



No: ...../2026/NQ-SSI.DHĐCĐ

Ho Chi Minh City, April 23<sup>rd</sup>, 2026

**DRAFT**

**RESOLUTION**  
**THE GENERAL MEETING OF SHAREHOLDERS**

—————  
**THE GENERAL MEETING OF SHAREHOLDERS**  
**SSI SECURITIES CORPORATION**

**Pursuant to:**

- *The Charter of SSI Securities Corporation;*
- *The Minutes of Annual General Meeting of Shareholders dated April 23<sup>rd</sup>, 2026.*

**RESOLVED THAT:**

**Article 1:** To approve the Report on operation of the Board of Directors (BOD), Report on operation of the Audit Committee (AC) and independent members of the BOD in the AC in 2025.

**Article 2:** To approve the 2025 Financial Statements audited by the Ernst & Young Vietnam Limited, the Report on the Company's 2025 Business Results and the 2026 Business Plan with the key items as follows:

**The 2025 Business Results**

No.	Items	Unit	Consolidated Financial Statements	Separate Financial Statements
1	Total assets	VND	94,049,979,396,183	92,975,231,411,813
2	Net revenue	VND	13,112,474,747,642	12,745,382,149,662
3	Profit before tax	VND	5,082,973,996,371	4,858,870,804,451
4	Profit after tax	VND	4,106,880,733,899	3,917,405,223,647
5	Profit after tax of the parent company's shareholders	VND	4,106,090,416,749	

**The 2026 Business Plan (consolidated):**

- Revenue (consolidated): VND 15,660 billion
- Profit before tax (consolidated): VND 5,838 billion

To authorize the BOD to adjust this Business Plan in accordance with market conditions in case the market growth and liquidity are not as expected,

**Article 3:** To approve the 2025 Profit Distribution based on the report and submission of the BOD, detailed as follows:

Total distributable profit	<b>VND 2,750,366,713,702</b>
<i>In which:</i>	
- Charity fund (1% on profit after tax)	VND 40,803,026,728
- Bonus, welfare fund (5% on profit after tax)	VND 204,015,133,639
- 2025 cash dividend (10% par value – VND 1,000/share)	VND 2,503,089,220,000 (*)
Remuneration of the BOD as actually paid in 2025	VND 2,459,333,335

(\*): If there is any change in total number of issued shares as at the record date for shareholders entitled to receive the dividend, the BOD may increase or decrease this amount to ensure dividend is VND 1,000/share within permitted sources. Accordingly, the total proposed distributable profit shall be changed.

**Article 4:** To approve the list of audit firms as the BOD’s submission, including Ernst & Young Vietnam Limited, KPMG Limited, PWC (Vietnam) Limited, Deloitte Vietnam Audit Company Limited for auditing the 2026 Separate and Consolidated Financial Statements and reviewing the 2026 Separate and Consolidated semi-annual Financial Statements. To authorize the BOD to select 01 (one) of the mentioned audit firms.

**Article 5:** To approve the Plan on shares issuance for charter capital injection from the owner equity as follows:

1.	Name of share	SSI Securities Corporation shares
2.	Type of share	Ordinary share
3.	Par value	VND 10,000/share
4.	Expected charter capital before issuance (included 10,000,000 shares issued under the Employee Stock Ownership Plan stipulated in Article 8 of Resolution No. 01/2025/NQ-ĐHĐCĐ dated April 18 <sup>th</sup> , 2025)	VND 25,030,892,200,000
5.	Number of shares before the issuance	2,503,089,220 shares
6.	Expected number of shares for issuance	Maximum 500,617,844 shares The number of shares for issuance is determined based on the rights execution ratio of the outstanding shares of Company and method of rounding down.
7.	Total expected issuance value at par value	Maximum VND 5,006,178,440,000
8.	Ratio of rights execution	Ratio 5:1 (On the date of finalizing shareholders list for rights execution, shareholders owning 01 share shall be entitled to 01 right, shareholders owning 05 rights will receive 01 new share).

