



HAI PHONG SECURITIES JOINT STOCK COMPANY



# FINANCIAL REPORT

## Quarter III 2026

Hai Phong, October 2026

Address: No. 7, Lot 28A Le Hong Phong, Gia Vien Ward, Hai Phong City.

## SEPARATE STATEMENT OF FINANCIAL POSITION

As at 30 September 2026

Unit: VND

| Items                                                                                | Code       | Note     | End of the period        | Begin of the year      |
|--------------------------------------------------------------------------------------|------------|----------|--------------------------|------------------------|
| <b>ASSET</b>                                                                         |            |          |                          |                        |
| <b>A</b>                                                                             | <b>B</b>   | <b>C</b> | <b>1</b>                 | <b>2</b>               |
| <b>A. CURRENT ASSETS (100=110+130)</b>                                               | <b>100</b> |          | <b>2,602,250,228,958</b> | <b>391,303,031,786</b> |
| <b>I. Financial assets (110=111--&gt;129)</b>                                        | <b>110</b> |          | <b>2,600,030,621,664</b> | <b>389,176,162,738</b> |
| 1. Cash and cash equivalents                                                         | 111        |          | 38,025,553,434           | 147,451,440,806        |
| 1.1. Cash                                                                            | 111.1      |          | 38,025,553,434           | 27,451,440,806         |
| 1.2. Cash equivalents                                                                | 111.2      |          | 0                        | 120,000,000,000        |
| 2. Financial assets measured at fair value through profit or loss                    | 112        |          | 540,224,811,725          | 85,720,812,500         |
| 3. Held-to-maturity (HTM) investments                                                | 113        |          | 1,520,000,000,000        |                        |
| 4. Loans                                                                             | 114        |          | 434,898,870,407          | 155,166,168,567        |
| 5. Available-for-sale financial (AFS) assets                                         | 115        |          | 21,393,177,000           |                        |
| 6. Provision for impairment of financial assets and mortgage assets                  | 116        |          | (1,250,675,845)          | (1,250,675,845)        |
| 7. Accounts receivable                                                               | 117        |          | 45,235,044,395           | 3,166,015,731          |
| 7.1. Receivables from disposal financial assets                                      | 117.1      |          |                          |                        |
| 7.2. Receivables and accruals from dividends and interest income of financial assets | 117.2      |          | 45,235,044,395           | 3,166,015,731          |
| 7.2.1. Dividends and interest receivable on the date of receipt                      | 117.3      |          | 1,732,720,382            | 1,732,720,382          |
| In which: Bad debts on dividends and interest due but not yet received               | 117.3.1    |          | 1,732,720,382            | 1,732,720,382          |
| 7.2.2. Accruals for undue dividend and interest income                               | 117.4      |          | 43,502,324,013           | 1,433,295,349          |
| 8. Advances to suppliers                                                             | 118        |          | 2,585,842,530            | 30,797,335             |
| 9. Receivables from services provided by the company                                 | 119        |          | 402,946,302              | 402,591,418            |
| 10. Internal receivables                                                             | 120        |          | 0                        |                        |
| 11. Receivables for securities transaction errors                                    | 121        |          | 0                        |                        |
| 12. Other receivables                                                                | 122        |          | 247,772,098              | 221,732,608            |
| 13. Provision for impairment of receivables (*)                                      | 129        |          | (1,732,720,382)          | (1,732,720,382)        |
| <b>II. Other current assets (130 = 131--&gt;139)</b>                                 | <b>130</b> |          | <b>2,219,607,294</b>     | <b>2,126,869,048</b>   |
| 1. Advances                                                                          | 131        |          | 359,060,547              | 89,444,000             |
| 2. Office equipment, tools and supplies                                              | 132        |          |                          |                        |
| 3. Short-term prepaid expenses                                                       | 133        |          | 1,435,028,885            | 897,775,822            |
| 4. Short-term deposits, collaterals and pledges                                      | 134        |          | 413,948,784              | 461,948,784            |
| 5. Deductible value added tax                                                        | 135        |          | 4,475,317                | 65,285,890             |
| 6. Taxes and others receivable from State Treasury                                   | 136        |          | 7,093,761                | 612,414,552            |
| 7. Provision for impairment of other short-term assets                               | 137        |          |                          |                        |
| 8. Government bond repurchase transactions                                           | 138        |          |                          |                        |
| 9. Provision for impairment of other short-term assets                               | 139        |          |                          |                        |
| <b>B. NON-CURRENT ASSETS (200 = 210+220+230+240+250-260)</b>                         | <b>200</b> |          | <b>13,818,413,365</b>    | <b>10,220,480,919</b>  |
| <b>I. Long-term financial assets</b>                                                 | <b>210</b> |          | <b>0</b>                 | <b>0</b>               |
| 1. Long-term receivables                                                             | 211        |          |                          |                        |
| 2. Investments                                                                       | 212        |          |                          |                        |
| 2.1. Held -to-maturity investments                                                   | 212.1      |          |                          |                        |
| 2.2. Investment in subsidiaries                                                      | 212.2      |          |                          |                        |
| 2.3. Investment in joint ventures and associates                                     | 212.3      |          |                          |                        |

| Items                                                    | Code       | Note     | End of the period        | Begin of the year      |
|----------------------------------------------------------|------------|----------|--------------------------|------------------------|
| 2.4. Other long-term investments                         | 212.4      |          |                          |                        |
| 3 Provision for impairment of long-term financial assets | 213        |          |                          |                        |
| <b>II. Fixed assets</b>                                  | <b>220</b> |          | <b>3,716,595,643</b>     | <b>3,327,623,350</b>   |
| 1. Tangible fixed assets                                 | 221        |          | 2,552,281,127            | 2,022,683,834          |
| - Cost                                                   | 222        |          | 14,240,126,285           | 13,370,120,997         |
| - Accumulated depreciation (*)                           | 223a       |          | (11,687,845,158)         | (11,347,437,163)       |
| - Valuation of fixed assets at fair value                | 223b       |          |                          |                        |
| 2. Financial leased fixed assets                         | 224        |          |                          |                        |
| - Cost                                                   | 225        |          |                          |                        |
| - Accumulated amortization (*)                           | 226a       |          |                          |                        |
| - Valuation of fixed assets at fair value                | 226b       |          |                          |                        |
| 3. Intangible fixed assets                               | 227        |          | 1,164,314,516            | 1,304,939,516          |
| - Cost                                                   | 228        |          | 19,500,092,880           | 19,500,092,880         |
| - Accumulated depreciation (*)                           | 229a       |          | (18,335,778,364)         | (18,195,153,364)       |
| - Valuation of fixed assets at fair value                | 229b       |          |                          |                        |
| <b>III. Investment properties</b>                        | <b>230</b> |          | <b>0</b>                 | <b>0</b>               |
| - Cost                                                   | 231        |          |                          |                        |
| - Accumulated amortization (*)                           | 232a       |          |                          |                        |
| - Real investment properties valuation at fair value     | 232b       |          |                          |                        |
| <b>IV. Construction in progress</b>                      | <b>240</b> |          | <b>0</b>                 | <b>0</b>               |
| <b>V. Other long-term assets</b>                         | <b>250</b> |          | <b>10,101,817,722</b>    | <b>6,892,857,569</b>   |
| 1. Long-term deposits, collaterals and pledges           | 251        |          | 288,661,800              | 111,856,200            |
| 2. Long-term prepaid expenses                            | 252        |          | 3,557,382,740            | 1,212,298,465          |
| 3. Deferred income tax assets                            | 253        |          | 0                        | 0                      |
| 4. Deposits at Payment Support Fund                      | 254        |          | 6,255,773,182            | 5,568,702,904          |
| 5. Other long-term assets                                | 255        |          |                          |                        |
| 6. Goodwill                                              | 256        |          |                          |                        |
| <b>VI. Provision for impairment of long-term assets</b>  | <b>260</b> |          | <b>0</b>                 | <b>0</b>               |
| <b>TOTAL ASSETS (270 = 100 + 200)</b>                    | <b>270</b> |          | <b>2,616,068,642,323</b> | <b>401,523,512,705</b> |
|                                                          |            |          |                          |                        |
| Items                                                    | Code       | Note     | End of period            | Begin of the year      |
| <b>CAPITAL SOURCE</b>                                    |            |          |                          |                        |
| <b>A</b>                                                 | <b>B</b>   | <b>C</b> | <b>1</b>                 | <b>1</b>               |
| <b>C. LIABILITIES (300 = 310 + 340)</b>                  | <b>300</b> |          | <b>1,277,273,588,641</b> | <b>90,945,017,628</b>  |
| <b>I. Current liabilities</b>                            | <b>310</b> |          | <b>1,277,273,588,641</b> | <b>90,945,017,628</b>  |
| 1. Short-term borrowings and financial leases            | 311        |          | 1,260,000,000,000        | 80,000,000,000         |
| 1.1. Short-term borrowings                               | 312        |          | 1,260,000,000,000        | 80,000,000,000         |
| 1.2. Short-term financial leases                         | 313        |          |                          |                        |
| 2. Short-term financial asset borrowing                  | 314        |          |                          |                        |
| 3. Short-term convertible bonds - Debt component         | 315        |          |                          |                        |
| 4. Short-term bonds                                      | 316        |          |                          |                        |
| 5. Loan from Payment Support Fund                        | 317        |          |                          |                        |
| 6. Payable for securities trading activities             | 318        |          | 226,156,428              | 240,586,136            |
| 7. Returns on transaction errors of financial assets     | 319        |          | 0                        | 0                      |
| 8. Short-term payables to suppliers                      | 320        |          | 224,931,455              | 846,346,821            |
| 9. Short-term advances from customers                    | 321        |          | 0                        | 0                      |

| Items                                                  | Code       | Note | End of the period        | Begin of the year      |
|--------------------------------------------------------|------------|------|--------------------------|------------------------|
| 10. Taxation and Statutory obligation                  | 322        |      | 6,449,660,895            | 754,707,978            |
| 11. Payables to employees                              | 323        |      | 1,499,814,388            | 2,043,270,365          |
| 12. Employee benefit                                   | 324        |      | 148,939,959              | 120,335,903            |
| 13. Short-term accrued expenses                        | 325        |      | 2,929,041,094            | 31,726,028             |
| 14. Short-term internal payables                       | 326        |      | 0                        | 0                      |
| 15. Short-term unearned revenue                        | 327        |      | 0                        | 0                      |
| 16. Short-term collateral, deposits                    | 328        |      | 0                        | 0                      |
| 17. Other short-term payables and receivables          | 329        |      | 5,789,752,155            | 6,900,252,130          |
| 18. Short-term payables provision                      | 330        |      |                          |                        |
| 19. Welfare and reward fund                            | 331        |      | 5,292,267                | 7,792,267              |
| 20. Government bond repurchase transactions            | 332        |      |                          |                        |
| <b>II. Non-current liabilities</b>                     | <b>340</b> |      | <b>0</b>                 | <b>0</b>               |
| 1. Long-term borrowings and financial leases           | 341        |      |                          |                        |
| 1.1. Long-term borrowings                              | 342        |      |                          |                        |
| 1.2. Long-term financial lease                         | 343        |      |                          |                        |
| 2. Borrowing long-term financial assets                | 344        |      |                          |                        |
| 3. Long-term convertible bonds - Debt component        | 345        |      |                          |                        |
| 4. Long-term bond issuance                             | 346        |      |                          |                        |
| 5. Long-term payables to suppliers                     | 347        |      |                          |                        |
| 6. Long-term advances from customers                   | 348        |      |                          |                        |
| 7. Long-term accrued expenses                          | 349        |      |                          |                        |
| 8. Long-term internal payables                         | 350        |      |                          |                        |
| 9. Long-term unearned revenue                          | 351        |      |                          |                        |
| 10. Long-term collateral, deposits                     | 352        |      |                          |                        |
| 11. Other long-term payables and receivables           | 353        |      |                          |                        |
| 12. Long-term payables provision                       | 354        |      |                          |                        |
| 13. Compensation reserve for investors                 | 355        |      |                          |                        |
| 14. Deferred income tax payables                       | 356        |      |                          |                        |
| 15. Science and Technology Development Fund            | 357        |      |                          |                        |
| <b>D. OWNER'S EQUITY (400 = 410 + 420)</b>             | <b>400</b> |      | <b>1,338,795,053,682</b> | <b>310,578,495,077</b> |
| <b>I. Owners' equity</b>                               | <b>410</b> |      | <b>1,338,795,053,682</b> | <b>310,578,495,077</b> |
| 1. Share capital                                       | 411        |      | 1,291,713,900,000        | 291,763,900,000        |
| 1.1. Capital contribution                              | 411.1      |      | 1,291,810,960,000        | 291,810,960,000        |
| a. Common shares with voting rights                    | 411.1a     |      | 1,291,810,960,000        | 291,810,960,000        |
| b. Preferred stock                                     | 411.1b     |      |                          |                        |
| 1.2. Share premium                                     | 411.2      |      | (50,000,000)             |                        |
| 1.3. Bond conversion option - Capital component        | 411.3      |      |                          |                        |
| 1.4. Other owners' capital                             | 411.4      |      |                          |                        |
| 1.5. Treasury shares (*)                               | 411.5      |      | (47,060,000)             | (47,060,000)           |
| 2. Difference from revaluation of assets at fair value | 412        |      |                          |                        |
| 3. Exchange rate difference                            | 413        |      |                          |                        |
| 4. Reserve fund for additional charter capital         | 414        |      | 5,109,984,355            | 5,109,984,355          |
| 5. Financial reserve fund and operational risk         | 415        |      | 5,109,984,355            | 5,109,984,355          |
| 6. Other Equity Funds                                  | 416        |      |                          |                        |
| 7. Undistributed profit                                | 417        |      | 36,861,184,972           | 8,594,626,367          |
| 7.1. Realized profit                                   | 417.1      |      | 52,424,481,618           | 2,006,651,673          |
| 7.2. Unrealized profit                                 | 417.2      |      | (15,563,296,646)         | 6,587,974,694          |
| 8. Non-controlling shareholder interests               | 418        |      |                          |                        |

