

Số: 26.2/2026/CV- SBSI
No.: 26.2/2026/CV-SBSI

Hà Nội, ngày 30 tháng 07 năm 2026
Hanoi, day 30 month 07 year 2026

CÔNG BỐ THÔNG TIN TRÊN CÔNG THÔNG TIN ĐIỆN TỬ CỦA
ỦY BAN CHỨNG KHOÁN NHÀ NƯỚC VÀ SỞ GIAO DỊCH CHỨNG KHOÁN
INFORMATION DISCLOSURE ON THE ELECTRONIC INFORMATION PORTAL OF THE
STATE SECURITIES COMMISSION AND THE STOCK EXCHANGE

Kính gửi: Ủy ban Chứng khoán Nhà Nước;

To: The State Securities Commission;

Sở Giao dịch Chứng khoán Việt Nam;
Vietnam Exchange;

Sở Giao dịch Chứng khoán Hà Nội;
Hanoi Stock Exchange;

Sở Giao dịch Chứng khoán thành phố Hồ Chí Minh;
Ho Chi Minh Stock Exchange;



- Tên tổ chức/Name of organization: Công ty Cổ phần Chứng khoán Stanley Brothers/ Stanley Brothers Securities Incorporation
- Địa chỉ trụ sở chính/ Head office address: Tầng 9, tòa nhà ROX Tower, số 54A, Nguyễn Chí Thanh, phường Láng, thành phố Hà Nội/9th Floor, ROX Tower, No. 54A, Nguyen Chi Thanh, Lang Ward, Hanoi City
- Điện thoại/Tel.: (+84) 24 3377 6699 - Fax: (+84) 24 3373 6699
- Người thực hiện công bố thông tin/ The person who made the disclosure: Nguyễn Tiến Dũng
Chức vụ: Tổng Giám đốc – Người đại diện theo pháp luật
Position: General Director - Legal Representative
- Loại thông tin công bố/Type of information disclosed:

☐ 24 giờ	☐ 72 giờ	☐ Bất thường	☐ Theo yêu cầu	☒ Định kỳ
24hours	72hours	Abnormal	On request	Periodic

Nội dung thông tin cần công bố/ Information content to be published:

Báo cáo tình hình quản trị công ty bán niên 2026/ The Report on Corporate Governance in Semi-annual 2026.

Thông tin này đã được công bố trên trang thông tin điện tử của Công ty vào ngày 30/07/2026 tại đường dẫn <https://sbsi.vn/vi-vn/ve-sbsi/bai-viet/quan-he-co-dong/cong-bo-thong-tin/E21>

This information was published on the company's website on 30/07/2026, as in the link <https://sbsi.vn/vi-vn/ve-sbsi/bai-viet/quan-he-co-dong/cong-bo-thong-tin/E21>

Chúng tôi xin cam kết các thông tin công bố trên đây là đúng sự thật và hoàn toàn chịu trách nhiệm trước pháp luật về nội dung các thông tin đã công bố/ We hereby certify that the information provided is true and correct and we bear the full responsibility to the law.

Tài liệu đính kèm/*Attached documents:*

- Báo cáo tình hình quản trị công ty bán niên 2026/ *The Report on Corporate Governance in Semi-annual 2026.*

NGƯỜI CÔNG BỐ THÔNG TIN
INFORMATION DISCLOSURE PERSON *sv*



Tổng Giám đốc/ General Director
Nguyễn Tiến Dũng



No.: 20/2026/BC-SBSI

Hanoi, July 29th, 2026

**REPORT ON
CORPORATE GOVERNANCE**
(The first six months of 2026)

To: - The State Securities Commission;
- The Vietnam Stock Exchange;
- The Hanoi Stock Exchange;
- The HoChiMinh Stock Exchange.

