals for business management and administration proposed by the Board of Management/Executive Management; supervised the reporting responsibilities of the Board of Management/Executive Management related to issues arising out of professional activities, risk management and human resource management. The Board of Directors has directed the CEO to conduct the Company's business activities in accordance with the set forth objectives, complying with the legal provisions, the Company's Charter and internal regulations.

4. Activities of the Board of Directors' subcommittees:

The Internal Audit under the BOD has coordinated with the BOS to regularly supervise the activities of the Company and the BOM in implementing the 2025 business plan approved by the GMS.

5. Resolutions/Decisions of the Board of Directors (Semi-annual report)

In first half of 2026, the BOD has approved resolutions, decisions on policies, strategies, appointment/dismissal of personnel, securities offering and issuance activities, investment activities, and other matters within its authority, specifically as follows:

No.	Resolution/Decision No.	Date	Content	Approval rate
1	02/NQ-HĐQT26	12/01/2026	Approved the policy on cooperation with ABB in providing online trading facilities	100%
2	05/NQ-HĐQT26	15/01/2026	Approved the implementation of the public offering of shares and the registration dossier for the public offering of shares.	100%
3	05B/NQ-HĐQT26	20/01/2025	Approved the 2025 Business Results and the 2026 Business Plan	100%
4	07/NQ-HĐQT26	26/01/2026	Approved the solicitation of shareholders' written opinions on the amendment to the Public Share Offering Plan and the supplementation of the Private Placement Plan.	100%
5	10/NQ-HĐQT26	30/01/2026	Approved the 2026 Risk Management Policy and Risk Limits.	100%
6	12/NQ-HĐQT26	30/01/2026	Convened the 2026 Annual General Meeting of Shareholders	100%

7	15/NQ-HĐQT25	06/03/2026	Approved the 2026 Proprietary Trading Budget	100%
8	19/NQ-HĐQT26	18/03/2026	Election of Chairman of the BOD	100%
9	20/NQ-HĐQT26	18/03/2026	Approve the list of members of Credit Committee	100%
10	23/NQ-HĐQT26	20/04/2026	Approved the implementation of the Private Placement Plan	100%
11	24/NQ-HĐQT26	20/04/2026	Approved the registration dossier for the Private Placement of Shares	100%
12	25/QĐ-CT26	22/04/2026	Approved the renewal of the credit facility with Indovina Bank Ltd	QĐ của Chủ tịch HĐQT
13	29/NQ-HĐQT26	11/05/2026	Approved the increase in the proprietary trading investment limit and the investment plan for ABB shares	100%
14	31/NQ-HĐQT26	12/05/2026	Approved the dismissal of Ms Nguyen Thuy Linh – Internal Auditor	100%
15	33/NQ-HĐQT26	14/05/2026	Approved the increase in the credit limit with Eximbank	100%
16	33B/NQ-HĐQT26	20/05/2026	Approved the April 2026 Business Results and the Business Plan for the Second Quarter of 2026	100%
17	35/QĐ-HĐQT25	25/05/2026	Approved the detailed plan for the use of proceeds from the Private Placement	100%
18	37/NQ-HĐQT26	29/05/2026	Approved the amendment to Resolution No. 23/NQ-HĐQT26 on the implementation of the Private Placement Plan	100%
19	39/NQ-HĐQT26	03/06/2026	Approved the detailed plan for the use of proceeds from the Private Placement of Shares	100%
20	40/NQ-HĐQT26	03/06/2026	Approved the registration dossier for the Private Placement of Shares	100%
21	40B/NQ-HĐQT26	16/06/2026	Approved the appointment of the independent auditor for the 2026 financial statements	100%

22	42/NQ-HĐQT26	17/06/2026	Approved the results of the Private Placement of Shares.	100%
23	44/NQ-HĐQT26	18/06/2026	Approved the update of the Company's Charter to reflect the increase in charter capital	100%
24	46/NQ-HĐQT26	19/06/2026	Approve the change of Company Charter	100%
25	48/NQ-HĐQT26	23/06/2026	Approved the transactions with ABF	100%
26	50/NQ-HĐQT26	25/06/2026	Approved the borrowing from ABBank	100%
27	52A/NQ-HĐQT26	25/06/2026	Approved the proprietary investment plan for SHN shares.	100%

III. Supervisory Board (Semi-annual report)

1. Information about members of BOS

No.	Members of BOS	Position	The date becoming/ceasing to be the member of the BOS	Qualification
1	Ms Pham Thi Bich Ngoc	Member	15/04/2021	Bachelor degree from Academy of Finance
		Chairwoman	22/04/2025	
2	Ms Nguyen Thi Duu	Member	22/04/2025	Bachelor degree from Academy of Finance; Certified Public Accountants (CPA)
3	Ms Dao Thi Cam	Member	22/04/2025	Master of Economics, majoring in Banking - Finance, Academy of Finance

2. Meetings of Board of Supervisors

No.	Members of BOS	Number of meetings attended	Attendance rate	Voting rate	Reasons for absence
1	Ms Nguyen Thi Duu	2	100%	100%	
2	Ms Pham Thi Bich Ngoc	2	100%	100%	
3	Ms Dao Thi Cam	2	100%	100%	

3. Supervising Board of Directors, Board of Management and shareholders by Board of Supervisors:

The BOS has supervised the BOD and the BOM in implementing the business directions and objectives for 2025 approved by the GMS; supervised the compliance with the laws, the regulations of State Securities Commission and the Charter of ABS.

