

HOA BINH SECURITIES
JOINT STOCK COMPANY

SOCIALIST REPUBLIC OF VIETNAM
Independence - Freedom - Happiness

Number: 104 /2026/CV-HBS

Hanoi, 23/10 2026

NOTICE OF PERSONNEL CHANGES

Dear:

- State Securities Commission;
- Vietnam Stock Exchange;
- Hanoi Stock Exchange;
- Ho Chi Minh City Stock Exchange.

Based on Decision No. 09./2026/QD-HBS dated 23/10./2026 regarding the dismissal of Mr. Be Cong Son from the position of Deputy General Director , and Decision No. 10./2026/QD-HBS dated 23/10./2026 regarding the appointment of Mr. Tran Ngoc Anh as Deputy General Director , we respectfully announce the following personnel changes at Hoa Binh Securities Joint Stock Company:

Appointment circumstances:

- Mr. Tran Ngoc Anh
- Previous position before appointment: None
- Position appointed: Deputy General Director in charge of Information Technology
- Appointment term: From 23/10./2026 until a replacement decision is issued.
- Effective date: 23/10./2026

Cases of dismissal:

- Mr. Be Cong Son
- Position held prior to dismissal: Deputy General Director in charge of Information Technology
- No longer holding the position of: Deputy General Director in charge of Information Technology
- Remaining position: None / After being relieved of his duties, Mr. Be Cong Son is no longer an insider of the company.
- Reason for dismissal (if any): Dismissal by the Board of Directors
- Effective date: 23/10./2026

This information has been released. On the Company's website on 23/10./2026 at the following link: <http://www.hbse.com.vn>

Attached documents:

- Decision No. 09./2026/QD-HBS2026 regarding the dismissal of Mr. Be Cong Son from the position of Deputy General Director;
- Decision No. 10./2026/QD-HBS Regarding the appointment of Mr. Tran Ngoc Anh to the position of Deputy General Director;
- Information provision form as per Appendix III issued with Circular No. 96/2020/TT-BTC.

**AUTHORIZED PERSON FOR
DISCLOSURE
GENERAL MANAGER**



NGUYEN PHAN TRUNG KIEN

Number: 10/2026/QD-HBS

Hanoi, ... 23.1.10/2026

DECISION

(Regarding the appointment of Mr. Tran Ngoc Anh as Deputy General Director in charge of Information Technology at Hoa Binh Securities Joint Stock Company)

BOARD OF DIRECTORS

HOA BINH SECURITIES JOINT STOCK COMPANY

- Based on *the Civil Code No. 91/2015/QH13* dated November 24, 2015 and its implementing guidelines;
- Based on *the Enterprise Law No. 59/2020/QH14* Resolution of the National Assembly dated June 17, 2020, effective from January 1, 2021, amended and supplemented in 2022;
- Based on *the Securities Law No. 54/2019/QH14* of the National Assembly dated November 26, 2019, effective from January 1, 2021;
- Based on other relevant legal documents;
- Based on *the Charter of Organization and Operation of Hoa Binh Securities Joint Stock Company*;
- Based on *the Minutes of the Board of Directors Meeting No. 10./2026/BB-HBS* of Hoa Binh Securities Joint Stock Company dated ... 23.1.10/2026.
- Based on the company's actual needs and operations.

DECISION:

Article 1. Mr. Tran Ngoc Anh has been appointed as Deputy General Director in charge of Information Technology at Hoa Binh Securities Joint Stock Company. since the date 23.1.10/2026. The Board of Directors of HBS Company assigns and authorizes Mr. Tran Ngoc Anh to be responsible to the Board of Directors and to the law for the responsibilities and obligations in implementing the following contents:

1. System administrator privileges (USE)

Account management: Creating, assigning, modifying, or locking access accounts to the trading system for employees, brokers, and clients as approved.

Access control: Establish permissions (by role - RBAC) for business modules, limiting the scope of viewing, entering, or approving transaction orders.

System configuration: Managing connection parameters and gateways to the Ho Chi Minh Stock Exchange (HOSE/HNX) and the Vietnam Securities Depository and Clearing Corporation (VSDC).

Access monitoring: Checking and reviewing system logs to track unusual login activities, data changes, or order placements.

2. Responsibilities of the System Administrator (USE)

Information security: Keep the super administrator account, password, and encryption keys absolutely confidential; do not share administrative privileges with unauthorized individuals.

Ensuring smooth operation: Maintaining the trading system's smooth, stable, and secure performance, minimizing disruptions during official trading hours.

Adherence to procedures: Delegating authority within the approved limits and job titles as approved by the Board of Directors or the Internal Control Department.