| Items                                                                                                                                                     | Code       | Note        | End of the period        | Begin of the year      |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-------------|--------------------------|------------------------|
| <b>II. Other funding sources and funds</b>                                                                                                                | <b>420</b> |             | <b>0</b>                 | <b>0</b>               |
| <b>TOTAL OWNER'S EQUITY</b>                                                                                                                               |            |             | <b>1,338,795,053,682</b> | <b>310,578,495,077</b> |
| <b>TOTAL LIABILITIES AND EQUITY</b>                                                                                                                       | <b>440</b> |             | <b>2,616,068,642,323</b> | <b>401,523,512,705</b> |
| <b>PROFITS DISTRIBUTED TO INVESTORS</b>                                                                                                                   | <b>450</b> |             | <b>0</b>                 | <b>0</b>               |
| 1. Profit distributed to Investors during the year                                                                                                        | 451        |             |                          |                        |
| <b>OFF BALANCE SHEET ITEMS</b>                                                                                                                            |            |             |                          |                        |
| ITEMS                                                                                                                                                     | Code       | Explanation | End of the period        | Begin of the year      |
| A                                                                                                                                                         | B          |             | 1                        | 2                      |
| <b>A. ASSETS OF THE COMPANY AND ASSETS MANAGED UNDER COMMITMENT</b>                                                                                       |            |             |                          |                        |
| 1. Outsourced fixed assets                                                                                                                                | 001        |             |                          |                        |
| 2. Valuable papers held on behalf                                                                                                                         | 002        |             |                          |                        |
| 3. Mortgaged assets                                                                                                                                       | 003        |             |                          |                        |
| 4. Bad debt written off                                                                                                                                   | 004        |             | 69,430,579,966           | 69,430,579,966         |
| 5. Foreign currencies                                                                                                                                     | 005        |             |                          |                        |
| 6. Outstanding shares                                                                                                                                     | 006        |             | 129,176,390              | 29,176,390             |
| 7. Treasury shares                                                                                                                                        | 007        |             | 4,706                    | 4,706                  |
| 8. Financial assets of the company listed/registered for trading at Vietnam Securities Depository and Clearing Corporation (VSDC) of securities companies | 008        |             | 35,057,770,000           | 35,034,810,000         |
| 9. Financial assets deposited at Vietnam Securities Depository and Clearing Corporation (VSDC) and not yet traded by securities companies                 | 009        |             |                          |                        |
| 10. Awaiting financial assets of the Company                                                                                                              | 010        |             |                          |                        |
| 11. Financial assets correct transaction errors of securities companies                                                                                   | 011        |             |                          |                        |
| 12. Financial assets which have not been deposited at Vietnam Securities Depository and Clearing Corporation (VSDC)                                       | 012        |             | 2,003,050,000,000        | 120,000,000,000        |
| 13. Entitled financial assets of the Company                                                                                                              | 013        |             |                          |                        |
| <b>B. ASSETS AND PAYABLES ON ASSETS MANAGED UNDER COMMITMENTS WITH CUSTOMERS</b>                                                                          |            |             |                          |                        |
| <i>Number of securities</i>                                                                                                                               |            |             |                          |                        |
| 1. Financial assets listed/registered for trading at VSDC of the Investor                                                                                 | 021        |             | 2,850,134,670,000        | 2,164,385,150,000      |
| a. Freely transferred and traded financial assets                                                                                                         | 021.1      |             | 2,780,813,150,000        | 2,142,823,370,000      |
| b. Financial assets restricted for transfer                                                                                                               | 021.2      |             | 24,816,820,000           | 19,260,110,000         |
| c. Pledged financial assets                                                                                                                               | 021.3      |             | 20,000,000,000           |                        |
| d. Blocked financial assets                                                                                                                               | 021.4      |             | 22,993,200,000           | 925,210,000            |
| e. Financial assets awaiting for settlement                                                                                                               | 021.5      |             | 1,511,500,000            | 1,376,460,000          |
| f. Financial assets awaiting lending                                                                                                                      | 021.6      |             |                          |                        |
| 2. Financial assets of investors custodied at VSDC and not yet traded                                                                                     | 022        |             | 0                        | 0                      |
| a. Financial assets deposited at VSDC and not traded, freely                                                                                              | 022.1      |             |                          |                        |
| b. Financial assets deposited at VSDC and not traded and restricted for                                                                                   | 022.2      |             |                          |                        |
| c. Financial assets deposited at VSDC and not yet traded or pledged                                                                                       | 022.3      |             |                          |                        |
| d. Financial assets deposited at VSDC and not yet traded, blocked, or temporarily held                                                                    | 022.4      |             |                          |                        |
| 3. Investors' financial assets awaiting settlement of investors                                                                                           | 023        |             |                          |                        |
| 4. Financial assets correct Investor's transaction errors                                                                                                 | 024.a      |             |                          |                        |

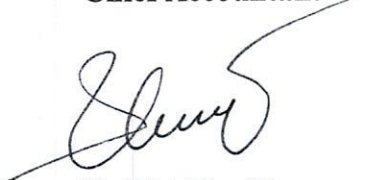
| Items                                                                                                   | Code  | Note | End of the period | Begin of the year |
|---------------------------------------------------------------------------------------------------------|-------|------|-------------------|-------------------|
| 5. Financial assets not deposited at VSDC of Investors                                                  | 024.b |      |                   |                   |
| 6. Financial assets entitled to the rights of the Investor                                              | 025   |      |                   |                   |
| <i>Vietnamese Dong</i>                                                                                  |       |      |                   |                   |
| 7. Deposits of customer                                                                                 | 026   |      | 73,946,471,429    | 97,631,008,297    |
| 7.1. Deposits for securities brokerage activities                                                       | 027   |      | 71,477,160,860    | 93,734,053,332    |
| 7.2. Deposit for securities trading for customers                                                       | 028   |      |                   |                   |
| 7.3. Securities transaction clearing and settlement deposits                                            | 029   |      | 604,139,606       | 1,886,445,039     |
| a. Deposits for clearing and payment of securities transactions of domestic investors                   | 029.1 |      | 478,030,551       | 1,885,154,206     |
| b. Deposits Deposits for clearing and payment of securities transactions of foreign investors           | 029.2 |      | 126,109,055       | 1,290,833         |
| 7.4. Deposits of Securities Issuers                                                                     | 030   |      | 1,865,170,963     | 2,010,509,926     |
| 8. Payable to investors on deposits for securities transactions managed by the Company                  | 031   |      | 72,081,300,466    | 95,620,498,371    |
| 8.1. Payables to domestic investors on deposits for securities                                          | 031.1 |      | 71,955,191,411    | 95,619,207,538    |
| 8.2. Payable to foreign investors on deposits for securities transactions managed by the Company        | 031.2 |      | 126,109,055       | 1,290,833         |
| 9. Payable to investors for securities transaction deposits under the Commercial Bank management method | 032   |      |                   |                   |
| 10. Payable to Securities Issuers                                                                       | 033   |      |                   |                   |
| 11. Receivables/Payables from customers for errors in transactions of financial assets                  | 034   |      |                   |                   |
| 12. Payables on dividends, principals and interest of bond                                              | 035   |      | 1,865,170,963     | 2,010,509,926     |

**Preparer**



**Nguyen Thu Hang**

**Chief Accountant**



**Vu Thi Thu Huyen**

*Hai Phong, October 20, 2026*  
**General Director**



**Ninh Le Son Hai**

## SEPARATE INCOME STATEMENT

Quarter 3 - 2026

Unit: VND

| ITEMS                                                                                                                            | CODE | Notes | Quarter               |                       | Accumulated            |                       |
|----------------------------------------------------------------------------------------------------------------------------------|------|-------|-----------------------|-----------------------|------------------------|-----------------------|
|                                                                                                                                  |      |       | Q3.2026               | Q3.2025               | Current year           | Previous year         |
| A                                                                                                                                | B    | C     |                       |                       |                        |                       |
| <b>I. OPERATING INCOME</b>                                                                                                       |      |       |                       |                       |                        |                       |
| 1.1. Gain from financial assets measured at fair value through profit or loss (FVTPL)                                            | 01   |       | 3,356,021,208         | 561,649,473           | 25,051,763,023         | 47,038,698,020        |
| a. Gain from disposal of financial assets at FVTPL                                                                               | 01.1 |       | 2,584,160,097         | 561,000,020           | 18,279,231,452         | 40,042,015,267        |
| b. Gain from revaluation of financial assets at FVTPL                                                                            | 01.2 |       | 594,461,111           | 649,453               | 6,379,151,171          | 6,996,678,753         |
| c. Dividend, interest income from financial assets at FVTPL                                                                      | 01.3 |       | 177,400,000           |                       | 393,380,400            | 4,000                 |
| 1.2. Gain from Held-to-maturity (HTM) investments                                                                                | 02   |       | 36,579,973,689        |                       | 71,535,853,600         |                       |
| 1.3. Gain from loans and receivable                                                                                              | 03   |       | 11,293,648,689        | 3,534,536,805         | 23,538,425,713         | 9,420,434,537         |
| 1.4. Gain from available-for-sale (AFS)                                                                                          | 04   |       |                       |                       |                        | 1,000,000,000         |
| 1.5. Gains from hedging derivatives                                                                                              | 05   |       |                       |                       |                        |                       |
| 1.6. Revenue from brokerage services                                                                                             | 06   |       | 2,868,416,595         | 4,843,443,589         | 8,852,631,763          | 8,705,500,554         |
| 1.7. Revenue from underwriting and issuance agency services                                                                      | 07   |       |                       |                       |                        |                       |
| 1.8. Revenue from securities investment advisory services                                                                        | 08   |       |                       |                       |                        |                       |
| 1.09. Revenue from securities custodian services                                                                                 | 09   |       | 307,030,135           | 258,540,137           | 822,584,297            | 812,765,496           |
| 1.10. Revenue from financial advisory services                                                                                   | 10   |       | 4,250,000             | 90,909,091            | 46,850,000             | 1,020,018,181         |
| 1.11. Revenue from other operating activities                                                                                    | 11   |       | 29,800,907            | 31,164,546            | 93,960,901             | 61,698,377            |
| <b>Total operating revenue (20 = 01&gt;11)</b>                                                                                   | 20   |       | <b>54,439,141,223</b> | <b>9,320,243,641</b>  | <b>129,942,069,297</b> | <b>68,059,115,165</b> |
| <b>II. OPERATING EXPENSES</b>                                                                                                    |      |       |                       |                       |                        |                       |
| 2.1. Loss from financial assets at fair value through profit or loss (FVTPL)                                                     | 21   |       | 13,920,398,956        | 6,975,588,325         | 28,987,660,990         | 7,013,077,850         |
| a. Loss from disposal of financial assets at FVTPL                                                                               | 21.1 |       | 173,240,000           | 12,360,000            | 1,524,720,000          | 12,360,000            |
| b. Loss from revaluation of financial assets at FVTPL                                                                            | 21.2 |       | 13,526,076,100        | 6,944,411,923         | 26,923,599,511         | 6,975,705,800         |
| c. Transaction costs for purchasing financial assets at FVTPL                                                                    | 21.3 |       | 221,082,856           | 18,816,402            | 539,341,479            | 25,012,050            |
| 2.2. Loss from Held-to-maturity (HTM) investments                                                                                | 22   |       |                       |                       |                        |                       |
| 2.3. Loss and recognition of the revaluation difference on available-for-sale (AFS) financial assets upon reclassification       | 23   |       | 1,606,823,000         |                       | 1,606,823,000          |                       |
| 2.4. Provision expense for diminution in value and impairment of financial assets and doubtful debt and borrowing costs of loans | 24   |       |                       |                       |                        |                       |
| 2.5. Loss from hedging derivatives                                                                                               | 25   |       |                       |                       |                        |                       |
| 2.6. Expense for proprietary trading activities                                                                                  | 26   |       | 154,160,836           | 165,608,399           | 206,004,195            | 687,831,834           |
| 2.7. Expense for brokerage services                                                                                              | 27   |       | 4,107,339,123         | 3,019,280,320         | 10,929,475,304         | 7,947,135,863         |
| 2.8. Expense for underwriting and issuance agency services                                                                       | 28   |       |                       |                       |                        |                       |
| 2.9. Expense for securities investment advisory services                                                                         | 29   |       |                       |                       |                        |                       |
| 2.10. Expense for securities custodian services                                                                                  | 30   |       | 183,432,873           | 194,400,878           | 551,657,866            | 601,984,346           |
| 2.11. Expense for financial advisory services                                                                                    | 31   |       | 228,000,280           | 262,738,864           | 661,797,067            | 1,402,504,468         |
| 2.12. Other operating expenses                                                                                                   | 32   |       | 2,340,082             |                       | 2,340,082              |                       |
| <b>Total operating expenses (40 = 21-&gt;32)</b>                                                                                 | 40   |       | <b>20,202,495,150</b> | <b>10,617,616,786</b> | <b>42,945,758,504</b>  | <b>17,652,534,361</b> |
| <b>III. FINANCIAL INCOME</b>                                                                                                     |      |       |                       |                       |                        |                       |
| 3.1. Realized and unrealized gain from changes in foreign exchange rates                                                         | 41   |       |                       |                       |                        |                       |
| 3.2. Revenue, dividend receivable, interest income from non-fixed term deposits                                                  | 42   |       | 77,750,664            | 59,735,687            | 499,443,666            | 379,116,891           |