9.	Issuance recipients	All shareholders own the Company's ordinary shares on the date of finalizing shareholders list for issuance.
10.	Source of funds	From undistributed after-tax profits, share premium, development investment fund, and other funds (if any) as stated in the Company's most recent audited financial statements.
11.	Principle of rounding and handling the fractional shares	After multiplying by the rights execution ratio, the number of shares for issuance shall be rounded down to the nearest whole unit, the fractional shares (if any) shall be cancelled.  Example: Shareholder A owns 506 shares, with a ratio of rights execution of 5:1, the number of shares that Shareholder A is entitled to receive is calculated as follows: $(506 \times 1)/5 = 101.2$ shares. In accordance with the rounding principle stated above, the number of new shares to be issued to Shareholder A is 101 shares. The fractional shares (0.2 share) shall be cancelled.
12.	Transfer restrictions	Those new issued shares will not be restricted to transfer
13.	Expected issuance period	In 2026 and after getting approval from the State Securities Commission. This Plan shall be implemented after the Plan on shares issuance under the 2025 employee stock ownership plan.
14.	Purpose of the issuance	Issuance of shares for charter capital injection from the owner equity
15.	Registration, depository and listing of shares	After the completion of the issuance, the Company commits to implementing the procedures on additional registration, depository for the new issued shares with Viet Nam Securities Depository and Clearing Corporation and to registering the additional listing of the new issued shares on Hochiminh Stock Exchange in compliance with the applicable laws.

**The GMS hereby authorizes the BOD:**

- Decide on the implementation of the issuance plan, the sequence of issuance, including the detailed contents of the issuance plan, and/or amend, supplement, adjust the issuance plan as necessary in accordance with the Company's actual circumstances, applicable laws and regulations, or at the request of competent authorities, in order to ensure the successful completion of the issuance;
- Balance and determine the source of funds to be used in accordance with applicable laws and regulations;
- Confirm the number of shares to be issued based on the actual number of outstanding shares at the time of implementation of the issuance plan;
- Select an appropriate issuance timing for the implementation of the issuance after obtaining approval from the State Securities Commission;
- Carry out procedures for amending and supplementing the Company's Charter to record the increase in charter capital resulting from the issuance;

- Approve the increase in charter capital and carry out the necessary legal procedures to amend the charter capital stated in the License on establishment and operation and the Enterprise Registration Certificate, corresponding to the total par value of the shares actually issued upon completion of the issuance;
- Carry out the necessary procedures for the additional registration and depository of securities with the Viet Nam Securities Depository and Clearing Corporation, and for the registration of the additional listing of all actually issued shares on Hochiminh Stock Exchange, in accordance with applicable laws and regulations;
- Decide on all other matters related to the issuance, additional registration, depository and listing of the shares.

Within the scope of the above authorization, the BOD is allowed to authorize the Chairman of the BOD or the Chief Executive Officer to carry out the above tasks in accordance with applicable laws and regulations.

**Article 6:** To approve continuing the implementation and the amendments and supplements to the Plan on shares issuance under the employee stock ownership plan stipulated the Article 8 of Resolution No. 01/2025/NQ-ĐHĐCĐ dated April 18<sup>th</sup>, 2025 (the Plan), as follows:

**1. Criteria for allocation:** As set out in the attached Annex 01.

**2. Transfer restrictions**

Only 50% are transferrable after 02 years and the remaining 50% are transferable after 03 years from the date of completion of the issuance, except for cases in which the shares are repurchased in accordance with the Regulation on shares issuance under ESOP. Any shares remaining unallocated to employees and subsequently allocated by the BOD shall be subject to the same transfer restrictions as specified above.

**3. Plan for the use of proceeds from the issuance**

The proceeds from the issuance will be used to supplement working capital for margin lending activities.

**4. Principles for share rounding**

After determining the number of ESOP shares to be allocated to employees in accordance with the formula set out in Section 1, and to ensure that the total number of issued shares does not exceed the approved issuance volume, the number of shares shall be rounded down to the nearest hundred.

**5. Method for handling unallocated shares**

The remaining shares not fully allocated to employees (including shares left over due to employees not exercising their purchase rights or employees no longer meeting the eligibility criteria or allocation standards during the period from the date on which the BOD approves the list of eligible employees to purchase ESOP shares to the date on which the State Securities Commission announces receipt of the complete ESOP share issuance dossier) shall be reallocated by the BOD to employees who meet the ESOP allocation criteria at the issuance price of VND 10,000 per share, or the issuance shall be terminated as decided by the BOD.

In the event that the BOD does not fully allocate such shares, the remaining unallocated shares shall be cancelled, and the BOD shall decide to conclude the issuance.