- Name of company: **STANLEY BROTHERS SECURITIES INCORPORATION**
("Company")
- Address of head office: 9th Floor, ROX Tower, No. 54A Nguyen Chi Thanh, Lang Ward,
Hanoi City, Vietnam
- Phone: (+84) 24 3377 6699
- Fax: (+84) 24 3373 6699
- Email: info@sbsi.vn
- Charter capital: 2,000,000,000,000 VND (*In words: Two trillion VND*)
- Stock symbol: VUA
- Governance model: The General Meeting of Shareholders, Board of Directors, Board of
Supervisors and General Director
- The implementation of internal audit: Implemented

I. ACTIVITIES OF THE GENERAL MEETING OF SHAREHOLDERS:

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

No.	Resolution No.	Date	Content
1	01/2026/NQ-DHDCD	08/5/2026	Approving the Reports and Proposals in the agenda of the Company's 2026 Annual General Meeting of Shareholders.

II. THE BOARD OF DIRECTORS:

1. Information about members of the Board of Directors:

No.	The Board of Directors' member	Position	The date becoming/ceasing to be the member of the Board of Directors	
			Date of appointment	Date of dismissal
1	Ho Le Viet Hung	The Chairman of Board of Directors	14/10/2025	
2	Nguyen Tien Duc	The member of Board of Directors	14/10/2025	
3	Duong Van Cuong	The member of Board of Directors	14/10/2025	
4	Hoang Thanh Tam	The member of Board of Directors	14/10/2025	
5	Le Cam Thuy	The independent member of Board of Directors	14/10/2025	

2. Meetings of the Board of Directors:

No.	The Board of Director' member	Number of meetings attended by the Board of Directors	Attendance rate	Reasons for absence
1	Ho Le Viet Hung	28/28	100%	
2	Nguyen Tien Duc	28/28	100%	
3	Duong Van Cuong	28/28	100%	
4	Hoang Thanh Tam	27/28	96,4%	Personal reasons
5	Le Cam Thuy	28/28	100%	

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

During the first six months of 2026, the Board of Directors supervised the management and executive activities of the General Director through periodic reports, as well as by overseeing investment policies, corporate governance, and other key business operations of the Company.

The Board of Directors actively participated in meetings with the Board of Management to keep abreast of the Company's operational performance and strategic direction. The General Director regularly reported to the Board of Directors and its members, providing complete and timely information on the Company's business activities, as well as the progress and implementation results of matters approved by the General Meeting of Shareholders and the Board of Directors. The Board of Management conducted the Company's business operations in line with its strategic orientation while continuously strengthening corporate governance, risk management, and internal control.

In addition, the Board of Directors directed, monitored, and facilitated the implementation of the Resolutions of the General Meeting of Shareholders and the Board of Directors to ensure compliance with the Company's Charter, internal regulations and policies, and applicable laws.

Based on the Board of Directors' assessment, all members of the Board of Management performed their duties diligently and effectively during the reporting period. The Board of Management and the Company's key executives efficiently and appropriately implemented the Resolutions, policies, and strategic directions adopted by the General Meeting of Shareholders and the Board of Directors.

4. Activities of the Board of Directors' subcommittees (if any): None.

5. Resolutions of the Board of Directors:

No.	Resolution No.	Date	Content	Approval rate
1	001A/2026/NQ-HDQT	02/01/2026	Approving the assignment of authority to develop and promulgate SBSI's service fee schedule to the General Director of the Company.	100%
2	001B/2026/NQ-HDQT	02/01/2026	Approving SBSI's 2026 Financial Plan.	100%
3	001C/2026/NQ-HDQT	12/01/2026	Approving the 2026 Information Technology Plan and Budget.	100%