| ITEMS                                                                                        | CODE       | Notes | Quarter               |                        | Accumulated           |                       |
|----------------------------------------------------------------------------------------------|------------|-------|-----------------------|------------------------|-----------------------|-----------------------|
|                                                                                              |            |       | Q3.2026               | Q3.2025                | Current year          | Previous year         |
| 3.3. Gain on sale or disposal of investments in subsidiaries, associates, and joint ventures | 43         |       |                       |                        |                       |                       |
| 3.4. Other investment incomes                                                                | 44         |       |                       |                        |                       |                       |
| <b>Total financial income (50 = 41-&gt;44)</b>                                               | <b>50</b>  |       | <b>77,750,664</b>     | <b>59,735,687</b>      | <b>499,443,666</b>    | <b>379,116,891</b>    |
| <b>IV. FINANCIAL EXPENSES</b>                                                                |            |       |                       |                        |                       |                       |
| 4.1. Realized and unrealized loss from changes in foreign exchange rates                     | 51         |       |                       |                        |                       |                       |
| 4.2. Borrowing costs                                                                         | 52         |       | 20,193,863,009        | 163,472,866            | 33,230,986,295        | 1,311,061,873         |
| 4.3. Loss on sale or disposal of investments in subsidiaries, associates, and joint ventures | 53         |       |                       |                        |                       |                       |
| 4.4. Impairment loss provision for long-term financial investments                           | 54         |       |                       |                        |                       |                       |
| 4.5. Other financial expenses                                                                | 55         |       |                       |                        |                       |                       |
| 5. Profit or loss in associates and joint ventures                                           | 56         |       |                       |                        |                       |                       |
| <b>Total financial expenses (60 = 51-&gt;56)</b>                                             | <b>60</b>  |       | <b>20,193,863,009</b> | <b>163,472,866</b>     | <b>33,230,986,295</b> | <b>1,311,061,873</b>  |
| <b>V. SELLING EXPENSES</b>                                                                   |            |       |                       |                        |                       |                       |
| 61                                                                                           | 61         |       |                       |                        |                       |                       |
| <b>VI. GENERAL AND ADMINISTRATIVE EXPENSES</b>                                               |            |       |                       |                        |                       |                       |
| 62                                                                                           | 62         |       | 5,716,588,464         | 4,398,337,022          | 15,877,329,867        | 12,556,019,047        |
| <b>VII. OPERATING PROFIT (70= 20+50-40-60-61-62)</b>                                         | <b>70</b>  |       | <b>8,403,945,264</b>  | <b>(5,799,447,346)</b> | <b>38,387,438,297</b> | <b>36,918,616,775</b> |
| <b>VIII. OTHER INCOME AND EXPENSES</b>                                                       |            |       |                       |                        |                       |                       |
| 8.1. Other income                                                                            | 71         |       | 322,483               | 10,830,000             | 1,016,123             | 326,956,168           |
| 8.2. Other expenses                                                                          | 72         |       |                       |                        |                       | 1,630,765             |
| <b>Total other operating profit (80= 71-72)</b>                                              | <b>80</b>  |       | <b>322,483</b>        | <b>10,830,000</b>      | <b>1,016,123</b>      | <b>325,325,403</b>    |
| <b>IX. PROFIT BEFORE TAX (90=70 + 80)</b>                                                    | <b>90</b>  |       | <b>8,404,267,747</b>  | <b>(5,788,617,346)</b> | <b>38,388,454,420</b> | <b>37,243,942,178</b> |
| 9.1. Realized profit                                                                         | 91         |       | 22,942,705,736        | 1,155,145,124          | 60,539,725,760        | 37,222,969,225        |
| 9.2. Unrealized profit                                                                       | 92         |       | (14,538,437,989)      | (6,943,762,470)        | (22,151,271,340)      | 20,972,953            |
| <b>X. CORPORATE INCOME TAX (CIT) EXPENSES</b>                                                |            |       |                       |                        |                       |                       |
| 100                                                                                          | 100        |       | 4,724,970,256         |                        | 10,121,895,815        |                       |
| 10.1. Current CIT expense                                                                    | 100.1      |       | 4,724,970,256         |                        | 10,121,895,815        |                       |
| 10.2. Deferred CIT expense                                                                   | 100.2      |       |                       |                        |                       |                       |
| <b>XI. PROFIT AFTER TAX (200 = 90 - 100)</b>                                                 | <b>200</b> |       | <b>3,679,297,491</b>  | <b>(5,788,617,346)</b> | <b>28,266,558,605</b> | <b>37,243,942,178</b> |
| 11.1. Net income attributable to owners of the parent                                        | 201        |       | 3,679,297,491         | (5,788,617,346)        | 28,266,558,605        | 37,243,942,178        |
| 11.2. Profit after tax appropriated to reserves                                              | 202        |       |                       |                        |                       |                       |
| 11.3. Profit after tax allocated to reserves                                                 | 203        |       |                       |                        |                       |                       |
| <b>XII. Other comprehensive income (loss) after corporate income tax</b>                     |            |       |                       |                        |                       |                       |
| Total comprehensive income                                                                   | 400        |       |                       |                        |                       |                       |
| <b>XIII. Basic earnings per share (EPS)</b>                                                  |            |       |                       |                        |                       |                       |
| 13.1. Basic earnings per share                                                               | 501        |       | 28.48                 |                        | 236.96                | 1,276.51              |
| 13.2. Diluted earnings per share                                                             | 502        |       |                       |                        |                       |                       |

Hai Phong, October 20, 2026

Preparer

Chief Accountant

General Director

Nguyen Thu Hang

Vu Thi Thu Huyen

Ninh Le Son Hai



**SEPARATE STATEMENT OF CASH FLOW***(Indirect method)**Quarter 3 - 2026*

Unit: VND

| ITEMS                                                                                                                                   | Codes | Notes | Accumulated         |                  |
|-----------------------------------------------------------------------------------------------------------------------------------------|-------|-------|---------------------|------------------|
|                                                                                                                                         |       |       | Current year        | Previous year    |
| 1                                                                                                                                       | 2     | 3     | 4                   | 5                |
| <b>I. Cash flows from operating activities</b>                                                                                          |       |       |                     |                  |
| <b>1. Profit before tax</b>                                                                                                             | 1     |       | 38,388,454,420      | 37,243,942,178   |
| <b>2. Adjustments for:</b>                                                                                                              | 2     |       | (10,259,637,269)    | (20,443,996)     |
| - Depreciation and amortization expense                                                                                                 | 3     |       | 511,144,109         | 448,641,720      |
| - Provisions                                                                                                                            | 4     |       | 0                   | (185,722,618)    |
| Unrealized (gain)/loss from exchange                                                                                                    | 5     |       |                     |                  |
| -Interest expenses                                                                                                                      | 6     |       | 33,230,986,301      | 1,311,061,873    |
| -Gain/Loss from investment activities                                                                                                   | 7     |       | (499,443,666)       | (379,116,891)    |
| - Accrued interest income                                                                                                               | 8     |       | (43,502,324,013)    | (1,215,308,080)  |
| - Other adjustments                                                                                                                     | 9     |       |                     |                  |
| <b>3. Increase in non-monetary income</b>                                                                                               | 10    |       | 28,530,422,511      | 6,975,705,800    |
| - Loss from revaluation of financial assets at FVTPL                                                                                    | 11    |       | 26,923,596,511      | 6,975,705,800    |
| -Loss from held-to-maturity (HTM) investments                                                                                           | 12    |       |                     |                  |
| - Loss on impairment of loans                                                                                                           | 13    |       |                     |                  |
| - Loss on recognition of difference in valuation based on fair value of available-for-sale AFS when reclassified                        | 14    |       | 1,606,826,000       |                  |
| - Decrease in value of fixed assets, investment real estate                                                                             | 15    |       |                     |                  |
| - Provision for impairment of long-term financial investments                                                                           | 16    |       |                     |                  |
| - Other loss                                                                                                                            | 17    |       |                     |                  |
| <b>4. Decrease in non-monetary income</b>                                                                                               | 18    |       | (6,379,151,171)     | (6,996,678,753)  |
| - Gain from revaluation of financial assets at FVTPL                                                                                    | 19    |       | (6,379,151,171)     | (6,996,678,753)  |
| - Gain on recognition of difference in valuation based on fair value of available-for-sale (AFS) financial assets upon reclassification | 20    |       |                     |                  |
| - Other gains                                                                                                                           | 21    |       |                     |                  |
| <b>5. Operating profit before changes in working capital</b>                                                                            | 30    |       | (2,339,372,110,303) | (47,024,385,231) |
| - Increase (Decrease) in financial assets at FVTPL                                                                                      | 31    |       | (454,503,999,225)   | 40,446,419,753   |
| - Increase (Decrease) in HTM investments                                                                                                | 32    |       | (1,400,000,000,000) |                  |
| - Increase (Decrease) in loans                                                                                                          | 33    |       | (279,732,701,840)   | (21,862,795,482) |
| - Increase (Decrease) in AFS financial assets                                                                                           | 34    |       | (21,393,177,000)    | 54,000,000,000   |
| - Increase (Decrease) in receivables from disposal of financial assets                                                                  | 35    |       |                     |                  |
| (-) Increase, (+) decrease in receivables and accrued dividends and interest on financial assets                                        | 36    |       | (42,069,028,664)    | 269,919,485      |
| - Increase (Decrease) in receivable from services provided by the company                                                               | 37    |       | (354,884)           | 414,702,564      |
| (-) Increase, (+) decrease receivables for transaction errors of financial assets                                                       | 38    |       | 0                   | 0                |
| - Increase (Decrease) in other receivables                                                                                              | 39    |       | (26,039,490)        | 43,287,125       |
| - Increase (Decrease) in other assets                                                                                                   | 40    |       | (91,548,060,385)    | (17,563,295,043) |
| -Increase (Decrease) in payable expenses (excluding interest expenses)                                                                  | 41    |       |                     | (731,267,397)    |
| -Increase (Decrease) prepaid expenses                                                                                                   | 42    |       | (2,882,337,338)     | 768,597,263      |
| (-) Current income tax paid                                                                                                             | 43    |       | (3,750,000,000)     | -                |
| (-) Interest expenses paid                                                                                                              | 44    |       | (30,333,671,235)    | (1,311,061,873)  |