4. The coordination among the Board of Supervisors, the Board of Management, Board of Directors and other managers:
 - The Board of Supervisors participated in regular/periodic meetings of the Board of Directors and the Executive Board. The Board of Supervisors is also provided with information and documents on the management, administration and business activities of the Company for the supervision of the Board of Supervisors and Internal Audit.
 - The BOS made recommendations to the BOD and the BOM on measures to strengthen operational supervision, reduce risks, ensure that the Company complies with the legal provisions and internal regulations, operates stably and completes the set targets.

IV. Board of Management

No.	Members of Board of Management	Date of birth	Qualification	Date of appointment / dismissal
1	Mr Nguyen Quang Dat – Chief Executive Officer	26/10/1985	Bachelor	Appointed on 01/11/2025
2	Mr Dang Hai Chung – Deputy General Director	11/10/1980	Master	Appointed on 30/07/2021, Reappointed on 30/07/2023
3	Ms Le Thi Thu Hien – Chief Accountant	16/01/1983	Bachelor	Appointed on 01/06/2021; Reappointed on 21/5/2025

V. Chief Accountant

Name	Date of birth	Qualification	Date of appointment / dismissal
Ms Le Thi Thu Hien	16/01/1983	Bachelor	Appointed on 01/06/2021; Reappointed on 21/5/2025

VI. Training courses on corporate governance

In the first half of 2026, ABS organized internal training activities on professional skills and corporate governance, regularly sharing updates on corporate governance and combining the dissemination of the new regulations from legal documents to enhance the corporate

governance and management capacity of the leadership team and management staff ensuring compliance and mitigating risks.

In addition, ABS regularly participates in corporate governance training programs organized by the Securities Research and Training Center under the State Securities Commission.

VII. The list of affiliated persons of the public company (Semi-annual report) and transactions of affiliated persons of the Company

1. The list of affiliated persons of the Company: Appendix 1
2. Transactions between the Company and its affiliated persons or between the Company and its major shareholders, internal persons and affiliated persons

No.	Name of organization/ individual	Relationship with the Company	NSH No.* date of issue, place of issue	Address	Time of transactions with the Company	Resolution No. or Decision No. approved by General Meeting of Shareholders/ Board of Directors (if any, specifying date of issue)	Content, quantity, total value of transaction	Note
1	An Binh Commercial Joint Stock Bank	Affiliated person of internal person	0301412222 first issued by the Ho Chi Minh City DPI on 17 May 1993, amended for the 29th time by the Hanoi DPI on 28 June 2023	36 Hoang Cau, O Cho Dua ward, Hanoi	January 2026	02/NQ-HĐQT26 dated 12/01/2026	Cooperation in the Provision of Online Trading Facilities	
2	An Binh Fund Management Joint Stock Company (ABF)	Affiliated person of internal person	12/UBCK-GPHĐQLQ dated 28/12/2006	36 Hoang Cau, O Cho Dua ward, Hanoi	26/06/2026	48 NQ-HĐQT26 dated 23/06/2025	Transaction with ABF: Fund Certificate, valuable papers	

NSH No.: ID card No./Passport No. (As for individuals) or Business Registration Certificate No., License on operations or equivalent legal documents (As for organisations).

3. Transaction between internal persons of the Company, affiliated persons of internal persons and the Company's subsidiaries in which the Company takes controlling power:
None
4. Transactions between the Company and other subjects
 - 4.1. Transactions between the Company and the company that its members of Board of Management, the Board of Supervisors, Director (General Director) have been founding members or members of Board of Directors, or CEOs in three (03) latest years (calculated at the time of reporting): None
 - 4.2. Transactions between the Company and the company that its affiliated persons with members of Board of Directors, Board of Supervisors, Director (General Director) and other managers as a member of Board of Directors, Director (General Director or CEO):
None
 - 4.3. Other transactions of the Company (if any) may bring material or non- material benefits for members of Board of Directors, members of the Board of Supervisors, Director (General Director) and other managers: None

VIII. Share transactions of internal persons and their affiliated persons (Semi-Annual report)

1. The list of internal persons and their affiliated persons: Appendix 2
2. Transactions of internal persons and affiliated persons with shares of the company:

No.	Transacti on executor	Relationship with internal person	Number of shares owned at the beginning of the period		Number of shares owned at the end of the period		Reason for increasing/decreasing
			Number of shares	Percentage	Number of shares	Percentage	
1	Tran Viet Dung	Internal person	0	0	2.000.00 0	0.66	Purchase privately placed shares
2	Nguyen Quang Dat	Internal person	0	0	2.000.00 0	0.66	Purchase privately placed shares
3	Duong Thanh Dat	Husband of member of BOD	0	0	9.000.00 0	2.99	Purchase privately placed shares
4	Pham Thi Bich Ngoc	Internal person	0	0	600.000	0.20	Purchase privately placed shares
5	Dao Thi Cam	Internal person	0	0	100.000	0.03	Purchase privately placed shares

6	Nguyen Thi Duu	Internal person	0	0	100.000	0.03	Purchase privately placed shares
7	Dang Hai Chung	Internal person	20.000		520.000	0.17	Purchase privately placed shares
8	Le Thi Thu Hien	Internal person	0	0	500.000	0.17	Purchase privately placed shares

Recipients:

- As above;
- Archived: Company Secretary.

CHAIRMAN OF THE BOARD OF DIRECTORS

(Sign, full name and seal)

(Signed)

Tran Viet Dung

