CÔNG TY CP CHỨNG KHOÁN
SÀI GÒN – HÀ NỘI
SAIGON – HANOI SECURITIES JSC.

CỘNG HÒA XÃ HỘI CHỦ NGHĨA VIỆT NAM
Độc lập - Tự do - Hạnh phúc
THE SOCIALIST REPUBLIC OF VIETNAM
Independence - Freedom - Happiness

Số/*No*:1679-2025/CV-SHS

Hà Nội, ngày 23 tháng 10 năm 2025
Hanoi, Octorber 23rd, 2025

CÔNG BỐ THÔNG TIN BẤT THƯỜNG
EXTRAORDINARY INFORMATION DISCLOSURE

Kính gửi/*To*: **- Ủy ban Chứng khoán Nhà nước/ *State Securities Committee***
- Sở Giao dịch Chứng khoán Việt Nam/ *Vietnam Stock Exchange*
- Sở Giao dịch Chứng khoán Hà Nội/ *Hanoi Stock Exchange*
- Sở Giao dịch Chứng khoán Thành phố Hồ Chí Minh/ *Hochiminh Stock Exchange*

1. Tên tổ chức/*Name of organization:* Công ty Cổ phần Chứng khoán Sài Gòn – Hà Nội/

Saigon – Hanoi Securities Joint Stock Company

- Mã chứng khoán/Mã thành viên/ *Stock code/ Broker code:* SHS/069

- Địa chỉ/*Address:* Số 43 Phố Lý Thường Kiệt, Phường Cửa Nam, Thành phố Hà Nội/ *No. 43 Ly Thuong Kiet, Cua Nam Ward, Hanoi city.*

- Điện thoại liên hệ/*Tel.:* 024.38 181.888 Fax: 024.38 181.688

- E-mail: congbothongtin@shs.com.vn

2. Nội dung thông tin công bố/*Contents of disclosure:*

Báo cáo biến động vốn đầu tư của chủ sở hữu cho kỳ kế toán từ ngày 01/07/2025 đến ngày 08/10/2025 đã được kiểm toán.

Audited report on changes in owner's equity for the accounting period from July 1st, 2025, to October 8th, 2025.

3. Thông tin này đã được công bố trên trang thông tin điện tử của Công ty vào ngày 23/10/2025 tại đường dẫn:/*This information was published on the Company's website on Octorber 23rd, 2025 as in the link:*
https://www.shs.com.vn/News/20251023/1012991/shs-cbtt-bao-cao-bien-dong-von-dau-tu-cua-chu-so-huu.aspx

https://www.shs.com.vn/News/20251023/1012992/shs-cbtt-bao-cao-bien-dong-von-dau-tu-cua-chu-so-huu.aspx

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

Tài liệu đính kèm/*Attached documents:*
- Báo cáo biến động vốn đầu tư của chủ sở hữu.

Report on changes in owner's equity.

Đại diện tổ chức/Organization representative
Người được ủy quyền công bố thông tin
Person authorized to disclose information

S.G.P: 66 - C.T.C.P
CÔNG TY CỔ PHẦN CHỨNG KHOÁN SÀI GÒN-HÀ NỘI
P. CỬA NAM - T.P HÀ NỘI

TRẦN THỊ VÂN

STATEMENT OF CHANGES IN OWNER'S EQUITY

SAIGON - HANOI SECURITIES JOINT STOCK COMPANY

For the accounting period from 01 July 2025 to 08 October 2025
(audited)

CONTENTS

REPORT OF THE BOARD OF MANAGEMENT

The Board of Management of Saigon - Hanoi Securities Joint Stock Company ("the Company") presents its report and the Company's Statements of changes in owner's equity for the accounting period from 01 July 2025 to 08 October 2025.

THE COMPANY

Saigon - Hanoi Securities Joint Stock Company was established and operates under Securities Business License No. 66/UBCK-GP, issued by the State Securities Commission on 15 November, 2007. The most recent amended license, No. 20/GPDC-UBCK, was issued by the State Securities Commission on 28 May, 2025. The company is also registered under Joint Stock Company Enterprise Registration Certificate No. 0102524651, initially issued by the Hanoi Department of Planning and Investment on 15 November, 2007, and last registered change 16 June 2025.