| ITEMS                                                                                                       | Codes      | Notes | Accumulated                |                        |
|-------------------------------------------------------------------------------------------------------------|------------|-------|----------------------------|------------------------|
|                                                                                                             |            |       | Current year               | Previous year          |
| - Increase (Decrease) in trade payables                                                                     | 45         |       | (1,933,629,829)            | (100,360,357,265)      |
| - Increase (Decrease) in welfare benefits                                                                   | 46         |       | 28,604,056                 | 111,302,275            |
| - Increase (Decrease) in statutory obligations (Excluding corporate income tax paid)                        | 47         |       | (9,444,952,917)            | (377,764,482)          |
| - Increase (Decrease) in payables to employees                                                              | 48         |       | (543,455,977)              | (732,405,480)          |
| - Increase (Decrease) must return transaction errors of TSTC                                                | 49         |       |                            |                        |
| - Increase (Decrease) in other payables                                                                     | 50         |       | (1,110,499,975)            | (153,666,674)          |
| -Other receipts from operating activities                                                                   | 51         |       | -                          |                        |
| -Other payments for operating activities                                                                    | 52         |       | (128,805,600)              | 14,000,000             |
| <b>Net cash flow from operating activities</b>                                                              | <b>60</b>  |       | <b>(2,289,092,021,812)</b> | <b>(9,821,860,002)</b> |
| <b>II. CASH FLOWS FROM INVESTING ACTIVITIES</b>                                                             |            |       |                            |                        |
| 1. Purchase and construction of fixed assets, investment properties and other long-term assets              | 61         |       | (900,116,402)              |                        |
| 2. Proceeds from disposal and sale of fixed assets, investment properties and other long-term assets        | 62         |       |                            |                        |
| 3. Cash payments for investment in subsidiaries, associates, joint ventures and other investments           | 63         |       |                            |                        |
| 4. Cash receipt from capital withdrawal from subsidiaries, associates, joint ventures and other investments | 64         |       |                            |                        |
| 5. Dividends and interest from long-term investments received                                               | 65         |       | 655,926,262                | 379,116,891            |
| <b>Net cash flow from investing activities</b>                                                              | <b>70</b>  |       | <b>(244,190,140)</b>       | <b>379,116,891</b>     |
| <b>III. NET CASH FLOW FROM FINANCING ACTIVITIES</b>                                                         |            |       |                            |                        |
| 1. Cash receipt from issuance of shares, or capital contributed by shareholders                             | 71         |       | 999,950,000,000            |                        |
| 2. Cash paid to owners for capital contributions and repurchase of issued shares                            | 72         |       |                            |                        |
| 3. Drawdown of borrowings                                                                                   | 73         |       | 2,030,000,000,000          | 104,600,000,000        |
| 3.1. Payment Support Fund Loan                                                                              | 73.1       |       | 0                          | 0                      |
| 3.2. Other borrowings                                                                                       | 73.2       |       | 2,030,000,000,000          | 104,600,000,000        |
| 4. Repayment of borrowings                                                                                  | 74         |       | (850,000,000,000)          | (53,900,000,000)       |
| 4.1. Principal payment from Payment Support Fund                                                            | 74.1       |       |                            |                        |
| 4.2. Payment of principal of financial asset loan                                                           | 74.2       |       |                            |                        |
| 4.3. Other repayment of borrowings                                                                          | 74.3       |       | (850,000,000,000)          | (53,900,000,000)       |
| 5. Payment of principal of financial lease                                                                  | 75         |       |                            |                        |
| 6. Dividends and profits paid to owners                                                                     | 76         |       | (39,675,420)               | (75,666,060)           |
| <b>Net cash flow from financing activities</b>                                                              | <b>80</b>  |       | <b>2,179,910,324,580</b>   | <b>50,624,333,940</b>  |
| <b>IV. Net increase/decrease in cash during the period</b>                                                  | <b>90</b>  |       | <b>(109,425,887,372)</b>   | <b>41,181,590,829</b>  |
| <b>V. Cash and cash equivalents at the beginning of the year</b>                                            | <b>101</b> |       | <b>147,451,440,806</b>     | <b>69,082,052,156</b>  |
| -Cash                                                                                                       | 101.1      |       | 27,451,440,806             | 49,082,052,156         |
| - Cash equivalents                                                                                          | 101.2      |       | 120,000,000,000            | 20,000,000,000         |
| Impact of changes in foreign exchange rates                                                                 | 102        |       |                            |                        |
| <b>VI. Cash and cash equivalents at the end of the year</b>                                                 | <b>103</b> |       | <b>38,025,553,434</b>      | <b>110,263,642,985</b> |
| -Cash                                                                                                       | 103.1      |       | 38,025,553,434             | 60,263,642,985         |
| - Cash equivalents                                                                                          | 103.2      |       |                            | 50,000,000,000         |
| Impact of changes in foreign exchange rates                                                                 | 104        |       |                            |                        |

| ITEMS                                                                          | Codes | Notes | Accumulated         |                     |
|--------------------------------------------------------------------------------|-------|-------|---------------------|---------------------|
|                                                                                |       |       | Current year        | Previous year       |
| CASH FLOWS FROM BROKERAGE AND TRUST ACTIVITIES OF THE CUSTOMERS                |       |       |                     |                     |
| ITEMS                                                                          | CODE  | NOTES | Current year        | Previous year       |
| A                                                                              | B     | C     | 1                   | 2                   |
| I. Cash flow from brokerage and trust activities of the customers              |       |       |                     |                     |
| 1. Cash receipts from disposal of brokerage securities of customers            | 1     |       | 3,215,641,064,996   | 1,477,512,719,340   |
| 2. Cash payment for acquisition of brokerage securities of customers           | 2     |       | (3,407,626,784,681) | (1,491,268,814,830) |
| 3. Proceeds from sale of customer's entrusted securities                       | 3     |       |                     |                     |
| 4. Money spent on selling customer's entrusted securities                      | 4     |       |                     |                     |
| 5. Payment Support Fund Loan Collection                                        | 5     |       |                     |                     |
| 6. Payment Support Fund Loan Payment Payment Support Fund                      | 6     |       |                     |                     |
| 7. Cash receipts for settlement of securities of customers                     | 7     |       | 169,267,456,205     | 65,634,254,622      |
| 8. Cash payments for securities transactions of customers                      | 8     |       |                     |                     |
| 9. Receive deposits from investors for customers' investment trust activities  | 9     |       |                     |                     |
| 10. Payment for customer investment trust activities                           | 10    |       |                     |                     |
| 11. Cash payments for custodian fees of customers                              | 11    |       | (820,934,425)       | (812,765,496)       |
| 12. Collect stock transaction errors                                           | 12    |       |                     |                     |
| 13. Securities transaction error                                               | 13    |       |                     |                     |
| 14. Cash receipt from securities issuers                                       | 14    |       | 2,172,127,346       | 108,445,823,950     |
| 15. Cash payment to securities issuers                                         | 15    |       | (2,317,466,309)     | (108,410,970,899)   |
| Net increase/decrease in cash during the period                                | 20    |       | (23,684,536,868)    | 51,100,246,687      |
| II. Cash and cash equivalents of customers at the beginning of the year        | 30    |       | 97,631,008,297      | 82,709,619,704      |
| Cash at banks at the beginning of the year                                     | 31    |       | 97,631,008,297      | 82,709,619,704      |
| - Investors' deposits managed by the company for securities trading activities | 32    |       | 93,734,053,332      | 80,593,635,630      |
| Including maturities                                                           |       |       |                     |                     |
| - Investors' synthesizing deposits for securities trading activities           | 33    |       |                     |                     |
| -Deposits for clearing and settlement of securities transactions               | 34    |       | 1,886,445,039       | 127,320,655         |
| - Deposits of securities issuers                                               | 35    |       | 2,010,509,926       | 1,988,663,419       |
| Including maturities                                                           |       |       |                     |                     |
| Cash equivalents                                                               | 36    |       |                     |                     |
| Impact of foreign exchange rate changes on foreign currency conversion         | 37    |       |                     |                     |
| III.Cash and cash equivalents of customers at the end of the year              | 40    |       | 73,946,471,429      | 133,809,866,391     |
| Cash at banks at the end of the year                                           | 41    |       | 73,946,471,429      | 133,809,866,391     |
| - Investors' deposits managed by the company for securities trading activities | 42    |       | 71,477,160,860      | 122,054,923,068     |
| Including maturities                                                           |       |       |                     |                     |
| - Investors' synthesizing deposits for securities trading activities           | 43    |       |                     |                     |
| -Deposits for clearing and settlement of securities transactions               | 44    |       | 604,139,606         | 9,731,426,853       |
| - Deposits of securities issuers                                               | 45    |       | 1,865,170,963       | 2,023,516,470       |
| Including maturities                                                           |       |       |                     |                     |
| Cash equivalents                                                               | 46    |       |                     |                     |
| Impact of changes in foreign exchange rates                                    | 47    |       |                     |                     |

Preparer

Chief Accountant

Hai Phong, October 20, 2026

General Director

Nguyen Thu Hang

Vu Thi Thu Huyen



Ninh Le Son Hai

SEPARATE STATEMENT OF CHANGES IN OWNERS' EQUITY

Quarter 3 - 2026

Unit: VND

| ITEMS                                                                          | Notes | Opening balance        |                          | Increase/Decrease      |          |                       |                       | Ending Balance         |                          |
|--------------------------------------------------------------------------------|-------|------------------------|--------------------------|------------------------|----------|-----------------------|-----------------------|------------------------|--------------------------|
|                                                                                |       | Q3/2025                | Q3/2026                  | Q3/2025                |          | Q3/2026               |                       | Q3/2025                | Q3/2026                  |
|                                                                                |       |                        |                          | Increase               | Decrease | Increase              | Decrease              |                        |                          |
| A                                                                              | B     | 1                      | 2                        | 3                      | 4        | 5                     | 6                     | 7                      | 8                        |
| <b>I. CHANGES IN OWNERS' EQUITY</b>                                            |       |                        |                          |                        |          |                       |                       |                        |                          |
| 1. Charter capital                                                             |       | 291,810,960,000        | 1,291,760,960,000        |                        |          | -                     | -                     | 291,810,960,000        | 1,291,760,960,000        |
| 1.1. Common shares with voting rights                                          |       | 291,810,960,000        | 1,291,810,960,000        |                        |          |                       |                       | 291,810,960,000        | 1,291,810,960,000        |
| 1.2. Preferred stock                                                           |       |                        | -                        |                        |          |                       |                       |                        |                          |
| 1.3 Share premium                                                              |       |                        | (50,000,000)             |                        |          |                       |                       |                        | (50,000,000)             |
| 1.4. Bond conversion option - Capital component                                |       |                        |                          |                        |          |                       |                       |                        |                          |
| 1.5. Other owners' capital                                                     |       |                        |                          |                        |          |                       |                       |                        |                          |
| 2. Treasury shares (*)                                                         |       | (47,060,000)           | (47,060,000)             |                        |          |                       |                       | (47,060,000)           | (47,060,000)             |
| 3. Reserve fund for additional charter capital                                 |       | 5,109,984,355          | 5,109,984,355            |                        |          |                       |                       | 5,109,984,355          | 5,109,984,355            |
| 4. Financial reserve fund and operational risk                                 |       | 5,109,984,355          | 5,109,984,355            |                        |          |                       |                       | 5,109,984,355          | 5,109,984,355            |
| 5. Difference from revaluation of assets at fair value                         |       |                        |                          |                        |          |                       |                       |                        |                          |
| 6. Exchange rate difference                                                    |       |                        |                          |                        |          |                       |                       |                        |                          |
| 7. Other Equity Funds                                                          |       |                        |                          |                        |          |                       |                       |                        |                          |
| 8. Undistributed profit                                                        |       | 6,739,804,064          | 33,181,887,481           | (5,788,617,346)        |          | 18,217,735,480        | 14,538,437,989        | 951,186,718            | 36,861,184,972           |
| 8.1. Realized profit                                                           |       | (194,624,400)          | 34,206,746,138           | 1,155,145,124          |          | 18,217,735,480        |                       | 960,520,724            | 52,424,481,618           |
| 8.2. Unrealized profit                                                         |       | 6,934,428,464          | (1,024,858,657)          | (6,943,762,470)        |          |                       | 14,538,437,989        | (9,334,006)            | (15,563,296,646)         |
| <b>TOTAL</b>                                                                   |       | <b>308,723,672,774</b> | <b>1,335,115,756,191</b> | <b>(5,788,617,346)</b> |          | <b>18,217,735,480</b> | <b>14,538,437,989</b> | <b>302,935,055,428</b> | <b>1,338,795,053,682</b> |
| <b>II. Other Comprehensive Income</b>                                          |       |                        |                          |                        |          |                       |                       |                        |                          |
| 1. Gain/loss from the revaluation of available-for-sale financial assets       |       |                        |                          |                        |          |                       |                       |                        |                          |
| 2. Gains or losses from revaluation of fixed assets under the fair value model |       |                        |                          |                        |          |                       |                       |                        |                          |
| 3. Foreign exchange gains or losses from foreign operations                    |       |                        |                          |                        |          |                       |                       |                        |                          |
| 4. Other comprehensive gain/loss                                               |       |                        |                          |                        |          |                       |                       |                        |                          |
| <b>TOTAL</b>                                                                   |       |                        |                          |                        |          |                       |                       |                        |                          |

Preparer



Nguyen Thu Hang

Chief Accountant

  
Vu Thi Thu Huyen

Hai Phong, October 20, 2026

General Director



Ninh Le Son Hai

## **NOTES TO SEPARATE FINANCIAL STATEMENTS**

**As of September 30, 2026**

### **1. Characteristics of securities company operations**

- 1.1. Certificate of establishment and operation of securities company: No. 119/GP-UBCK dated November 23, 2015
- 1.2. Contact Totalress of the Securities Company: No. 7, Lot 28A Le Hong Phong, Gia Vien Ward, Hai Phong City
- 1.3. Securities Company Charter issued: September 12, 2015, 6th revision: Mar 06, 2026
- 1.4. Main characteristics of securities company operations
  - Securities company capital size: 1,291,810,960,000 VND
  - Investment objective:
  - Investment restrictions of securities companies:.
  - Securities Company Structure:

List of affiliated units without legal status and dependent accounting:

- Hai Phong Securities Joint Stock Company - Ho Chi Minh City Branch
- Hai Phong Securities Joint Stock Company - Hanoi Branch

### **2. Accounting period, currency used in accounting:**

#### **2.1. Accounting period:**

- a. The annual financial year of a securities company begins on January 1 and ends on December 31.
- b. The first fiscal year starts from November 23, 2015 on which the Certificate of Establishment of the Securities Company is issued and ends on December 31, 2015.