4	001/2026/NQ-HDQT	12/01/2026	Approving the implementation time and form of payment to buy individual shares.	100%
5	002/2026/NQ-HDQT	12/01/2026	Approving the plan to transfer individual bonds of ROX ENERGY Investment Joint Stock Company.	100%
6	003/2026/NQ-HDQT	12/01/2026	Approving the promulgation of documents of Risk Management.	100%
7	004/2026/NQ-HDQT	12/01/2026	Approving the project to upgrade the individual bond trading system.	100%
8	005/2026/NQ-HDQT	20/01/2026	Approving the promulgation of the Regulation on Supervision of Approval at SBSI.	100%
9	006/2026/NQ-HDQT	22/01/2026	Approving the plan to transfer individual bonds of Saigon May-Diem Joint Stock Company.	100%
10	007/2026/NQ-HDQT	26/01/2026	Approving the results of the private placement of shares, changing the charter capital and amending the Company's Charter.	100%
11	008/2026/NQ-HDQT	26/01/2026	Approving the investment plan of individual bonds of Saigon May - Diem Joint Stock Company.	100%
12	009/2026/NQ-HDQT	29/01/2026	Receiving and signing the labor contract for Mr. The Duc Bach.	100%
13	010/2026/NQ-HDQT	09/02/2026	Approving the investment plan of individual bonds.	100%
14	011/2026/NQ-HDQT	09/02/2026	Approving the MSB margin trading loan limit.	100%
15	012/2026/NQ-HDQT	10/02/2026	Approving the share investment plan.	100%

16	012A/2026/NQ-HDQT	10/03/2026	Received and signed the Probationary Contract for Mr. Hoang Duc Thinh.	100%
17	013/2026/NQ-HDQT	13/3/2026	Approving the amendments and supplements to the Organizational Structure Regulation No. QC.NS.001 issued by the Board of Directors on 14 October 2025.	100%
18	014/2026/NQ-HDQT	13/3/2026	Extension of the time for holding the Annual General Meeting of Shareholders in 2026.	100%
19	014A/2026/NQ-HDQT	16/3/2026	Approving the convening of the Annual General Meeting of Shareholders in 2026 and the last registration date to finalize the list of shareholders.	100%
20	015/2026/NQ-HDQT	23/3/2026	Approving investment and appoint suppliers to upgrade SBSI Securities Trading System and Individual Bond Trading System.	100%
21	016/2026/NQ-HDQT	26/3/2026	Approving the investment plan of individual bonds.	100%
22	017A/2026/NQ-HDQT	08/4/2026	Dismissal of the position of Deputy General Director for Mr. Nguyen Quang Anh.	100%
23	017B/2026/NQ-HDQT	09/4/2026	Termination of the Labor Contract for Mr. Nguyen Quang Anh.	100%
24	018/2026/NQ-HDQT	09/4/2026	Approving the investment plan of individual bonds of Viet Han Trading – Advertising – Construction – Real Estate Joint Stock Company.	100%

25	019A/2026/NQ-HDQT	15/4/2026	Approving the set of documents to be submitted to the Annual General Meeting of Shareholders in 2026.	100%
26	019/2026/NQ-HDQT	16/4/2026	Dismissal and appointment of the position of Chief Accountant.	100%
27	020/2026/NQ-HDQT	06/5/2026	Through the credit line at MSB.	100%
28	021/2026/NQ-HDQT	08/5/2026	Receiving and appointing Mr. Hoang Duc Thinh to hold the position of Chief of Internal Audit.	100%
29	022/2026/NQ-HDQT	03/6/2026	Approving the investment plan of Bonds issued to the public of Ho Chi Minh City Technical Infrastructure Investment Joint Stock Company.	100%
30	023/2026/NQ-HDQT	29/6/2026	Approving SBSI's 2026 Financial Regulation.	100%

III. THE BOARD OF SUPERVISORS:

1. Information about members of the Board of Supervisors:

No.	The Board of Supervisors' member	Position	The date becoming/ceasing to be the member of the Board of Supervisors	Qualification
1	Tran Quang Khanh	The Head of Board of Supervisors	Appointed on 14/10/2025	- Master of Business Administration; - Bachelor of Economics in Accounting.
2	Lai Thanh Mai	The member of Board of Supervisors	Appointed on 14/10/2025	Bachelor of Laws

3	Duong Thi Thanh	The member of Board of Supervisors	Appointed on 14/10/2025	Bachelor of Accounting
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2. Meetings of the Board of Supervisors:

No.	The Board of Supervisors' member	Number of meetings attended	Attendance rate	Voting rate	Reasons for absence
1	Tran Quang Khanh	02	02/02	100%	
2	Lai Thanh Mai	02	02/02	100%	
3	Duong Thi Thanh	02	02/02	100%	

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

Representatives of the Board of Supervisors attended all meetings of the Board of Directors to stay informed of the Company's operational activities while performing their supervisory role over the Board of Directors and the Board of Management in relation to the management and administration of the Company. The Board of Supervisors and its members were provided with all Resolutions and Minutes of Meetings of the Board of Directors, Decisions of the General Director, and other relevant documents and materials.