The Company's head office is located at: No. 43 Ly Thuong Kiet Street, Cua Nam Ward, Ha Noi City.

BOARD OF DIRECTORS, BOARD OF MANAGEMENT

The members of The Board of Directors during the period and to the reporting date are:

Mr.	Do Quang Vinh	Chairman
Mr.	Le Dang Khoa	Member
Mrs.	Nguyen Dieu Trinh	Member
Mr.	Nguyen Chi Thanh	Member
Mr.	Dao Ngoc Dung	Member

The members of The Board of Management in the period and to the reporting date are:

Mr.	Nguyen Chi Thanh	CEO

The members of The Audit Committee are:

Mrs.	Nguyen Dieu Trinh	Chairwoman of the Audit Committee
Mr.	Le Dang Khoa	Member of the Audit Committee

LEGAL REPRESENTATIVE

The Company's legal representative during the period and until the preparation of this Statements of changes in owner's equity is Mr. Nguyen Chi Thanh - CEO.

AUDITORS

The auditors of the AASC Auditing Firm Company Limited take the audit of Statements of changes in owner's equity for the Company.

STATEMENT OF THE BOARD OF MANAGEMENT'S RESPONSIBILITY IN RESPECT OF THE STATEMENT OF CHANGES IN OWNER'S EQUITY

The Board of Management is responsible for the Statements of changes in owner's equity which give a true and fair view of the increase and decrease in owner's equity for the period. In preparing those Statements of changes in owner's equity, The Board of Management is required to:

- Establish and maintain internal control system which is determined neccessary by The Board of Management and The Board of Directors determine are necessary to ensure the preparation and presentation of Statements of changes in owner's equity that are free from material misstatement, whether due to fraud or error;
- Select suitable accounting policies and then apply them consistently;
- Make judgments and estimates that are reasonable and prudent;
- State whether applicable accounting standards have been followed, subject to any material departures disclosed and explained in the Statements of changes in owner's equity;
- Prepare and present the Statements of changes in owner's equity on the basis of compliance with accounting standards and system and other related regulations;
- Prepare the Statements of changes in owner's equity on going concern basis unless it is inappropriate to presume that the Company will continue in business.

The Board of Management is responsible for ensuring that proper accounting records are kept which disclosed, with reasonable accuracy at any time, the increase and decrease in owner's equity of Company and to ensure that the Statements of changes in owner's equity comply with current regulations of the State. It is responsible for safeguarding the assets of the Company and hence for taking reasonable steps for the prevention and detection of fraud and other irregularities.

The Board of Management confirms that the Statements of changes in owner's equity give a true and fair view of the increase and decrease in owner's equity for the period from 01 July 2025 to 08 October 2025, in accordance with accounting basis as described in Note 2 - Basis for preparing the Statement of changes in owner's equity.

Other commitments

The Board of Management pledges that the Company complies with Decree No. 155/2020/ND-CP dated 31 December 2020 on detailing and guiding the implementation of a number of articles of the Law on Securities, Decree No. 245/2025/ND-CP amending and supplementing a number of articles of Decree No. 155/2020/ND-CP dated 31 December 2020 and the Company does not violate the obligations of information disclosure in accordance with the regulations of the Circular No. 96/2020/TT-BTC dated 16 November 2020 issued by the Ministry of Finance guiding the disclosure of information on the Securities Market Circular No. 68/2024/TT-BTC dated 18 September 2024 of the Ministry of Finance amending and supplementing a number of articles of Circular No. 96/2020/TT-BTC and Circular No. 118/2020/TT-BTC dated 31 December 2020 of the Ministry of Finance on guiding the public offering of securities, offering shares for exchange, issuing additional shares, buying back shares, selling treasury shares and public offering of shares.