Incident reporting: Promptly record, process, and report any system errors, signs of unauthorized access, or data leaks to the competent authority or IT/Risk Management department.

The Four-Eyes Principle: Every command to create, renew, or grant permissions to system administrator users requires double approval (from the General Director and the Board of Directors/Compliance Control Department). No individual is allowed to act independently.

Access Review: There must be an automated mechanism or independent IT audit conducted periodically (monthly/quarterly) to scan the entire user list. Any user with no activity or belonging to a former employee who has left or transferred to another position must be **immediately locked**.

Independence between IT and Accounting Operations: The core transaction system and the bank accounting system must be automatically reconciled in real time. Funds in securities accounts can only be increased when there is a physical "credit" order from the main account at the commercial bank; under no circumstances should the USE privilege be used to manually enter fictitious funds.

3. Mandatory System Log Retention Period: To facilitate inspections, audits, and provide legal evidence to investigating authorities in the event of an incident, the retention period for system log data is strictly regulated.

(1) Classify storage time by Log type

Securities transaction logs and order logs: Stored for a minimum of **10 years** (as required by the Securities Law regarding the storage of original transaction documents). This log includes: user ID, time (milliseconds), IP address, device MAC address, content of buy/sell orders, and order cancellation/modification.

User Admin (anhtn, duongld) intervention logs: Stored for a minimum of **5 years**. Record all actions: creating new users, changing passwords, assigning permissions, configuring cash flow parameters, and interfering with the database.

Access Logs: Stored for a minimum of **2 years**. Record the history of successful/failed logins and IP addresses for all 12 users mentioned above.

(2) Technical regulations on log storage to prevent data deletion/modification

Centralized Logging: Logs from the Core-trading system, HOSE Gateway, and Email/SMS system must be automatically pushed in real-time to a dedicated, independent log storage server (Syslog Server).

Write-Once, Read-Many (WORM) mechanism: The log storage drive must be configured to allow only writing and reading, absolutely disabling the delete or modify function for all users, including the supreme administrator user.

Backup: Log data must be backed up regularly (daily backup) and stored in two different physical locations (Primary Data Center and Disaster Recovery Site - DR Site) to protect against natural disasters or fires.

Article 2. Mr. Tran Ngoc Anh is entitled to the rights and is personally responsible to the Board of Directors for his activities in accordance with the law and the company's regulations.

Article 3. This decision takes effect from the date of signing. Board of Directors, Human Resources Department, The Administrative and Management Department, the Finance and Accounting Department, the Heads of relevant Departments of Hoa Binh Securities Joint Stock Company, and **Mr. Tran Ngoc Anh** are responsible for implementing this Decision.

Recipient :

- As per Article 3;
- Save: VT.

**OBO. BOARD OF DIRECTORS
CHAIRPERSON**



TRAN MY LINH

Number: *09*./2026/QD-HBS

Hanoi, ... *23/10*/2026

DECISION

(Regarding: Dismissal of Mr. Be Cong Son from the position of Deputy General Director in charge of Information Technology of Hoa Binh Securities Joint Stock Company)

BOARD OF DIRECTORS

HOA BINH SECURITIES JOINT STOCK COMPANY

- Based on *the Civil Code No. 91/2015/QH13* dated November 24, 2015 and its implementing guidelines;
- Based on *the Enterprise Law No. 59/2020/QH14* Resolution of the National Assembly dated June 17, 2020, effective from January 1, 2021, amended and supplemented in 2022;
- Based on *the Securities Law No. 54/2019/QH14* of the National Assembly dated November 26, 2019, effective from January 1, 2021;
- Based on other relevant legal documents;
- Based on the Charter of Organization and Operation of Hoa Binh Securities Joint Stock Company;
- Based on the Minutes of the Board of Directors Meeting No. *10*./2026/BB-HBS of Hoa Binh Securities Joint Stock Company dated *23/10*/2026.
- Based on the company's actual needs and operations.

DECISION:

Article 1. Mr. Be Cong Son is relieved of his duties as Deputy General Director in charge of Information Technology of Hoa Binh Securities Joint Stock Company effective *23/10*/2026 .

Article 2. Mr. Be Cong Son is responsible for handing over his current duties to the company's leadership within the stipulated timeframe.

Article 3. This Decision shall take effect from the date of signing. The Board of Directors, the Human Resources Department, the Administrative and Management Department, the Finance and Accounting Department, the Heads of relevant Departments of Hoa Binh Securities Joint Stock Company , and **Mr. Be Cong Son** are responsible for implementing this Decision.

Recipient :

- As per Article 3;
- Save: VT.

**OBO. BOARD OF DIRECTORS
CHAIRPERSON**


TRẦN MY LINH