In addition, the Board of Supervisors reviewed the reasonableness, legality, integrity, and prudence of the management and administration of the Company's business operations by the Board of Directors and the Board of Management. It also examined the consistency, systematic nature, and appropriateness of the Company's accounting, statistical, and financial reporting practices.

Furthermore, the Board of Supervisors reviewed the Company's business performance reports, financial statements, and the report assessing the management activities of the Board of Directors, and submitted its appraisal report at the 2026 Annual General Meeting of Shareholders. The Board of Supervisors also provided comments on the issuance of the Company's internal regulations to ensure compliance with applicable laws and regulations and to mitigate operational and legal risks.

During the first six months of 2026, the Board of Supervisors did not receive any information, complaints, or feedback from shareholders.

4. The coordination among Board of Supervisors, Board of Directors, Board of Management and other managers:

During the first six months of 2026, the coordination among Board of Supervisors, Board of Directors, Board of Management, and other managers was carried out effectively. The

Company's departments and managers actively cooperated with and provided the documents and information requested by the Board of Supervisors, thereby facilitating the performance of its inspection and supervisory duties in a comprehensive, appropriate, and lawful manner.

With respect to the coordination between Board of Supervisors and Board of Directors, the Board of Supervisors exercised its supervisory function over the management activities of Board of Directors by attending and providing comments at Board meetings, as well as by reviewing the Company's reports. The Board of Supervisors assessed the effectiveness of the Board of Directors' management and operations, as well as the Company's overall performance, based on actual operating conditions and the reports provided.

Regarding the coordination between Board of Supervisors and Board of Management, the Board of Supervisors conducted inspections and supervisory activities while working closely with the Board of Management in monitoring and reviewing the Company's business operations. The Board of Management facilitated the Board of Supervisors' access to information and documents relevant to the Company's business activities.

The comments and recommendations made by the Board of Supervisors were duly acknowledged, incorporated, and promptly addressed by the Board of Directors and Board of Management, thereby contributing to the safe and sound operation of the Company's business.

5. Other activities of the Board of Supervisors (if any): None.

IV. BOARD OF MANAGEMENT:

No.	The member of Board of Management	Date of birth	Qualification	Date of appointment	Date of dismissal	Note
1	Nguyen Tien Dung	10/3/1982	Master of Banking and Finance	23/12/2025		Appointment of General Director
2	Nguyen Quang Anh	20/02/1978	Master of Finance		08/4/2026	Dismissal of Deputy General Director
3	Hoang Thanh Tam	20/8/1982	Master of Banking and Finance	22/12/2025		Appointment of Executive Member, Board of Management

4	Truong Thi Lan Anh	04/11/1981	Financial Accounting	12/8/2025		Appointment of Chief Financial Officer
				16/4/2026		Appointment of Chief Accountant
5	Bui Thi Viet Ha	15/6/1976	Bachelor of Credit Finance		16/4/2026	Dismissal of Chief Accountant

V. CHIEF ACCOUNTANT:

No.	Name	Date of birth	Qualification	Date of appointment
1	Truong Thi Lan Anh	04/11/1981	Financial Accounting	16/4/2026

VI. TRAINING COURSES ON CORPORATE GOVERNANCE:

Members of the Board of Directors, members of the Board of Supervisors, General Director and other managers have participated in internal training courses in accordance with regulations on corporate governance.