#### **2.2. Currency used in accounting: Vietnamese Dong.**

### **3. Applicable Accounting Standards and Regimes**

3.1. Applicable accounting regime: Securities Company accounting regime issued according to Circular No. 210/2014/TT-BTC dated December 30, 2014 of the Ministry of Finance and Circular No. 334/2016/TT-BTC dated December 27, 2016 of the Ministry of Finance, supplementing, and replacing Appendix 02 and Appendix 04 of Circular No. 210/2014/TT-BTC.

3.2. Declaration on compliance with Accounting Standards and Accounting Regime: Securities companies shall perform accounting on the basis of compliance with relevant Vietnamese Accounting Standards and Securities Companies' Accounting Regime issued under Circular No. 210/2014/TT-BTC dated December 30, 2014 of the Ministry of Finance and Circular No. 334/2016/TT-BTC dated December 27, 2016 of the Ministry of Finance

### **4. Applicable accounting policies**

#### **4.1. Principles of recording cash and cash equivalents**

##### **4.1.1. Recording capital in cash:**

- a. Securities company's operating deposits:
- b. Deposits for sale of underwritten securities:
- c. Deposits for clearing and settlement of securities transactions

##### **4.1.2. Method of converting other currencies into the currency used in accounting:**

#### **4.2. Principles and methods of accounting for financial assets recognized through profit and loss, investments held to maturity, loans and receivables, available-for-sale financial assets, financial liabilities**

4.2.1. Principles for classifying financial assets and financial liabilities in the Investment Portfolio of Securities Companies (in compliance with Accounting Standards, Accounting Regimes and current regulations on Securities

##### **4.2.1.1 Principles of financial asset classification: (FVTPL, HTM, Loans, AFS)**

4.2.1.2 Principles for classifying financial debts: (Loans, financial asset loans, convertible bonds, issued bonds, financial asset tax debts, payables to sellers, payables arising from securities trading activities)

*4.2.2. Principles of recognition and accounting methods for recording the revaluation value of investments at market price or fair value (in case there is no market value) (in compliance with current regulations of securities law) or original price.*

*4.2.2.1. For Stocks*

*4.2.2.2. For listed bonds*

*4.2.2.3. For unlisted bonds:*

*4.2.2.4. For money market instruments:*

*In there:*

*- Fixed term deposits:*

*4.2.2.5. For derivative investments:*

*4.2.2.6. For loan investments:*

*4.2.2.7. For mortgaged investments:*

*4.2.2.7. For other investments:*

*4.2.3. Principle of offsetting financial assets and financial liabilities.*

*4.2.4. Principles for stopping the recognition of financial assets and financial liabilities*

*4.2.5. Principles of recognition and presentation of provisions for impairment of financial assets*

*4.2.6. Fair value of financial assets and financial liabilities*

*4.2.7. Accounting principles for recording mortgaged investments:*

*4.2.8. Principles for recording and presenting the situation of Provision for doubtful debts for securities companies' investments that generate dividends and interest*

*c. For money market instruments:*

*4.2.9. Accounting principles for recording mortgaged investments (Accounts not presented on the Statement of Financial Position):*

***4.3. Principles of recording investment real estate***

***4.4. Principles of recording tangible fixed assets: recorded at original cost, during use tangible fixed assets are recorded at original cost, accumulated depreciation and residual value.***

***4.5. Principles of recording intangible fixed assets: recorded at original cost, during use intangible fixed assets are recorded at original cost, accumulated depreciation and residual value.***

***4.6. Principles for recognition and presentation of impairment of non-monetary assets***

***4.7 Principles of recording financial lease fixed assets***

***4.8. Principles for recording long-term financial investments (Subsidiaries, joint ventures, associates)***

***4.9. Principles for recording and presenting short-term and long-term deposits and bets***

***4.10. Principles and methods of accounting for short-term and long-term receivables***

***4.10.1. Principles and methods of accounting for receivables on financial assets:***

***4.10.1.1. Principles and methods of accounting for receivables from the sale of financial assets:***

***4.10.1.2. Principles and methods of accounting for receivables and accrued dividends and interest on financial assets:***

***4.10.2. Principles and methods of accounting for other receivables:***

***4.10.3. Principles and methods of accounting for provisions for doubtful debts:***

***4.10.3.1. Principles and methods of accounting for provisions for doubtful debts on the sale of financial assets***

***4.10.3.2. Principles and methods of accounting for provisions for doubtful debts on dividends and interest on financial***

***4.10.3.3. Principles and methods of accounting for provisions for doubtful debts of investments held to maturity***

***4.10.3.4. Principles and methods of accounting for provisions for bad debts and other receivables:***

***4.11. Principles and methods of accounting for short-term and long-term liabilities:***

***4.11.1. Principles and methods of accounting for loans: (Loans, convertible bonds, issued bonds, financial asset loans, financial leasing debts, loans from the Financial Support Fund)***

***4.11.2. Principles and methods of accounting for payables for securities trading activities:***

***4.11.3. Principles and methods of accounting for payables Securities issuers:***

***4.11.4. Principles and methods of accounting for dividends or profits payable to shareholders or capital contributors:***

***4.11.5. Principles and methods of accounting for taxes and amounts payable to the State:***

***4.11.5.1. Corporate Income Tax***

#### 4.11.5.2. Personal Income Tax

#### 4.11.5.3. Other taxes and fees payable:

#### 4.11.6. Accounting for short-term and long-term payable expenses

##### 4.11.6.1. Principles and methods of accounting for pre-deductible amounts by type of service provided:

##### 4.11.6.2. Principles and methods of accounting for pre-deductible amounts based on the volume and value of

##### 4.11.6.3. Principles and methods of accounting for pre-deducted service fees according to Service Provision Contracts of the fiscal year:

##### 4.11.7. Accounting principles and methods for recording other payables and receivables:

##### 4.11.8. Accounting principles and methods for recording payables for service provision activities:

##### 4.11.9. Principles for recording and presenting the situation of Insolvency and Violation - Debt Obligations for payable debts of securities companies:

#### 4.12. Accounting principles and methods for recording equity of securities companies:

##### 4.12.1. Principles for recording owner's investment capital:

##### 4.12.2. Principles for recording securities company profits:

##### 4.12.3. Principles for recording exchange rate differences:

##### a. Exchange rate difference realized during the period:

##### b. Exchange rate difference re-evaluated at the end of the period:

##### 4.12.4. Principles of profit distribution of securities companies: (for shareholders or capital contributors, funds of

#### 4.13. Accounting principles and methods for recording securities company's revenue and income:

##### 4.13.1. Principles and methods for recording revenue and accruing dividends and interest from financial assets:

##### a. From FVTPL, HTM, loans, AFS:

##### b. From long-term financial investments (Investments in subsidiaries, joint ventures, and associates):

##### 4.13.2. Principles and methods of recording income, losses and transaction costs of financial assets:

##### a. Recording investment income and recording financial asset losses:

##### b. Recording transaction costs of purchasing financial assets:

##### c. Recording transaction costs of selling financial assets:

##### d. Recording provisions and reversal of bad debts:

##### d. Recording other revenue:

##### e. Recording other investment costs:

##### f. Principles of recognition and method of accounting for revenue deductions (if any):

#### 4.14. Principles for recording financial revenue and financial operating expenses:

##### a. Record realized exchange rate gains and losses:

##### b. Recording unrealized exchange rate gains and losses:

##### c. Recording dividends or profits shared from investments in subsidiaries, associates, and joint ventures:

##### d. Recording interest expense:

##### e. Recording other financial revenue:

##### f. Recording other investment costs:

#### 4.15. Principles for recording securities company management costs:

#### 4.16. Principles for recording other income and other expenses:

##### a. Recording other income:

##### b. Recording other expenses:

#### 4.17. Current principles and methods of recording Corporate Income Tax expenses:

#### 4.18. Other accounting principles and policies:

#### 4.19. Principles of recording, managing and presenting on Financial Statements assets and liabilities to customers

### 5. Financial risk management for securities companies

#### 5.1. General qualitative and quantitative explanation of financial risks for securities companies:

##### 5.2. Credit risk:

##### 5.3. Liquidity risk:

##### 5.4. Market risk:

5.5. Currency risk:

5.6. Other price risks:

## 6. Pricing policies for financial assets in the Securities Company's Financial Asset Portfolio

6.1. Applicable valuation methods, valuation techniques:

6.2. Effectiveness of using valuation methods and valuation techniques:

6.3. Cases where fair value disclosure is exempted:

6.4. Reasons for not being able to determine fair value:

6.5. Policy on valuation of financial assets in the Securities Company's financial asset portfolio according to the original price principle (if any)

## 7. Totalitional Information for Financial Statements

### A. Notes to the Financial Statements

(Unit: VND)

| 7.1. Cash and cash equivalents                                   | 30/9/2026             | 01/01/2026             |
|------------------------------------------------------------------|-----------------------|------------------------|
| - Cash on hand                                                   |                       |                        |
| - Bank deposits for securities company operations                | 38,017,746,604        | 23,967,249,174         |
| - Money is transferring                                          | -                     | -                      |
| - Deposits for sale of underwritten securities                   | -                     | -                      |
| - Deposit for clearing and settlement of securities transactions | 7,806,830             | 3,484,191,632          |
| - Cash equivalents                                               |                       | 120,000,000,000        |
| <b>Total</b>                                                     | <b>38,025,553,434</b> | <b>147,451,440,806</b> |

#### A.7.2. Value of transaction volume executed during the year

| INDICATORS                        | Volume of transactions made during the year | Value of transaction volume made during the year |
|-----------------------------------|---------------------------------------------|--------------------------------------------------|
| <b>a) Of securities companies</b> | -                                           | -                                                |
| - Stocks                          | 12,485,304                                  | 323,301,875,200                                  |
| - Bonds                           | 52,233,700                                  | 6,160,948,363,000                                |
| - Other securities                | 35,580,000                                  | 369,206,400,000                                  |
| <b>Total</b>                      | <b>100,299,004</b>                          | <b>6,853,456,638,200</b>                         |
| <b>b) Of the Investor</b>         | -                                           | -                                                |
| - Stocks                          | 236,429,253                                 | 5,189,423,657,910                                |
| - Bonds                           | -                                           | -                                                |
| - Other securities                | -                                           | -                                                |
| <b>Total</b>                      | <b>236,429,253</b>                          | <b>5,189,423,657,910</b>                         |

#### A 7.3. Financial assets

##### 7.3.1 Financial assets measured at fair value through profit or loss(FVTPL):

| FVTPL Assets    | 30/9/2026              |                        | 01/01/2026            |                       |
|-----------------|------------------------|------------------------|-----------------------|-----------------------|
|                 | Book value             | Fair value             | Book value            | Fair value            |
| - Listed stocks | 85,412,633,846         | 71,912,160,200         | 79,132,837,806        | 85,720,812,500        |
| - Bonds         | 459,120,000,000        | 458,664,000,000        |                       |                       |
| - CDs           | 9,648,651,525          | 9,648,651,525          |                       |                       |
| - Fun Units     |                        |                        |                       |                       |
| <b>Total</b>    | <b>554,181,285,371</b> | <b>540,224,811,725</b> | <b>79,132,837,806</b> | <b>85,720,812,500</b> |

##### 7.3.2 Available-for-sale financial (AFS) assets

| AFS Assets      | 30/9/2026             |                       | 01/01/2026 |            |
|-----------------|-----------------------|-----------------------|------------|------------|
|                 | Book value            | Fair value            | Book value | Fair value |
| Fun Units       | 23,000,000,000        | 21,393,177,000        |            |            |
| Unlisted shares | -                     | -                     |            |            |
| <b>Total</b>    | <b>23,000,000,000</b> | <b>21,393,177,000</b> | <b>-</b>   |            |

### 7.3.3 Held-to-management (HTM) investments

| HTM Assets        | 30/9/2026                | 01/01/2026 |
|-------------------|--------------------------|------------|
| - Savings deposit | 1,520,000,000,000        |            |
| - Bonds           |                          |            |
| <b>Total</b>      | <b>1,520,000,000,000</b> | <b>-</b>   |