On behalf of The Board of Management

S.G.P: 66 - C.T.C.P
CÔNG TY
CỔ PHẦN
CHỨNG KHOÁN
SÀI GÒN-
HÀ NỘI
P. CỬA NAM - T.P HÀ NỘI

Nguyen Chi Thanh
CEO
Ha Noi, 22 October 2025

No.: 221025.002/BCKH.KT2

INDEPENDENT AUDITORS' REPORT

To: **The Board of Management and The Board of General Directors**
Saigon - Hanoi Securities Joint Stock Company

We have audited the Statements of changes in owner's equity for the accounting period from 01 July 2025 to 08 October 2025, and the summary of significant accounting policies and other accompanying explanatory information of Saigon - Hanoi Securities Joint Stock Company, prepared on 22 October 2025, as set out on pages 06 to 10. This Statements of changes in owner's equity was prepared by the Board of Management on the accounting basis as described in Note 2 - Basis of Preparing the Statements of changes in owner's equity.

The Board of Management's responsibility

The Board of Management is responsible for the preparation and presentation of Statements of changes in owner's equity that give a true and fair view in accordance with the accounting basis as described in Note 2 - Basis of Preparing the Statements of changes in owner's equity; includes determining that this accounting basis is an acceptable basis for the preparation and presentation of the Statements of changes in owner's equity and for such internal control as management determines is necessary to enable the preparation and presentation of a Statements of changes in owner's equityl that are free from material misstatement, whether due to fraud or error.

Auditor's responsibility

Our responsibility is to express an opinion on these Statements of changes in owner's equity based on our audit results. We conducted our audit in accordance with Vietnamese Standards on Auditing. Those standards require that we comply with standards, ethical requirements and plan and perform the audit to obtain reasonable assurance about whether the Statements of changes in owner's equity are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the Statements of changes in owner's equity. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the Statements of changes in owner's equity, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and presentation of Statements of changes in owner's equity that give a true and fair view in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, as well as evaluating the overall presentation of the Statements of changes in owner's equity.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Auditor's opinion

In our opinion, the Statements of changes in owner's equity of Saigon - Hanoi Securities Joint Stock Company give a true and fair view, in all material respects, of the increase and decrease in owners' equity of the Company for the period from 01 July 2025 to 08 October 2025, in accordance with the accounting basis as described in Note 2 - Basis of Preparing the Statements of changes in owner's equity.

Accounting basis

Without modifying our opinion expressed above, we draw readers' attention to Note 02 in the Notes to the Statements of changes in owner's equity, which describes the basis of preparation applied by the Company in preparing and presenting the Statements of changes in owner's equity. This Statement has been prepared to assist Saigon - Hanoi Securities Joint Stock Company in fulfilling its information disclosure requirements and complying with the regulations of state management authorities. Consequently, this Statement may not be suitable for other purposes.

AASC Auditing Firm Company Limited

CÔNG TY TRÁCH NHIỆM HỮU HẠN HÃNG KIỂM TOÁN AASC
M.S.D.N: 0100111105 - C.T.T.N.H.H. - THÀNH PHỐ HÀ NỘI

Vu Xuan Bien	**Le Cong Thang**
Deputy General Director	Auditor
Certificate of registration to audit practice	Certificate of registration to audit practice
No: 0743-2023-002-1	No: 4422-2024-002-1

Ha Noi, 22 October 2025

STATEMENT OF CHANGES IN OWNER'S EQUITY

For the accounting period from 01 July 2025 to 08 October 2025

Code	RESOURCES	Note	10/08/2025 VND	07/01/2025 VND
400	**B. OWNER'S EQUITY**			
411	1. Contributed legal capital	3	9,386,984,568,289	9,336,984,568,289
411.1	1.1 Contributed legal capital		8,994,622,200,000	8,944,622,200,000
411.1a	a. Ordinary shares with voting rights		8,994,622,200,000	8,944,622,200,000
411.2	1.2 Share Premium		392,362,368,289	392,362,368,289

CÔNG TY CỔ PHẦN CHỨNG KHOÁN SÀI GÒN - HÀ NỘI

Nguyen Thi Thuy	**Pham Thi Thanh Hao**	**Bui Thi Hong Hanh**	**Nguyen Chi Thanh**
Preparer	Chief Accountant	Director of Finance department	CEO