**6. The GMS authorizes the BOD to:**

- Decide on the implementation of the issuance plan and decide on amendments, supplements, completion of the plan on shares issuance in accordance with the actual situation, legal regulations, and requirements of competent authorities to ensure the success of the issuance;
- Decide on the plan for the Company to repurchase shares from employees and the plan for selling the repurchased shares;
- Decide on the contents of, and promulgate the Regulation on issuance for implementation of this plan;
- Decide on the appropriate timing for the ESOP issuance;
- Decide on detailed eligibility standards in accordance with those approved by the GMS, determine the list of employees eligible to participate in the plan and the specific number of shares allocated to each employee;
- Decide on the method for handling any remaining unallocated shares;
- Implement procedures for the amendment and supplementation of the Company's Charter to record the additional charter capital arising from the issuance;
- Implement procedures for additional registration and depository with VSDC and for additional listing registration with HOSE for all additionally issued shares;
- Implement the necessary legal procedures to change the charter capital in the License on establishment and operation, Enterprise Registration Certificate, which equivalently to total actual par value of issued shares after completing the issuance;
- Decide on all other matters related to the share issuance, additional registration, depository, and additional listing of shares.

Within the scope of the above authorization, the BOD is authorized to further delegate to the Chairman of the BOD or CEO to perform task(s) mentioned above in accordance with the provisions of law.

All contents of the Plan on shares issuance under the Employee Stock Ownership Plan pursuant to Resolution No. 01/2025/NQ-DHĐCĐ dated April 18<sup>th</sup>, 2025 that are not amended or supplemented herein shall remain fully valid and effective.

**Article 7:** To approve the Plan on shares issuance under Employee Stock Ownership Plan (ESOP) in 2026 as following:

Name of share	SSI Securities Corporation shares
Type of share	Ordinary shares
Form of share	Book entries
Par value	VND 10,000/share
Potential purchaser	Members of the BOD, key personnel of SSI and its subsidiaries

Number of issued shares	Maximum 10,000,000 (ten million) shares
Issuance price	Par value VND 10,000/share
Estimated issuance period	In 2026 – 2027 or other period decided by the BOD and after getting approval from the State Securities Commission. This Plan shall be implemented after the Plan on shares issuance for charter capital injection from the owner equity
Purpose	To associate interests of employees with the Company To supplement working capital for the Company
Restricted period	Only 50% are transferable after 02 years and the remaining 50% are transferable after 03 years from the date of completion of the issuance, except for cases in which the shares are repurchased in accordance with the Regulation on shares issuance under ESOP. Any shares remaining unallocated to employees and subsequently allocated by the BOD shall be subject to the same transfer restrictions as specified above.
Plan for the use of proceeds from the issuance	The proceeds from the issuance will be used to supplement working capital for margin lending activities.
Principles for share rounding	After determining the number of ESOP shares to be allocated to employees in accordance with the formula set out in Section 1, in order to ensure that the total number of issued shares does not exceed the approved issuance volume, the number of shares shall be rounded down to the nearest hundred.
Method for handling unallocated shares	The remaining shares not fully allocated to employees (including shares left over due to employees not exercising their purchase rights or employees no longer meeting the eligibility criteria or allocation standards during the period from the date on which the BOD approves the list of eligible employees to purchase ESOP shares to the date on which the State Securities Commission announces receipt of the complete ESOP share issuance dossier) shall be reallocated by the BOD to employees who meet the ESOP allocation criteria at the issuance price of VND 10,000 per share, or the issuance shall be terminated as decided by the BOD.  In the event that the BOD does not fully allocate such shares, the remaining unallocated shares shall be cancelled, and the BOD shall decide to conclude the issuance.
Registration, depository and listing of shares	Shares shall be additionally registered, deposited at the Viet Nam Securities Depository and Clearing Corporation (VSDC) and additionally listed on the Hochiminh Stock Exchange (HOSE) in accordance with regulations.
Criteria for allocation	As set out in the attached Annex 02

**The GMS hereby authorizes the BOD to:**

- Decide on the implementation of the issuance plan, the sequence of issuance, and decide on amendments, supplements, completion of the plan on shares issuance in accordance with the

actual situation, legal regulations, and requirements of competent authorities to ensure the success of the issuance;