### 7.3.4 Loans and receivables

| Loans and receivables             | 30/9/2026              |                        | 01/01/2026             |                        |
|-----------------------------------|------------------------|------------------------|------------------------|------------------------|
|                                   | Book value             | Fair value             | Book value             | Fair value             |
| - Margin lending                  | 432,837,737,734        | 431,587,061,889        | 141,961,746,718        | 140,711,070,873        |
| - Loan for customer sales advance | 2,061,132,673          | 2,061,132,673          | 13,204,421,849         | 13,204,421,849         |
| - Loan due to transaction error   | -                      |                        | -                      |                        |
| <b>Total</b>                      | <b>434,898,870,407</b> | <b>433,648,194,562</b> | <b>155,166,168,567</b> | <b>153,915,492,722</b> |

| A. 7.4. Provision for impairment of financial assets and mortgaged assets | 30/9/2026            | 01/01/2026           |
|---------------------------------------------------------------------------|----------------------|----------------------|
| - Impairment Provision - Operating Loan Margin                            | 1,250,675,845        | 1,250,675,845        |
| - Provision for impairment - Loans for operations in advance of customer  | -                    | -                    |
| - Provision for impairment of available-for-sale financial assets         | -                    | -                    |
| - Provision for impairment of mortgaged assets                            | -                    | -                    |
| <b>Total</b>                                                              | <b>1,250,675,845</b> | <b>1,250,675,845</b> |

| A.7.5. Accounts receivable                                           | 30/9/2026             | 01/01/2026           |
|----------------------------------------------------------------------|-----------------------|----------------------|
| 7.5.1. Receivables from sale of investments                          |                       |                      |
| 7.5.2. Receivables and accrued dividends and interest on investments | 45,235,044,395        | 3,166,015,731        |
| 7.5.3. Receivables from matured investments                          | -                     | -                    |
| 7.5.4. Margin Activity Receivables                                   | -                     | -                    |
| 7.5.5. Receivables from services provided by the company             | 402,946,302           | 402,591,418          |
| -Receivables from Stock Exchange                                     | -                     | -                    |
| -Receivable from investment trust contract                           | -                     | -                    |
| -Must collect interest on investment trust contract                  | -                     | -                    |
| -Receivables from futures trading                                    | -                     | -                    |
| -Repo contract interest receivable                                   | -                     | -                    |
| -Receivable from investment cooperation contract                     | -                     | -                    |
| -Receivable from other brokerage service contracts                   | -                     | -                    |
| -Receivable for other consulting services                            | -                     | -                    |
| Total                                                                | -                     | -                    |
| 7.5.6. Receivables for securities transaction errors                 | -                     | -                    |
| 7.5.7. Other receivables                                             | 247,772,098           | 221,732,608          |
| <b>Total</b>                                                         | <b>45,885,762,795</b> | <b>3,790,339,757</b> |

|                                                   |   |   |
|---------------------------------------------------|---|---|
| <b>In which: Details of bad debts</b>             | - | - |
| + Receivable from futures trading                 | - | - |
| + Receivable from investment cooperation contract | - | - |
| + Other receivables                               | - | - |
| Total                                             | - | - |

|                                                                                                                                                          |   |   |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|
| <b>A 7.6. Provision for impairment of receivables</b>                                                                                                    | - | - |
| Securities companies must explain in detail the types of bad debts for which provisions must be made (details by type, group, and subject of bad debts). | - | - |

| STT          | Bad debt type must set up provision                                 | Bad Debt Value | References | This year                |                                       |                                      |               | Last year |
|--------------|---------------------------------------------------------------------|----------------|------------|--------------------------|---------------------------------------|--------------------------------------|---------------|-----------|
|              |                                                                     |                |            | Beginning of year number | Amount of provision during the period | Amount of reversal during the period | Final number  |           |
| 1            | Provision for doubtful debts from sale of financial assets          |                |            |                          |                                       |                                      |               |           |
| 2            | Provision for doubtful debts and accrued dividends and interest due | 1,732,720,382  |            | 1,732,720,382            |                                       |                                      | 1,732,720,382 |           |
| 3            | Provision for receivables on maturing investments                   |                |            |                          |                                       |                                      |               |           |
| 4            | Provision for doubtful debts                                        |                |            |                          |                                       |                                      |               |           |
| <b>Total</b> |                                                                     | 1,732,720,382  |            | 1,732,720,382            | -                                     | -                                    | 1,732,720,382 |           |

30/9/2026 01/01/2026

|                                                    |   |   |
|----------------------------------------------------|---|---|
| <b>A.7.7. Office equipment, tools and supplies</b> | - | - |
| - Office supplies                                  | - | - |
| - Tools, instruments                               | - | - |

|                                                      |                      |                      |
|------------------------------------------------------|----------------------|----------------------|
| <b>Total</b>                                         | -                    | -                    |
| <b>A 7.8. Short-term prepaid expenses</b>            | -                    | -                    |
| a. Short-term prepaid expenses                       | 1,435,028,885        | 897,775,822          |
| Total                                                | -                    | -                    |
| b. Long-term prepaid expenses                        |                      |                      |
| Long-term prepaid expenses incurred on consolidation |                      |                      |
| Other long-term prepaid expenses                     | 3,557,382,740        | 1,212,298,465        |
| Total                                                | 3,557,382,740        | 1,212,298,465        |
| <b>A7.9. Deposits at Payment Support Fund</b>        | <b>6,255,773,182</b> | <b>5,568,702,904</b> |
| Initial deposit                                      | 120,000,000          | 120,000,000          |
| Additional deposit                                   | 4,821,469,212        | 4,371,296,738        |
| Interest allocated during the year                   | 1,314,303,970        | 1,077,406,166        |
| Total                                                | -                    | -                    |

#### A7.10. Increase and decrease of tangible fixed assets

| Item                                   | Houses,<br>buildings | Machinery<br>and equipment | Means of<br>transport, | Management<br>equipment | Other tangible<br>fixed assets | Total          |
|----------------------------------------|----------------------|----------------------------|------------------------|-------------------------|--------------------------------|----------------|
| <b>Original price of tangible</b>      |                      | -                          | -                      | -                       | -                              | 0              |
| Beginning balance                      |                      | 13,084,897,584             |                        | 285,223,413             | -                              | 13,370,120,997 |
| - Purchased within the year            |                      | 790,347,402                |                        | 109,769,000             | -                              | 900,116,402    |
| - Completed construction               |                      | -                          |                        |                         | -                              | -              |
| - Reclassify                           |                      |                            |                        |                         | -                              | -              |
| - Switch to investment real estate     |                      | -                          |                        |                         | -                              | -              |
| Liquidation, sale                      |                      |                            |                        | 30,111,114              | -                              | 30,111,114     |
| - Other discounts                      |                      | -                          | -                      |                         | -                              | -              |
| End of year balance                    |                      | 13,875,244,986             | -                      | 364,881,299             | -                              | 14,240,126,285 |
| <b>Accumulated depreciation</b>        |                      | -                          | -                      | -                       | -                              | -              |
| Beginning balance                      |                      | 11,108,816,838             |                        | 238,620,325             | -                              | 11,347,437,163 |
| - Depreciation during the year         |                      | 326,186,858                |                        | 44,332,251              | -                              | 370,519,109    |
| - Reclassify                           |                      |                            |                        |                         | -                              | -              |
| - Switch to investment real            |                      | -                          |                        | -                       | -                              | -              |
| Liquidation, sale                      |                      |                            |                        | 30,111,114              | -                              | 30,111,114     |
| - Other discounts                      |                      | -                          | -                      | -                       | -                              | -              |
| End of year balance                    |                      | 11,435,003,696             | -                      | 252,841,462             | -                              | 11,687,845,158 |
| <b>Remaining value of fixed assets</b> |                      | -                          | -                      | -                       | -                              | -              |
| - On New Year's Day                    |                      | 1,976,080,746              | -                      | 46,603,088              | -                              | 2,022,683,834  |
| - At the end of the year               |                      | 2,440,241,290              | -                      | 112,039,837             | -                              | 2,552,281,127  |
| <b>Fair value valuation</b>            |                      | -                          | -                      | -                       | -                              | -              |

- Remaining value at the end of the year of tangible fixed assets used as mortgages or pledges to secure loans:

- Original value of fixed assets at the end of the year that have been fully depreciated but are still in use:

- Original value of fixed assets at the end of the year awaiting liquidation:

- Commitments to purchase and sell tangible fixed assets of great value in the future:

- Other changes in tangible fixed assets:

**A7.11. Increase and decrease of intangible fixed assets**

| Item                                     | Land use rights | Publishing rights | Copyright, patent | Trademark | Computer software | Other intangible | Total          |
|------------------------------------------|-----------------|-------------------|-------------------|-----------|-------------------|------------------|----------------|
| <b>Original price of fixed</b>           |                 | -                 | -                 | -         | -                 | -                | 0              |
| Opening balance                          |                 | -                 | 3,728,764,540     | -         | 15,771,328,340    |                  | 19,500,092,880 |
| - Purchase during the period             |                 | -                 |                   | -         |                   | -                | -              |
| - Created from within the                |                 | -                 | -                 | -         | 0                 | -                | -              |
| - Increase due to business consolidation |                 | -                 | -                 | -         | 0                 | -                | -              |
| - Reclassify                             |                 | -                 |                   | -         |                   | -                | -              |
| Liquidation, sale                        |                 | -                 | -                 | -         | 0                 | -                | -              |
| - Other discounts                        |                 | -                 | -                 | -         | 0                 | -                | -              |
| Final number                             |                 | -                 | 3,728,764,540     | -         | 15,771,328,340    | -                | 19,500,092,880 |
| <b>Accumulated depreciation</b>          |                 | -                 | -                 | -         | 0                 | -                | -              |
| Opening balance                          |                 | -                 | 2,423,825,024     | -         | 15,771,328,340    |                  | 18,195,153,364 |
| - Depreciation during the year           |                 | -                 | 140,625,000       | -         |                   | -                | 140,625,000    |
| - Reclassify                             |                 | -                 |                   | -         |                   | -                | -              |
| Liquidation, sale                        |                 | -                 | -                 | -         | 0                 | -                | -              |
| - Other discounts                        |                 | -                 | -                 | -         | 0                 | -                | -              |
| Final number                             |                 | -                 | 2,564,450,024     | -         | 15,771,328,340    | -                | 18,335,778,364 |
| <b>Remaining value of fixed</b>          |                 | -                 | -                 | -         | 0                 | -                | -              |
| - On New Year's Day                      |                 | -                 | 1,304,939,516     | -         | 0                 | -                | 1,304,939,516  |
| - At the end of the year                 |                 | -                 | 1,164,314,516     | -         | 0                 | -                | 1,164,314,516  |
| <b>Fair value valuation</b>              |                 | -                 | -                 | -         | -                 | -                | -              |

\* Explanation of data and other explanations (if any):

**A 7.12. Mortgaged assets**

| Asset         | 30/09/2026        | 01/01/2026     | Purpose                                                                                                 |
|---------------|-------------------|----------------|---------------------------------------------------------------------------------------------------------|
| a. Short term | 1,190,000,000,000 | 70,000,000,000 | Supplement working capital for investment in and trading of government bonds and other valuable papers. |
| Total         | 1,190,000,000,000 | 70,000,000,000 |                                                                                                         |

**A.7.13. Listed/registered financial assets of securities companies**
**A. 7.14. Financial assets deposited at VSD and not yet traded by securities**
**A. 7.15. Securities Company's pending financial assets**
**A. 7.16. Securities Company's pending financial assets, correction of**
**A. 7.17. Financial assets not deposited at VSD of securities companies**
**A. 7.18. Financial assets entitled to the rights of the Securities Company**
**A. 7.19. Securities entrusted for auction by securities companies (if any)**
**A.7.20. Listed/registered financial assets of the Investor**
**A. 7.21. Financial assets deposited at VSD and not yet traded by Investors**
**A. 7.22. Investors' pending financial assets**
**A. 7.23. Financial assets not deposited at VSD of Investors**
**A. 7.24. Financial assets entitled to the rights of the Investor**
**A. 7.25. Investor Deposits**

| Investor Deposit                                                                                                 | End of period  | Beginning of the year |
|------------------------------------------------------------------------------------------------------------------|----------------|-----------------------|
| 1. Investor's deposit for securities transactions under the method of securities company management              | 71,477,160,860 | 93,734,053,332        |
| 1.1. Deposits of domestic investors on securities transactions under the method of securities company management | 71,477,160,860 | 93,734,053,332        |
| 1.2. Foreign investors' deposits for securities transactions under the management method of securities companies | -              |                       |

|                                                                                         |                |                |
|-----------------------------------------------------------------------------------------|----------------|----------------|
| 2. Deposit for securities trading for customers                                         |                |                |
| 3. Investor's securities transaction clearing and payment deposits                      | 604,139,606    | 1,886,445,039  |
| 3.1. Deposits for clearing and payment of securities transactions of domestic investors | 478,030,551    | 1,885,154,206  |
| 3.2. Clearing and payment deposits for securities transactions of foreign investors     | 126,109,055    | 1,290,833      |
| Total                                                                                   | 72,081,300,466 | 95,620,498,371 |

