

No: 228/QĐ-UBCK

Hanoi, April 23, 2026

## DECISION

**on the approval for the establishment of a securities company's transaction office**

### **THE CHAIRMAN OF THE STATE SECURITIES COMMISSION**

*Pursuant to the Law on Securities No. 54/2019/QH14, as amended and supplemented by Law No. 56/2024/QH15;*

*Pursuant to Decree No. 155/2020/ND-CP dated December 31, 2020 of the Government detailing the implementation of a number of articles of the Law on Securities, as amended and supplemented by Decree No. 245/2025/ND-CP dated September 11, 2025;*

*Pursuant to Decision No. 686/QĐ-BTC dated February 28, 2025 of the Minister of Finance stipulating the functions, duties, powers, and organizational structure of the State Securities Commission;*

*Pursuant to the Establishment and Operation License No. 100/UBCK-GP dated October 13, 2008 issued by the Chairman of the State Securities Commission to Viet First Securities Corporation;*

*Pursuant to Decision No. 865/QĐ-UBCK dated September 14, 2017 issued by the Chairman of the State Securities Commission on the establishment of a branch of a securities company granted to Viet First Securities Joint Stock Company – Hanoi Branch;*

*Pursuant to the application dossier for approval of the establishment of Viet First Securities Corporation – Hanoi Branch – Trung Hoa Transaction Office of Viet First Securities Corporation;*

*At the proposal of the Head of the Securities Business Management Department.*

## DECISION:

**Article 1.** Approval is granted to

### **VIET FIRST SECURITIES CORPORATION**

to establish a transaction office under its Hanoi Branch with the following details:

- Name of the Transaction Office: Viet First Securities Corporation – Hanoi Branch – Trung Hoa Transaction Office.
- Address: 3rd Floor, Tower C, N04 Complex Hoang Dao Thuy Building, Yen Hoa Ward, Hanoi City.

- Scope of operation: providing support for securities brokerage, securities investment advisory, and securities depository services for the Hanoi Branch.

**Article 2.** During the course of operation, Viet First Securities Corporation – Hanoi Branch – Trung Hoa Transaction Office shall comply with the laws on securities and the securities market, other relevant legal regulations, and the Company’s Charter.

**Article 3.** This Decision shall take effect from the date of signing and shall constitute an integral part of the Establishment and Operation License No. 100/UBCK-GP dated October 13, 2008 issued by the Chairman of the State Securities Commission to Viet First Securities Corporation, and Decision No. 865/QĐ-UBCK dated September 14, 2017 issued by the Chairman of the State Securities Commission approving the establishment of a branch of a securities company for Viet First Securities Corporation – Hanoi Branch.

**Article 4.** The Chief of Office, the Head of the Securities Business Management Department, the Chief Executive Officer of the Vietnam Stock Exchange, the Chief Executive Officer of the Ho Chi Minh City Stock Exchange, the Chief Executive Officer of the Hanoi Stock Exchange, the Chief Executive Officer of the Vietnam Securities Depository and Clearing Corporation, Viet First Securities Corporation, and relevant parties shall be responsible for the implementation of this Decision.

***Recipients:***

-As stated in Article 4;

-Chairman (for reporting);

-Archived: Office, Securities Business  
Management Department.

**ON BEHALF OF THE CHAIRMAN**

**VICE CHAIRMAN**

(Signed)

**Le Thi Viet Nga**