- Decide on the plan for the Company to repurchase shares from employees and the plan for selling the repurchased shares;
- Decide on the contents of, and promulgate the Regulation on issuance for implementation of this plan;
- Decide on the appropriate timing for the ESOP issuance;
- Decide on detailed eligibility standards in accordance with those approved by the GMS, determine the list of employees eligible to participate in the plan and the specific number of shares allocated to each employee;
- Decide on the method for handling any remaining unallocated shares;
- Implement procedures for the amendment and supplementation of the Company's Charter to record the additional charter capital arising from the issuance
- Implement procedures for additional registration and depository with VSDC and for additional listing registration with HOSE for all additionally issued shares
- Implement the necessary legal procedures to change the charter capital in the License on establishment and operation, Enterprise Registration Certificate, which equivalently to total actual par value of issued shares after completing the issuance
- Decide on all other matters related to the share issuance, additional registration, depository, and additional listing of shares

Within the above scope of authorization, the BOD is allowed to authorize the Chairman of the BOD or the Chief Executive Officer to implement above task(s) in compliance with applicable laws.

**Article 8:** To approve the dismissal and election of member of the BOD, including:

1. To dismiss Mr. Kosuke Mizuno from his position as a member of the BOD.
2. To elect [...] of the BOD with a 5-year term starting from April 23<sup>rd</sup>, 2026.

**Article 9:** This Resolution shall take effect on the issued date. The General Meeting of Shareholders assigns the BOD and the Board of Management to implement this Resolution.

**For and on behalf of the General Meeting of Shareholders  
Chairman of the Board of Directors**

**Nguyen Duy Hung**

## ANNEX 01

### CRITERIA FOR ALLOCATION OF ESOP SHARES

(Attached to Resolution of the General Meeting of Shareholders No. .../2026/NQ-SSI.DHĐCĐ dated April 23<sup>rd</sup>, 2026)

#### 1. Eligibility criteria

- a. Employees of the Company, its subsidiaries satisfying one of the following conditions:
  - The labor contract with the Company, its subsidiaries is still valid, the performance evaluation result for 2025 is rated B or higher and **the minimum working period is 09 months** as of the date on which the BOD issues the Resolution on the implementation of the Plan;
  - Top **20** Brokers of 2025;
  - Top 10 Managers (Securities Advisory) of 2025;
  - Special cases (Potential employees) proposed by the Board of Management, Head of Departments and approved by the Chairman of the BOD.
- b. Experts and senior personnel attracted and recruited by the Company and its subsidiaries (Talent attraction cases), as determined by the Chairman of the BOD.
- c. Members of the BOD (including the Chairman of subsidiary companies): as determined by the Chairman of the BOD.
- d. Not applicable to the following:
  - The employees who have submitted a resignation letter or have already ceased their employment as of the date of issuance of the BOD's Resolution on the implementation of the Plan;
  - The employees are currently on unpaid leave for at least 01 year as of the date of issuance of the BOD's Resolution on the implementation of the Plan;
  - Drivers, administrative staff/assistants of the departments;
  - The employees disciplined in any form within one (01) year as of the date of issuance of the BOD's Resolution on the implementation of the Plan.

#### 2. Principles for determining the number of allocated shares

- a. The total number of ESOP shares allocated to the groups and the number of shares allocated to each group shall be decided by the Chairman of the BOD, with details of the groups as follows:

No.	Group
1	Members of the Board of Directors (including the Chairman of subsidiary companies)
2	Talent attraction cases
3	Potential employees
4	Top Securities Advisors
5	Employees

- b. Principles for determining the number of shares allocated to employees of each group

The number of shares allocated to each employee within each group shall be determined as follows:

- Members of the Board of Directors: The number of shares allocated to each member of the group shall be determined by the Chairman of BOD.
  - Talent attraction cases: The number of shares allocated to each member of the group shall be determined in accordance with the agreement reached with the employee at the time of recruitment and subject to approval by the Chairman of the BOD.
  - Remaining groups:
- + Formula for allocating shares to each employee

**The number of shares allocated to each employee = Total employee score × (Number of shares/1 point) × Adjustment coefficient**

In which:

**Total employee score** = (Score for each evaluation criterion × Weight of each criterion) × Position grade coefficient

**Number of shares/1 point** = The number of shares allocated to each group is determined based on the total score of all employees within that group

**Adjustment coefficient:** The Head of Department shall adjust based on the assessment of each employee's contribution to the development of corporate culture. The adjustment rate shall not exceed 35% (increase/decrease) for each individual case and not exceed the total number of shares allocated to each group

- + Allocation criteria and coefficients

The common allocation criteria and coefficients include:

- ✓ Comprehensive development capability, including Leadership, Innovation & Creativity, and Adaptability to change;
- ✓ Effectiveness of contribution to the Company;
- ✓ Level of commitment to the Company;
- ✓ Position level within the Company.