Ha Noi, 22 October 2025

NOTES TO THE STATEMENTS OF CHANGES IN OWNER'S EQUITY

For the accounting period from 01 July 2025 to 08 October 2025

1 . BACKGROUND

Forms of Ownership

Saigon - Hanoi Securities Joint Stock Company was established and operates under Securities Business License No. 66/UBCK-GP, issued by the State Securities Commission on 15 November, 2007. The most recent amended license, No. 20/GPDC-UBCK, was issued by the State Securities Commission on 28 May, 2025. The company is also registered under Joint Stock Company Enterprise Registration Certificate No. 0102524651, initially issued by the Hanoi Department of Planning and Investment on 15 November, 2007, and last registered change 16 June 2025.

The Company's head office is located at: No. 43 Ly Thuong Kiet Street, Cua Nam Ward, Ha Noi City.

Business field

The Company's business activities include: securities brokerage; principal trading; securities investment advisory; financial advisory; securities underwriting and depository services and other financial services.

2 . ACCOUNTING SYSTEM AND ACCOUNTING POLICY

Accounting period and accounting monetary unit

Annual accounting period commences from 1st January and ends as at 31st December.

The Statements of changes in owner's equity has been prepared for the accounting period from 01 July 2025 to 08 October 2025. The 08 October 2025 corresponds to the date when the State Securities Commission issued its official response letter regarding the Company's report on the results of the share issuance under the employee stock option plan . The determination of this specific accounting period is intended to assist the Company in complying with the requirements of state regulatory authorities.

The Company maintains its accounting records in VND.

The Statement of Changes in Owners' Investment Capital was prepared after the completion date of the share issuance under the employee stock option plan of Saigon - Hanoi Securities Joint Stock Company. The share issuance completion date was 02 October 2025.

Accounting Standards and Accounting system

Accounting System

The Company applies Accounting System for securities company issued under Circular No.210/2014/TT-BTC dated 30 December 2014 (Circular 210) by The Ministry of Finance on accounting guidance applicable to securities companies and Circular No.334/2016/TT-BTC dated 27 December 2016 (Circular 334) by Ministry of Finance amended, supplemented and replace appendix 02, 04 of Circular No.210/2014/TT-BTC. These circulars provide regulations related to accounting documents, accounting account systems as well as the method of preparing and presenting financial statements of the Securities Company.

Announcement on compliance with Vietnamese standards and accounting system

The Company applies Vietnamese Accounting Standards and supplement documents issued by the State. Financial statements are prepared in accordance with regulations of each standard and supplement documents as well as with current accounting system.

Form of accounting record

The Company is applying accounting record by computer.

Owner's equity

The Statements of changes in owner's equity includes the following line items: Contributed legal capital and Share Premium. The recognition principles for these items are as follows:

Owner's equity is stated at actually contributed capital of owners.

Share premium is recorded at the difference between the par value with costs directly attributable to the issuance of shares and issue price of shares (including the case of re-issuing treasury shares) and can be a positive premium (if the issue price is higher than par value and costs directly attributable to the issuance of shares) or negative premium (if the issue price is lower than par value and costs directly attributable to the issuance of shares).

Intended Purpose of the Statement

This Statements of changes in owner's equity has been prepared to assist the Company in fulfilling its information disclosure requirements and complying with the regulations of state regulatory authorities. Consequently, this Statement may not be suitable for other purposes.

3 . DETAILED MOVEMENTS IN OWNERS' INVESTMENT CAPITAL

	Share Premium	Contributed legal capital
	VND	VND
Opening Balance	**392,362,368,289**	8,944,622,200,000
Share issuance under the employee stock option plan	-	50,000,000,000
Closing Balance	**392,362,368,289**	**8,994,622,200,000**