VII. THE LIST OF AFFILIATED PERSONS OF THE PUBLIC COMPANY AND TRANSACTIONS OF AFFILIATED PERSONS OF THE COMPANY:

1. **The list of affiliated persons of the Company:** Details are in Appendix No. 01 attached.
2. **Transactions between the Company and its affiliated persons or between the Company and its major shareholders, internal persons and affiliated persons:** None.
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 objects:**
 - 4.1. Transactions between the Company and the company that its members of Board of Directors, Board of Supervisors, General Director and other managers have been founding members or members of Board of Directors, Director (General Director) 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, General Director and other managers as a member of Board of Directors, Director (General Director): None.
- 4.3. Other transactions of the Company (if any) may bring material or non-material benefits for members of Board of Directors, Board of Supervisors, General Director and other managers: None.

VIII. SHARE TRANSACTIONS OF INTERNAL PERSONS AND THEIR AFFILIATED PERSONS:

1. **The list of internal persons and their affiliated persons:** Details are in Appendix No. 02 attached.
2. **Transactions of internal persons and affiliated persons with shares of the Company:** None.

IX. OTHER SIGNIFICANT ISSUES: None.

Recipients:

- As: "To" part;
- Archived: HC.

**CHAIRMAN OF
THE BOARD OF DIRECTORS** 
(Sign, full name and seal)



HO LE VIET HUNG

APPENDIX NO. 01: THE LIST OF AFFILIATED PERSONS OF THE COMPANY

No.	Name of organization/ individual	Securities trading account (if any)	Position at the Company (if any)	NSH No., date of issue, place of issue	Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons	Relationship with the Company
1	Ho Le Viet Hung		Chairman of the Board of Directors			14/10/2025		Appointment according to the Resolution of the General Meeting of Shareholders	Related person
2	Nguyen Tien Duc		Member of the Board of Directors			14/10/2025		Appointment according to the Resolution of the General Meeting of Shareholders	Related person
3	Hoang Thanh Tam		Member of the Board of Directors			14/10/2025		Appointment according to the	Related person

								Resolution of the General Meeting of Shareholders	
4	Duong Van Cuong					Member of the Board of Directors		Appointment according to the Resolution of the General Meeting of Shareholders	Related person
5	Le Cam Thuy					Independent member of the Board of Directors		Appointment according to the Resolution of the General Meeting of Shareholders	Related person
6	Tran Quang Khanh					Head of the Board of Supervisors		Appointment according to the Resolution of the General Meeting of Shareholders	Related person

10	Nguyen Quang Anh		Deputy General Director			23/12/2025	9/4/2026	Dismissal according to the Resolution of the Board of Directors	Related person
11	Truong Thi Lan Anh		Chief Financial Officer; Chief Accountant			8/12/2025		Appointment according to the Resolution of the Board of Directors	Related person
12	Bui Thi Viet Ha		Chief Accountant			8/10/2019	16/4/2026	Dismissal according to the Resolution of the Board of Directors	Related person
13	NAM QUANG INFRASTRUCTURE INVESTMENT AND DEVELOPMENT JSC					14/10/2025			Shareholders own more than 10%

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APPENDIX NO. 02: THE LIST OF INTERNAL PERSONS AND THEIR AFFILIATED PERSONS

No.	Name	Securities trading account (if any)	Position at the Company (if any)	ID Card No./Passport No., date of issue, place of issue	Address	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
1	Ho Le Viet Hung		Chairman of the Board of Directors			0	0	Related person
1.1	Nguyen Mai Anh		Affiliated person			0	0	Wife
1.2	Ho Quoc Viet		Affiliated person			0	0	Biological father

1.3	Le Thi Bich Lan		Affiliated person			0	0	Biological mother
1.4	Nguyen Cao Thang		Affiliated person			0	0	Father-in-law
1.5	Nguyen Thi Hai Yen		Affiliated person			0	0	Mother-in-law
1.6	Ho Le Viet Long		Affiliated person			0	0	Biological brother
1.7	Pham Minh Trang		Affiliated person			0	0	Sister-in-law

1.8	Nguyen Hai Anh		Affiliated person			0	0	Sister-in-law
1.9	Ho Le Viet Khanh		Affiliated person			0	0	Daughter
1.10	Ho Le Viet Han		Affiliated person			0	0	Daughter
2	Nguyen Tien Duc		Member of the Board of Directors			0	0	Related person
2.1	Nguyen Quang Huy		Affiliated person			0	0	Father