Criteria  Employee group	Comprehensive Development Capability			Contribution effectiveness in 2025	Commitment level	Position level
	Leadership	Innovation & Creativity	Adaptability to change			
Employees	10%	20%	10%	50%	10%	According to the coefficient of each position group
Top 10 Managers (Securities Advisory) of 2025	10%	20%	10%	55%	5%	
Top 20 Brokers of 2025						
Objectives	Ability to lead and manage teams/projects to effectively implement tasks	Proactively propose and implement initiatives to enhance the efficiency of the Department and the Company	Ready with solutions to optimize work, while being flexible and proactive in quickly adapting to any changes	Demonstrate employee performance and contribution to the Company's overall development in 2025	Demonstrate the process of commitment and dedication to the Company and long-term engagement with the Company	Roles, responsibilities, and scope of influence of positions within the Company, reflected through the determination of relative ranks of different positions
Data sources	Department evaluation - based on specific data/evidence (e.g., number of initiatives participating in S-Shine, specific achievements or awards of individuals, etc.)			Performance evaluation results for 2025	Number of years working at the Company and/or the Department's assessment of the level of commitment	The level of position complexity, the critical importance of each position within each job category group, and the degree of market scarcity

Detailed allocation criteria and coefficients include:

**COMPREHENSIVE DEVELOPMENT CAPABILITY**

<b>Leadership</b>	<b>Scoring scale</b>	<b>Weighting</b>	<b>Innovation &amp; Creativity</b>	<b>Scoring scale</b>	<b>Weighting</b>	<b>Adaptability to change</b>	<b>Scoring scale</b>	<b>Weighting</b>
Level 0: No leadership role or internal influence	0	10%	Level 0: Perform tasks in accordance with established procedures, with no improvement ideas or involvement in innovation	0	20%	Level 0: Do not adapt to change and obstruct or resist change	0	10%
Level 1: Support management but does not directly lead a team	1	10%	Level 1: Occasionally has improvement ideas, but they are not truly effective	1	20%	Level 1: Show willingness to accept change but still requires substantial support for adaptation	1	10%
Level 2: Lead a team or small project, with the ability to organize and coordinate work	2	10%	Level 2: Contribute small but practical improvement ideas at the individual or departmental level	2	20%	Level 2: Demonstrate good adaptability to change but needs time to adjust	2	10%
Level 3: Effectively manage teams, exert influence within the organization, and promote team morale	3	10%	Level 3: Actively contribute innovative ideas successfully applied at the departmental or company level	3	20%	Level 3: Quickly adapt to new environments and processes	3	10%

Level 4: Assume a strategic leadership role, create significant influence, and drive teams to achieve high performance	4	10%	Level 4: Lead innovation at the forefront, delivering strategic or breakthrough initiatives that transform and optimize the organization's overall operations	4	20%	Level 4: Take the lead in initiating and driving organizational change	4	10%
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**CONTRIBUTION EFFECTIVENESS AND COMMITMENT LEVEL**

<b>EMPLOYEES</b>					
<b>CONTRIBUTION EFFECTIVENESS</b>			<b>COMMITMENT LEVEL</b>		
<b>Result</b>	<b>Scoring scale</b>	<b>Weighting</b>	<b>Result</b>	<b>Scoring scale</b>	<b>Weighting</b>
C	1	50%	Under 1 year	0	10%
B	2	50%	From 1 year to under 3 years	1	10%
A	4	50%	From 3 years to under 5 years	2	10%
			From 5 years to under 10 years	3	10%
			10 years or more	4	10%
<b>TOP SECURITIES ADVISORS</b>					
<b>TOP 10 MANAGERS (SECURITIES ADVISORY)</b>			<b>COMMITMENT LEVEL</b>		
Ranks 7 – 10	1	55%	Under 1 year	0	5%
Ranks 4 – 6	2	55%	From 1 year to under 3 years	1	5%
Ranks 1 – 3	4	55%	From 3 years to under 5 years	2	5%
			From 5 years to under 10 years	3	5%
			10 years or more	4	5%
<b>TOP 20 BROKERS</b>					
Ranks 11 – 20	1	55%			
Ranks 6 – 10	2	55%			
Ranks 1 – 5	4	55%			