#### A.7.26. Issuer Deposits

|                                                                              |                      |                      |
|------------------------------------------------------------------------------|----------------------|----------------------|
| 1. Deposits for sale of securities underwritten by agents and issuing agents | -                    | -                    |
| 2. Deposits for payment of principal, interest and dividends of the Issuer   | 1,865,170,963        | 2,010,509,926        |
| <b>Total</b>                                                                 | <b>1,865,170,963</b> | <b>2,010,509,926</b> |

#### A.7.27. Payables for purchase of financial assets

##### A.7.27.1. Payables for purchases of financial assets

|                                                        | End of the year | Beginning of the year |
|--------------------------------------------------------|-----------------|-----------------------|
| Total                                                  | -               | -                     |
| <b>A.7.27.2 Other payables on investing activities</b> | -               | -                     |
| <b>Total</b>                                           | -               | -                     |

##### A.7.28. Payables for securities trading activities

|                                                                         |                    |                    |
|-------------------------------------------------------------------------|--------------------|--------------------|
| 7.28.1. Payable to the Stock Exchange                                   | 149,248,265        | 177,382,913        |
| <b>Total</b>                                                            | <b>149,248,265</b> | <b>177,382,913</b> |
| 7.28.2. Payable to Payment Support Fund                                 | -                  | -                  |
| <b>Total</b>                                                            | -                  | -                  |
| 7.28.3. Must return securities delivered and received by issuing agents | -                  | -                  |
| <b>Total</b>                                                            | -                  | -                  |
| 7.28.4. Payable to Vietnam Securities Depository (VSD)                  | 76,908,163         | 63,203,223         |
| <b>Total</b>                                                            | <b>76,908,163</b>  | <b>63,203,223</b>  |

##### 7.28.5. Payable to other organizations and individuals

*Securities companies must explain in detail according to the group of payable*

|                                                                         |   |   |
|-------------------------------------------------------------------------|---|---|
| <b>A.7.29. Must pay dividends, principal and interest on bonds</b>      | - | - |
| - Must pay dividends, principal and interest on bonds to Investors      | - | - |
| - Must pay dividends to shareholders or profits to capital contributors | - | - |
| <b>Total</b>                                                            | - | - |

#### A 7.30. Taxes and amounts payable to the State

|                                  |                      |                    |
|----------------------------------|----------------------|--------------------|
| - Corporate Income Tax           | 5,759,481,263        |                    |
| - Personal Income Tax            | 689,639,188          | 751,033,445        |
| - VAT                            | 540,444              | 3,674,533          |
| Fees, charges and other payables | -                    | -                  |
| <b>Total</b>                     | <b>6,449,660,895</b> | <b>754,707,978</b> |

##### A.7.31. Payable to securities issuers

|              |   |   |
|--------------|---|---|
| <b>Total</b> | - | - |
|--------------|---|---|

##### A.7.32. Expenses payable

|                                                 |                      |                   |
|-------------------------------------------------|----------------------|-------------------|
| - Details by type and group of payable expenses | 2,929,041,094        | 31,726,028        |
| <b>Total</b>                                    | <b>2,929,041,094</b> | <b>31,726,028</b> |

##### A. 7.33. Securities transaction errors payable

|                                       |                    |                    |
|---------------------------------------|--------------------|--------------------|
| <b>A 7.34. Payables to suppliers</b>  |                    |                    |
| Altisss High-Tech Joint Stock Company |                    | 750,000,000        |
| Other                                 | 224,931,455        | 96,346,821         |
| <b>Total</b>                          | <b>224,931,455</b> | <b>846,346,821</b> |

##### A 7.35. Other payables

|                                                    |                      |                      |
|----------------------------------------------------|----------------------|----------------------|
| - Dividends payable to non-depository shareholders | 5,740,353,040        | 5,780,028,460        |
| - Must pay to buy treasury stock                   | -                    | -                    |
| Must pay dividends to investors                    | -                    | -                    |
| Other payables                                     | 49,399,115           | 1,120,223,670        |
| <b>Total</b>                                       | <b>5,789,752,155</b> | <b>6,900,252,130</b> |

**A.7.36. Deferred tax assets and deferred tax liabilities**

-

-

**A.7.37. Short-term borrowings** (Details by types of loans arising during the securities company's operating period)

| Loại vay ngắn hạn                | Loan interest rate | Opening balance        | Loan amount during the period | Amount paid in period  | Ending Balance           |
|----------------------------------|--------------------|------------------------|-------------------------------|------------------------|--------------------------|
| - Bank Loan                      |                    | 680,000,000,000        | 1,260,000,000,000             | 680,000,000,000        | 1,260,000,000,000        |
| - Personal loan (Details by loan | -                  |                        |                               |                        |                          |
| - Borrow from other subjects     | -                  |                        |                               |                        |                          |
| <b>Total</b>                     |                    | <b>680,000,000,000</b> | <b>1,260,000,000,000</b>      | <b>680,000,000,000</b> | <b>1,260,000,000,000</b> |

**A.7.38. Long-term borrowings:**
**A. 7.39. Payable to Investors**

| Payable type                                                                                                               | End of the year       | Beginning of the year |
|----------------------------------------------------------------------------------------------------------------------------|-----------------------|-----------------------|
| 1. Payable to Investors - Investors' deposits on securities transactions under the method of securities company management | 71,477,160,860        | 93,734,053,332        |
| 1.1. Of Domestic Investors                                                                                                 | 71,477,160,860        | 93,734,053,332        |
| 1.2. Of Foreign Investors                                                                                                  |                       |                       |
| 2. Payable to Investors - Deposits for clearing and settlement of securities transactions of Investors                     | 604,139,606           | 1,886,445,039         |
| 2.1. Of Domestic Investors                                                                                                 | 478,030,551           | 1,885,154,206         |
| 2.2. Of Foreign Investors                                                                                                  | 126,109,055           | 1,290,833             |
| 3. Other payables of investors                                                                                             |                       |                       |
| 3.1. Of Domestic Investors                                                                                                 |                       |                       |
| 3.2. Of Foreign Investors                                                                                                  |                       |                       |
| <b>Total</b>                                                                                                               | <b>72,081,300,466</b> | <b>95,620,498,371</b> |

**A. 7.40. Payable to Investors**

| Payable type                           | End of the year | Beginning of the year |
|----------------------------------------|-----------------|-----------------------|
| 1. Must pay stock brokerage fees       |                 |                       |
| 2. Must pay securities custody fees    |                 |                       |
| 3. Must pay investment consulting fees |                 |                       |
| <b>Total</b>                           |                 |                       |

**A.7.41. Receivables and payables of Investors for transaction error**

-

-

**A.7.42. Loans payable to securities companies by investors**

-

-

|                                                                           |                 |                 |
|---------------------------------------------------------------------------|-----------------|-----------------|
| 1. Margin payment                                                         |                 |                 |
| 2. Must pay principal margin                                              | 432,837,737,734 | 141,961,746,718 |
| 2.1. Margin principal payable to domestic investors                       | 432,837,737,734 | 141,961,746,718 |
| 2.2. Margin principal payable to foreign investors                        | -               | -               |
| 3. Margin interest must be paid                                           | -               | -               |
| 3.1. Margin interest payable to domestic investors                        | -               | -               |
| 3.2. Margin interest payable to foreign investors                         | -               | -               |
| 4. Payable for advance payment for securities sale                        | 2,061,132,673   | 13,204,421,849  |
| 4.1. Principal payable for advance payment of securities sales            | 2,061,132,673   | 13,204,421,849  |
| a. Must pay principal of advance payment for securities sale of domestic  | 2,061,132,673   | 13,204,421,849  |
| b. Must repay principal of advance payment for securities sale of foreign | -               | -               |
| 4.2. Interest payable on advance payment for securities sales             | -               | -               |
| a. Must pay interest on advance payment for securities sales of domestic  | -               | -               |

b. Must pay interest on advance payment for securities sales of foreign

**Total**

434,898,870,407

155,166,168,567

#### A.7.43. Undistributed earnings

Retained earnings

End of the year    Beginning of the year

1. Undistributed realized profits

52,424,481,618

2,006,651,673

2. Unrealized profits

(15,563,296,646)

6,587,974,694

**Total**

36,861,184,972

8,594,626,367

#### A. 7.44. Income distribution situation for shareholders or capital contributors

| Income distribution situation for shareholders or capital contributors                                                                                               | End of the year  | Beginning of the year |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|-----------------------|
| 1. Undistributed realized profits of previous year                                                                                                                   | 8,594,626,367    | (36,292,755,460)      |
| 2. Unrealized loss/gain                                                                                                                                              | (15,563,296,646) | 6,587,974,694         |
| 3. Realized loss/profit                                                                                                                                              | 52,424,481,618   | 2,006,651,673         |
| 4. The basis of profit distributed to shareholders or capital contributors is taken into account.                                                                    |                  |                       |
| 5. Funds allocated from profits: - Reserve fund for increasing charter capital - Financial and operational risk reserve fund                                         | -                | -                     |
| 6. Profits distributed to shareholders or capital contributors according to the Securities Company Charter and the Resolution of the General Meeting of Shareholders |                  | -                     |
| 7. Tax payable on income distributed to stockholders                                                                                                                 |                  | -                     |
| 8. Total income distributed to shareholders or capital contributors                                                                                                  | -                | -                     |

7.4.5 Regarding the situation of fluctuations in investments by group due to revaluation according to the market or according to the book value (for investments without market price) at the end of the period

Revaluation of financial assets

| Revaluation of financial assets |                       |                                              |           |                     |                            |                                       |                |                |                                     |                                |               |                                                  |                |
|---------------------------------|-----------------------|----------------------------------------------|-----------|---------------------|----------------------------|---------------------------------------|----------------|----------------|-------------------------------------|--------------------------------|---------------|--------------------------------------------------|----------------|
| STT                             | List of types of TSTC | Purchase value according to accounting books | Quantity  | This period's price | Market price or fair value | This review is currently in progress. |                | Purchase price | Market price or previous fair value | Previous evaluation difference |               | Accounting adjustment difference for this period |                |
|                                 |                       |                                              |           |                     |                            | Increase in difference                | Discount       |                |                                     | Increase in difference         | Discount      | Increase in difference                           | Discount       |
| A                               | B                     | 1                                            | 2         |                     | 3=(2-1)                    | 4=(1-2)                               | 6              | 7              | 8=(7-6)                             | 9=(6-7)                        | 10=(3-8)      | 11=(4-9)                                         |                |
| I. Listed stocks                |                       | 85,412,633,846                               | 3,414,577 |                     | 71,912,160,200             | 240,330,613                           | 13,740,804,259 | 78,235,594,957 | 77,210,736,300                      | 1,033,956,713                  | 2,058,815,370 | 594,461,111                                      | 13,070,076,100 |
| II. Unlisted shares             |                       | 0                                            |           |                     | 0                          |                                       |                |                |                                     |                                |               |                                                  |                |
| III. Bonds                      |                       | 459,120,000,000                              |           |                     | 458,664,000,000            |                                       | 456,000,000    |                |                                     |                                |               |                                                  | 456,000,000    |
| IV. Fund Units                  |                       | 23,000,000,000                               |           |                     | 21,393,177,000             |                                       | 1,606,823,000  |                |                                     |                                |               |                                                  | 1,606,823,000  |

7.45.3. Dividends and interest arising from FVTPL financial assets, loans, HTM, AFS

| STT | Target                       | This year             |                       | Last year            |                      |
|-----|------------------------------|-----------------------|-----------------------|----------------------|----------------------|
|     |                              | This time             | Cumulative            | This time            | Cumulative           |
| 1   | From FVTPL financial assets: | 177,400,000           | 393,380,400           |                      | 4,000                |
| 2   | From HTM financial assets:   | 36,579,973,689        | 71,535,853,600        |                      |                      |
| 3   | From Loans:                  | 11,293,648,689        | 23,538,425,713        | 3,534,536,805        | 9,420,434,537        |
| 4   | From AFS:                    | -                     | -                     | -                    | -                    |
|     | <b>Total</b>                 | <b>48,051,022,378</b> | <b>95,467,659,713</b> | <b>3,534,536,805</b> | <b>9,420,438,537</b> |

7.45.4. Revenue other than income from financial assets

| STT | Other types of operating revenue                                                        | This year         |                    | Last year          |                      |
|-----|-----------------------------------------------------------------------------------------|-------------------|--------------------|--------------------|----------------------|
|     |                                                                                         | This time         | Cumulative         | This time          | Cumulative           |
| 1   | Other revenue                                                                           | 29,800,907        | 93,960,901         | 31,164,546         | 61,698,377           |
| 2   | Property rental revenue                                                                 | -                 | -                  | -                  | -                    |
| 3   | Revenue from other financial services                                                   | 4,250,000         | 46,850,000         | 90,909,091         | 1,020,018,181        |
| 4   | Revenue from payment of principal, interest and dividends of bonds issued by the Issuer | -                 | -                  | -                  | -                    |
|     | <b>Total</b>                                                                            | <b>34,050,907</b> | <b>140,810,901</b> | <b>122,073,637</b> | <b>1,081,716,558</b> |

7.45.5. Expenses other than the expenses of financial assets

| STT | Other operating expenses                                                              | This year |            | Last year |            |
|-----|---------------------------------------------------------------------------------------|-----------|------------|-----------|------------|
|     |                                                                                       | This time | Cumulative | This time | Cumulative |
| 1   | <b>Other service provision operating costs</b>                                        |           | -          |           |            |
| 1.1 | Property rental costs                                                                 |           | -          |           |            |
| 1.2 | Other financial service fees                                                          |           | -          |           |            |
| 1.3 | Expenses from paying principal, interest and dividends of bonds issued by the issuing |           | -          |           |            |
| 1.4 | Term deposit interest expense                                                         |           | -          |           |            |
| 1.5 | Other costs                                                                           |           | -          |           |            |
|     | <b>Total</b>                                                                          |           | -          |           |            |

Note: This indicator supplements Indicator Code 32 of the Separate Comprehensive Income Statement.