2.2	Chu Thi Thanh Xuan		Affiliated person			0	0	Mother
2.3	Le Cuong		Affiliated person			0	0	Father-in-law
2.4	Nguyen Quang Hieu		Affiliated person			0	0	Siblings
2.5	Vo Thi Bich Thuy		Affiliated person			0	0	Sister-in-law
2.6	Le Thi Thu Hien		Affiliated person			0	0	Wife

4	Duong Van Cuong		Member of the Board of Directors			0	0	Related person
4.1	Duong Van Le		Affiliated person			0	0	Father
4.2	Doan Thi Suu		Affiliated person			0	0	Mother
4.3	Nguyen Hong Nhung		Affiliated person			0	0	Wife
4.4	Duong Thi Phuong		Affiliated person			0	0	Sister
4.5	Duong Thi Quynh		Affiliated person			0	0	Sister

4.6	Duong Dang Quang		Affiliated person			0	0	Son
4.7	Duong My Anh		Affiliated person			0	0	Daughter
5	Le Cam Thuy		Independent member of the Board of Directors			0	0	Related person
5.1	Wen Tuan Cuong		Affiliated person			0	0	Husband
5.2	Wen Trong Phuc		Affiliated person			0	0	Son

5.3	Wen Guangzhi			Affiliated person				0	0	Son
5.4	Le Xuan Thuy			Affiliated person				0	0	Father
5.5	Nguyen Thi Minh			Affiliated person				0	0	Mother
5.6	Le Trung Thanh			Affiliated person				0	0	Younger brother

5.7	Tran Thi Phuong Thao		Affiliated person				0	0	Sister-in-law
6	Tran Quang Khanh		Head of the Board of Supervisors				0	0	Related person
6.1	Tran Vinh Linh		Affiliated person				0	0	Father
6.2	Le Thi Dinh		Affiliated person				0	0	Mother
6.3	Pham Ngan Ha		Affiliated person				0	0	Wife
6.4	Tran Lan Anh		Affiliated person				0	0	Children
6.5	Tran Tuan Anh		Affiliated person				0	0	Brother

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7.2	Nguyen Thi Thanh		Affiliated person			0	0	Mother
7.3	Lai Thanh Tung		Affiliated person			0	0	Younger brother
7.4	Pham Thi Thanh Ha		Affiliated person			0	0	Sister-in-law
7.5	Nguyen The Khuong		Affiliated person			0	0	Father-in-law
7.6	Dao Thi Hue		Affiliated person			0	0	Mother-in-law
7.7	Nguyen The Hung		Affiliated person			0	0	Husband
7.8	Nguyen Ngoc Minh		Affiliated person			0	0	Son

9.3	Nguyen Thi Kim Loan		Affiliated person			0	0	Wife
9.4	Nguyen Tien Minh		Affiliated person			0	0	Children
9.5	Nguyen Minh Tuan		Affiliated person					
9.6	Nguyen Thi Le Thu		Affiliated person			0	0	Sister
9.7	Nguyen Thi Le Thuy		Affiliated person			0	0	Sister

10.7	Le Van Kien		Affiliated person				0	0	Father-in-law
10.8	Tran Thi Toan		Affiliated person				0	0	Mother-in-law
11	Truong Thi Lan Anh		Chief Financial Officer; Chief Accountant				0	0	Related person
11.1	Truong Thanh Trung		Affiliated person				0	0	Father
11.2	Truong Thi Hoan		Affiliated person				0	0	Mother
11.3	Dinh Thi Lien		Affiliated person				0	0	Mother-in-law

12.4	Nguyen Duy Bao Ngoc		Affiliated person			0	0	Daughter
12.5	Bui Thi Thuy Ngan		Affiliated person			0	0	Sister
12.6	Bui Thi Thu Hue		Affiliated person			0	0	Sister
12.7	Bui Thanh Dat		Affiliated person			0	0	Younger brother
12.8	Nguyen The Minh		Affiliated person			0	0	Brother-in- law

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