**POSITION LEVEL**

<b>Position level (PC)</b>	<b>Grade group</b>	<b>Grade coefficient range</b>
PC 46	Staff	From 0.1 to less than 0.2
PC 47	Specialist	From 0.2 to less than 0.3
PC 48 - 50	Senior Specialist	From 0.3 to less than 0.5
PC 51 - 53	Junior Manager	From 0.5 to less than 0.8
PC 54 - 56	Middle Manager	From 0.8 to less than 1.3
PC 57 - 58	Senior Manager	From 1.3 to less than 2.6
PC 59 - 60	Executive	From 2.6 to less than 5.2
PC 61 - 64	Senior Executive	From 5.2 to less than 8

## ANNEX 02

### CRITERIA FOR ALLOCATION OF ESOP SHARES

(Attached to Resolution of the General Meeting of Shareholders No. .../2026/NQ-SSI.ĐHĐCĐ dated April 23<sup>rd</sup>, 2026)

#### 1. Eligibility criteria

- a. Employees of the Company, its subsidiaries satisfying one of the following conditions:
  - The labor contract with the Company, its subsidiaries is still valid, the performance evaluation result for 2026 is rated B or higher and the minimum working period is 09 months as of the date on which the BOD issues the Resolution on the implementation of the Plan;
  - Top 20 Brokers of 2026;
  - Top 10 Directors/Managers (Securities Advisory) of 2026;
  - Special cases (Potential employees) proposed by the Board of Management, Head of Departments and approved by the Chairman of the BOD.
- b. Experts and senior personnel attracted and recruited by the Company and its subsidiaries (Talent attraction cases), as determined by the Chairman of the BOD.
- c. Members of the BOD (including the Chairman of subsidiary companies): as determined by the Chairman of the BOD.
- d. Not applicable to the following:
  - The employees who have submitted a resignation letter or have already ceased their employment as of the date of issuance of the BOD's Resolution on the implementation of the Plan
  - The employees are currently on unpaid leave for at least 01 year as of the date of issuance of the BOD's Resolution on the implementation of the Plan
  - Drivers, administrative staff/assistants of the departments
  - The employees disciplined in any form within one (01) year as of the date of issuance of the BOD's Resolution on the implementation of the Plan

#### 2. Principles for determining the number of allocated shares

- a. The total number of ESOP shares allocated to the groups and the number of shares allocated to each group shall be decided by the Chairman of the BOD, with details of the groups as follows:

No.	Group
1	Members of the Board of Directors (including the Chairman of subsidiary companies)
2	Talent attraction cases
3	Potential employees
4	Top Securities Advisors
5	Employees

- b. Principles for determining the number of shares allocated to employees of each group

The number of shares allocated to each employee within each group shall be determined as follows:

- Members of the Board of Directors: The number of shares allocated to each member of the group shall be determined by the Chairman of BOD

- Talent attraction cases: The number of shares allocated to each member of the group shall be determined in accordance with the agreement reached with the employee at the time of recruitment and subject to approval by the Chairman of the BOD.
- Remaining groups:

- + Formula for allocating shares to each employee

**The number of shares allocated to each employee = Total employee score × (Number of shares/1 point) × Adjustment coefficient**

In which:

**Total employee score** = (Score for each evaluation criterion × Weight of each criterion) × Position grade coefficient

**Number of shares/1 point** = The number of shares allocated to each group is determined based on the total score of all employees within that group

**Adjustment coefficient:** The Head of Department shall adjust based on the assessment of each employee's contribution to the development of corporate culture. The adjustment rate shall not exceed 35% (increase/decrease) for each individual case and not exceed the total number of shares allocated to each group

- + Allocation criteria and coefficients

The common allocation criteria and coefficients include:

- ✓ Comprehensive development capability, including Leadership, Innovation & Creativity, and Adaptability to change;
- ✓ Effectiveness of contribution to the Company;
- ✓ Level of commitment to the Company;
- ✓ Position level within the Company.