**B 7.46. Financial income**

| STT | Types of financial revenue                 | This year         |                    | Last year         |                    |
|-----|--------------------------------------------|-------------------|--------------------|-------------------|--------------------|
|     |                                            | This time         | Cumulative         | This time         | Cumulative         |
| 1   | Exchange rate difference                   | -                 | -                  |                   |                    |
| 2   | Dividend revenue from investments in       | -                 | -                  | -                 |                    |
| 3   | Revenue from dividends, arising during the | -                 | -                  | -                 |                    |
| 4   | Interest revenue from demand deposits      | 77,750,664        | 499,443,666        | 59,735,687        | 379,116,891        |
| 5   | Other financial revenue                    |                   |                    |                   |                    |
|     | <b>Total</b>                               | <b>77,750,664</b> | <b>499,443,666</b> | <b>59,735,687</b> | <b>379,116,891</b> |

**B.7.47 Service provision operating costs**

| STT | Cost Type                             | This year     |                | Last year     |               |
|-----|---------------------------------------|---------------|----------------|---------------|---------------|
|     |                                       | This time     | Cumulative     | This time     | Cumulative    |
| 1   | Securities brokerage fees             | 4,107,339,123 | 10,929,475,304 | 3,073,416,580 | 8,046,434,284 |
| 2   | Self-employment costs                 | 154,160,836   | 206,004,195    | 165,608,399   | 687,831,834   |
| 3   | Securities investment consulting fees |               |                |               |               |
| 4   | Securities custody service costs      | 183,432,873   | 551,657,866    | 194,400,878   | 601,984,346   |

|    |                                                  |                      |                       |                      |                       |
|----|--------------------------------------------------|----------------------|-----------------------|----------------------|-----------------------|
| 5  | Financial consulting operating costs             | 228,000,280          | 661,797,067           | 262,738,864          | 1,402,504,468         |
| 6  | Cost of other financial services                 | -                    | -                     | -                    |                       |
| 7  | Cost of renting and using assets                 | -                    | -                     | -                    |                       |
| 8  | Cost of paying principal, interest and dividends | -                    | -                     | -                    |                       |
| 9  | Other service costs                              | 2,340,082            | 2,340,082             |                      |                       |
| 10 | Provision and handling of bad debt losses on     | -                    | -                     | -                    |                       |
|    | <b>Total</b>                                     | <b>4,675,273,194</b> | <b>12,351,274,514</b> | <b>3,696,164,721</b> | <b>10,738,754,932</b> |

#### B 7.48. Financial expenses

| STT | Type of financial cost                                                                         | This year             |                       | Last year          |                      |
|-----|------------------------------------------------------------------------------------------------|-----------------------|-----------------------|--------------------|----------------------|
|     |                                                                                                | This time             | Cumulative            | This time          | Cumulative           |
| 1   | Exchange rate loss difference                                                                  | -                     | -                     |                    |                      |
| 2   | Interest expense                                                                               | 20,193,863,009        | 33,230,986,295        | 129,124,406        | 1,231,551,252        |
| 3   | Losses from sale and liquidation of investments in subsidiaries, associates and joint ventures | -                     | -                     | -                  |                      |
| 4   | Other investment costs                                                                         | -                     | -                     | -                  |                      |
|     | <b>Total</b>                                                                                   | <b>20,193,863,009</b> | <b>33,230,986,295</b> | <b>129,124,406</b> | <b>1,231,551,252</b> |

#### B 7.49. Operating expenses

| STT | Type of selling price                            | This year |            | Last year |            |
|-----|--------------------------------------------------|-----------|------------|-----------|------------|
|     |                                                  | This time | Cumulative | This time | Cumulative |
| 1   | Management staff costs                           | -         |            | -         |            |
| 2   | Social insurance, health insurance, union funds, | -         | -          | -         |            |
| 3   | Office supplies costs                            | -         | -          | -         |            |
| 4   | Cost of tools and equipment                      | -         | -          | -         |            |
| 5   | Fixed asset depreciation costs                   | -         | -          | -         |            |
| 6   | Outsourcing service costs                        | -         | -          | -         |            |
| 7   | Other costs                                      | -         | -          | -         |            |
|     | <b>Total</b>                                     |           |            |           |            |

#### B 7.50. Securities company management costs

| STT | Type of securities company management costs                   | This year            |                       | Last year            |                       |
|-----|---------------------------------------------------------------|----------------------|-----------------------|----------------------|-----------------------|
|     |                                                               | This time            | Cumulative            | This time            | Cumulative            |
| 1   | Salary and payroll expenses                                   | 3,384,473,568        | 9,694,239,549         | 2,407,944,106        | 6,811,427,724         |
| 2   | Social insurance, health insurance, unemployment insurance    | 258,811,880          | 704,105,969           | 210,760,184          | 528,286,680           |
| 3   | Professional liability insurance costs                        |                      |                       |                      |                       |
| 4   | Office supplies costs                                         |                      |                       | 1,487,499            | 4,462,497             |
| 5   | Cost of tools and equipment                                   | 104,980,965          | 273,031,240           | 54,700,859           | 127,360,697           |
| 6   | Depreciation costs of fixed assets and investment real estate | 13,672,962           | 42,361,787            | 19,635,879           | 58,907,637            |
| 7   | Taxes, fees and charges                                       |                      |                       |                      | 4,000,000             |
| 8   | Provisions and reversals of provisions                        |                      |                       |                      |                       |
| 9   | Outsourcing service costs                                     | 289,753,984          | 915,164,400           | 221,953,213          | 567,101,163           |
| 10  | Other costs                                                   | 1,664,896,079        | 4,248,426,922         | 1,481,855,282        | 4,454,472,649         |
|     | <b>Total</b>                                                  | <b>5,716,589,438</b> | <b>15,877,329,867</b> | <b>4,398,337,022</b> | <b>12,556,019,047</b> |

#### B 7.51. Other income

| STT | Other income details                             | This year      |                  | Last year         |                    |
|-----|--------------------------------------------------|----------------|------------------|-------------------|--------------------|
|     |                                                  | This time      | Cumulative       | This time         | Cumulative         |
| 1   | Disposal of fixed assets and tools and equipment |                |                  |                   | 5,057,542          |
| 2   | Other income                                     | 322,483        | 1,016,123        | 10,830,000        | 321,898,626        |
|     | <b>Total</b>                                     | <b>322,483</b> | <b>1,016,123</b> | <b>10,830,000</b> | <b>326,956,168</b> |

#### B 7.52. Other costs

| STT | Other costs details                              | This year |            | Last year |                  |
|-----|--------------------------------------------------|-----------|------------|-----------|------------------|
|     |                                                  | This time | Cumulative | This time | Cumulative       |
| 1   | Disposal of fixed assets and tools and equipment |           |            |           |                  |
| 2   | Other costs                                      |           |            |           | 1,630,765        |
|     | <b>Total</b>                                     | <b>-</b>  | <b>-</b>   | <b>-</b>  | <b>1,630,765</b> |

#### B 7.53. Corporate income tax expense

| STT | Corporate income tax expense details                                                           | This year     |                | This year |            |
|-----|------------------------------------------------------------------------------------------------|---------------|----------------|-----------|------------|
|     |                                                                                                | This time     | Cumulative     | This time | Cumulative |
| 1   | Current securities company income tax expense                                                  | 4,724,970,256 | 10,121,895,815 |           |            |
| 2   | - Securities company income tax expense calculated on current year's taxable income            |               |                |           |            |
| 3   | - Adjust the income tax expense of securities companies of previous years into the current     |               |                |           |            |
| 4   | '- Total current income tax expense of securities companies                                    |               |                |           |            |
| 5   | Deferred income tax expense of securities companies                                            |               |                |           |            |
| 6   | Deferred income tax expense of securities companies arising from taxable temporary differences |               |                |           |            |
| 7   | - Deferred corporate income tax expense arising                                                |               |                |           |            |
| 8   | - Deferred corporate income tax income arising                                                 |               |                |           |            |
| 9   | Deferred corporate income tax income arising                                                   |               |                |           |            |
| 10  | - Deferred corporate income tax income arising                                                 |               |                |           |            |
| 11  | - Total deferred corporate income tax expense                                                  |               |                |           |            |

#### B.7.54. Cumulative comprehensive income statement

| Target   | Opening balance | Number of occurrences | Changes from equity and recognized in income | Closing balance |
|----------|-----------------|-----------------------|----------------------------------------------|-----------------|
| <b>A</b> | <b>1</b>        | <b>2</b>              | <b>3</b>                                     | <b>4</b>        |

#### C. Notes to the Cash Flow Statement

| STT      | Transactions and funds                                                                                                                                                                                                | This year | Last year |
|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-----------|
| <b>A</b> | <b>B</b>                                                                                                                                                                                                              | <b>1</b>  | <b>2</b>  |
|          | Present the value and reasons for large amounts of cash and cash equivalents held by the securities company but not used due to legal restrictions or other constraints that the securities company must comply with. | -         | -         |

**D.7.56 Additional information for the Statement of Changes in Equity is as follows:**

7.57.1. Dividends proposed or declared after the date of the Financial Statements but before the financial statements are authorized for issue

7.57.2. Unrecognized cumulative preferred stock dividend value

7.57.3. Income and expenses, profits or losses accounted for directly in equity:

- Income:

- Expense:

- Profit (Loss):

**E. Other information**

E.7.57.1. Events occurring after the end of the accounting period: no events are expected to occur.

E.57.2. Information about related parties:

58.2.1 List of related parties:

| No. | Related parties   | Relationship                                                                                                         |
|-----|-------------------|----------------------------------------------------------------------------------------------------------------------|
| 1   | Nguyen Tuan Anh   | Chairman of the Board of Directors                                                                                   |
| 2   | Dao Le Huy        | Chairman of the Board of Directors resigned on January 26, 2026.                                                     |
| 3   | Ninh Le Son Hai   | Member of the Board of Directors; Legal Representative; General Director                                             |
| 4   | Ngo Thi Song Ngan | Member of the Board of Directors; Deputy General Director; Company Secretary and Corporate Administrator             |
| 5   | Nguyen Phi Long   | Vice Chairman of the Board of Directors; Independent Member of the Board of Directors; Member of the Audit Committee |
| 6   | Nguyen Bang Khanh | Independent Member of the Board of Directors; Chairman of the Audit Committee;                                       |
| 7   | Tran Van Duong    | Deputy General Director                                                                                              |
| 8   | Vu Thi Thu Huyen  | Chief Accountant                                                                                                     |
| 9   | Doan Thi Thuy     | Authorized officer for information disclosure                                                                        |
| 10  | Nguyen Dieu Linh  | Head of Internal audit Department                                                                                    |

58.2.2 Transactions with related parties

| No. | Related parties | Transaction content                                                                             | Amount  |                |
|-----|-----------------|-------------------------------------------------------------------------------------------------|---------|----------------|
|     |                 |                                                                                                 | Q3/2026 | Cumulative     |
| 1   | Ninh Le Son Hai | Transaction fees, custody fees, securities transfer fees, money transfer fees                   | 34,095  | 666,829        |
| 2   | Tran Van Duong  | Transaction fees, custody fees, securities transfer fees, money transfer fees, message fees ... | 946,967 | 946,967        |
| 3   | Doan Thi Thuy   | Custody fees, money transfer fees                                                               | 68,043  | 155,391        |
| 4   | Amber Capital   | Purchase of ABIF and AEIF fund Certificates                                                     | -       | 23,000,000,000 |

E.57.3. Comparative Information (Changes to Comparative Information Presented in Prior Period Financial Statements)

: .....

E.57.4. Information about ongoing operations: .....

E.57.5. Other information. (3) .....

Preparer

Nguyen Thu Hang

CHIEF ACCOUNTANT

Vu Thi Thu Huyen

Hai Phong, October 20, 2026

CEO



**CÔNG TY CỔ  
PHẦN CHỨNG  
KHOẢN HẢI  
PHÒNG**

Digitally signed by CÔNG TY CỔ PHẦN  
CHỨNG KHOẢN HẢI PHÒNG  
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**TỔNG GIÁM ĐỐC**  
*Ninh Lê Sơn Hải*