



*Hai Phong, March 3, 2026*

No: 10/2026/TT-CKHP

**PROPOSAL**

***Re: Proposal on the implementation of business activities and clearing and settlement services for derivatives securities trading***

***To: Shareholders of Hai Phong Securities Joint Stock Company***

**Pursuant to:**

- *Law on Enterprises No. 59/2020/QH14 dated June 17, 2020, of the National Assembly of the Socialist Republic of Vietnam and guiding documents for its implementation, amendment, and supplementation;*
- *Law on Securities No. 54/2019/QH14 dated November 26, 2019, of the National Assembly of the Socialist Republic of Vietnam and guiding documents for its implementation, amendment, and supplementation;*
- *Circular 121/2020/TT-BTC dated December 31, 2020, issued by the Ministry of Finance, regulates the operations of securities companies.*
- *Decree No. 158/2020/ND-CP dated December 31, 2020 of the Government of the Socialist Republic of Vietnam on Derivatives Securities and the Derivatives Securities Market and guiding documents for its implementation, amendment, and supplementation;*
- *Articles of Association of Hai Phong Securities Joint Stock Company;*
- *Resolution No. 18/2026/NQ-CKHP dated 03/03/2026 of the Board of Directors of Hai Phong Securities Joint Stock Company on the adjustment and supplementation of documents for the 2026 Annual General Meeting of Shareholders.*

Currently, the legal framework for derivative securities is governed by Decree No. 158/2020/ND-CP dated December 31, 2020, amended and supplemented by Decree No. 306/2025/ND-CP dated November 25, 2025, and other relevant securities laws. The law requires that securities companies wishing to conduct business and provide clearing and settlement services for derivative securities transactions must obtain approval from their General Meeting of Shareholders.

The implementation of activities related to the derivatives market will help enhance the competitiveness and expand the Company's business operations through the diversification of products and services offered to customers. Therefore, the Board of Directors respectfully submits this proposal to the General Meeting of Shareholders for consideration and approval:

1. Through conducting derivative securities business operations and providing clearing and settlement services for derivative securities transactions, the Company includes :



- Derivative securities trading activities include:
  - + Derivatives brokerage;
  - + And/or investment advice on derivative securities;
  - + And/or proprietary trading in derivative securities.
- Activities related to providing clearing and settlement services for derivative securities transactions: Direct clearing members.
- Other services related to derivative securities trading include providing derivative clearing and settlement services in accordance with legal regulations.

**2. Authorize the Board of Directors:**

Authorize the Board of Directors to decide and carry out all necessary related tasks for implementation. The business activities and participation in the derivatives market mentioned in Section 1 of this Proposal include, but are not limited to, the following:

- Prepare the necessary conditions as required by law for implementation. the activities mentioned above;
- Decide on the appropriate time to implement the above activities;
- Direct/authorize the legal representative/general director to carry out the procedures for obtaining approval and registration with competent state agencies in accordance with the law;
- Amendments and additions to the Company's Charter are intended to update the Company's business operations after changes occur and to obtain the approval of competent State authorities (if prescribed by law and/or if necessary);
- Implement reporting, information disclosure, and related procedures as required by law.

We respectfully submit this to the General Meeting of Shareholders for consideration and approval.

Best regards./.

**Recipient:**

- General Shareholders' Meeting;
- Archived: A&HR D.

**ON BEHAFL OF BOARD OF DIRECTORS**  
**CHAIRMAN OF THE BOARD OF DIRECTORS**



**NGUYEN TUAN ANH**