Criteria  Employee group	Comprehensive Development Capability			Contribution effectiveness in 2026	Commitment level	Position level
	Leadership	Innovation & Creativity	Adaptability to change			
Employees	10%	20%	10%	50%	10%	According to the coefficient of each position group
Top 10 Directors/Managers (Securities Advisory) of 2026	10%	20%	10%	55%	5%	
Top 20 Brokers of 2026						
<b>Objectives</b>	Ability to lead and manage teams/projects to effectively implement tasks	Proactively propose and implement initiatives to enhance the efficiency of the Department and the Company	Ready with solutions to optimize work, while being flexible and proactive in quickly adapting to any changes	Demonstrate employee performance and contribution to the Company's overall development in 2026	Demonstrate the process of commitment and dedication to the Company and long-term engagement with the Company	Roles, responsibilities, and scope of influence of positions within the Company, reflected through the determination of relative ranks of different positions
<b>Data sources</b>	Department evaluation - based on specific data/evidence (e.g., number of initiatives participating in S-Shine, specific achievements or awards of individuals, etc.)			Performance evaluation results for 2026	Number of years working at the Company and/or the Department's assessment of the level of commitment	The level of position complexity, the critical importance of each position within each job category group,

				and the degree of market scarcity
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Detailed allocation criteria and coefficients include:

### COMPREHENSIVE DEVELOPMENT CAPABILITY

Leadership	Scoring scale	Weighting	Innovation & Creativity	Scoring scale	Weighting	Adaptability to change	Scoring scale	Weighting
Level 0: No leadership role or internal influence	0	10%	Level 0: Performs tasks in accordance with established procedures, with no improvement ideas or involvement in innovation	0	20%	Level 0: Do not adapt to change and obstruct or resist change	0	10%
Level 1: Support management but does not directly lead a team	1	10%	Level 1: Occasionally has improvement ideas, but they are not truly effective	1	20%	Level 1: Show willingness to accept change but still requires substantial support for adaptation	1	10%
Level 2: Lead a team or small project, with the ability to organize and coordinate work	2	10%	Level 2: Contribute small but practical improvement ideas at the individual or departmental level	2	20%	Level 2: Demonstrate good adaptability to change but needs time to adjust	2	10%
Level 3: Effectively manage teams, exert influence within the organization, and promote team morale	3	10%	Level 3: Actively contribute innovative ideas successfully applied at the departmental or company level	3	20%	Level 3: Quickly adapt to new environments and processes	3	10%

Level 4: Assume a strategic leadership role, create significant influence, and drive teams to achieve high performance	4	10%	Level 4: Lead innovation at the forefront, delivering strategic or breakthrough initiatives that transform and optimize the organization's overall operations	4	20%	Level 4: Take the lead in initiating and driving organizational change	4	10%
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**CONTRIBUTION EFFECTIVENESS AND COMMITMENT LEVEL**

<b>EMPLOYEES</b>					
<b>CONTRIBUTION EFFECTIVENESS</b>			<b>COMMITMENT LEVEL</b>		
<b>Result</b>	<b>Scoring scale</b>	<b>Weighting</b>	<b>Result</b>	<b>Scoring scale</b>	<b>Weighting</b>
C	1	50%	Under 1 year	0	10%
B	2	50%	From 1 year to under 3 years	1	10%
A	4	50%	From 3 years to under 5 years	2	10%
			From 5 years to under 10 years	3	10%
			10 years or more	4	10%
<b>TOP SECURITIES ADVISORS</b>					
<b>TOP 10 DIRECTORS/ MANAGERS (SECURITIES ADVISORY)</b>			<b>COMMITMENT LEVEL</b>		
Ranks 7 – 10	1	55%	Under 1 year	0	5%
Ranks 4 – 6	2	55%	From 1 year to under 3 years	1	5%
Ranks 1 – 3	4	55%	From 3 years to under 5 years	2	5%
			From 5 years to under 10 years	3	5%
			10 years or more	4	5%
<b>TOP 20 BROKERS</b>					
Ranks 11 – 20	1	55%			
Ranks 6 – 10	2	55%			
Ranks 1 – 5	4	55%			

**POSITION LEVEL**

<b>Position level (PC)</b>	<b>Grade group</b>	<b>Grade coefficient range</b>
PC 46	Staff	From 0.1 to less than 0.2
PC 47	Specialist	From 0.2 to less than 0.3
PC 48 - 50	Senior Specialist	From 0.3 to less than 0.5
PC 51 - 53	Junior Manager	From 0.5 to less than 0.8
PC 54 - 56	Middle Manager	From 0.8 to less than 1.3
PC 57 - 58	Senior Manager	From 1.3 to less than 2.6
PC 59 - 60	Executive	From 2.6 to less than 5.2
PC 61- 64	Senior Executive	From 5.2 to less than 8