4 . SHARE ISSUANCE RESULTS

a) Legal Documents

- Submission No. 04-2025/TTr-ĐHĐCĐ dated 20 March 2025, of Saigon - Hanoi Securities Joint Stock Company regarding the Plan to increase charter capital from the share issuance under the SHS employee stock option plan;
- Resolution of the General Meeting of Shareholders No. 01-2025/NQ-ĐHĐCĐ dated 10 April 2025, of Saigon - Hanoi Securities Joint Stock Company;
- Decision of the Board of Directors No. 41-2025/QĐ-HĐQT dated 30 July 2025, of Saigon - Hanoi Securities Joint Stock Company on the Implementation of the Plan for share issuance under the 2025 employee stock option plan of SHS;
- Dispatch No. 4721/UBCK-QLKD dated 27 August 2025, from the State Securities Commission to Saigon - Hanoi Securities Joint Stock Company regarding the share issuance under the employee stock option plan of Saigon - Hanoi Securities Joint Stock Company;

- Decision of the Board of Directors No. 65-2025/QĐ-HĐQT dated 25 September 2025, of Saigon - Hanoi Securities Joint Stock Company on the Approval of the distribution results of shares issued under the 2025 employee stock option plan of SHS;
- Report on the results of the share issuance under the employee stock option plan No. 1516-2025/CV-SHS dated 02 October 2025, of Saigon - Hanoi Securities Joint Stock Company sent to the State Securities Commission;
- Dispatch No. 6133/UBCK-QLKD dated 08 October 2025, from the State Securities Commission to Saigon - Hanoi Securities Joint Stock Company regarding the report on the results of the share issuance under the employee stock option plan of Saigon - Hanoi Securities Joint Stock Company;
- Other documents of Saigon - Hanoi Securities Joint Stock Company related to the share issuance under the Company's employee stock option plan .

b) Plan for Share Issuance under the Company's Employee Stock Option Plan (2025 ESOP)

- Share name: Shares of Saigon - Hanoi Securities Joint Stock Company;
- Stock code: SHS;
- Type of shares: Common shares;
- Par value: VND 10,000 per share;
- Number of issued and fully paid-up shares: 894,462,220 shares:

+ Number of outstanding shares: 894,462,220 shares;

- Number of shares planned for issuance: 5,000,000 shares;
- Total issuance value at par value: VND 50,000,000,000;
- Pricing principle: VND 10,000 per share, according to the Company's Submission No. 04-2025/TTr-ĐHĐCĐ dated 20 March 2025, regarding the Plan to increase charter capital from the share issuance under the SHS Employee Stock Option Plan and the Resolution of the General Meeting of Shareholders No. 01-2025/NQ-ĐHĐCĐ dated 10 April 2025;
- Eligibility principle: Employees of the Company. The criteria, list of eligible employees, principles for determining and allocating the issued shares were delegated by the General Meeting of Shareholders to the Company's Board of Directors for approval after the General Meeting of Shareholders approved this ESOP issuance plan;
- Issuance purpose: To foster alignment between employees and SHS in line with the Company's short-term and long-term development goals and strategies; To recognize outstanding contributions of employees during SHS's development to attract, retain, and motivate capable employees to dedicate themselves and maintain long-term commitment to SHS; To create additional benefits for employees beyond salary and bonuses;
- Transfer restriction: Common shares issued to Employees will be subject to a one year transfer restriction from the share issuance completion date;
- Capital use plan: To supplement the Company's working capital;
- Share issuance completion date: 02 October 2025;
- Expected share delivery date: Expected in October - November 2025.

c) Release results

- Total number of shares distributed: 5,000,000 shares;
- Type of stock: Common stock;
- Number of distributed workers: 294 people;
- Total number of shares after issuance (02 October 2025): 899,462,220 shares, of which:
  + Number of outstanding shares: 899,462,220 shares.

d) Summary of charter capital increase results

Total charter capital increased: VND 50,000,000,000;

Total charter capital after charter capital increase: VND 8,994,622,200,000.

S.G.P: 66 - C.T.C.P
CÔNG TY CỔ PHẦN CHỨNG KHOÁN SÀI GÒN - HÀ NỘI
P. CỬA NAM - T.P HÀ NỘI

Nguyen Thi Thuy	**Pham Thi Thanh Hao**	**Bui Thi Hong Hanh**	**Nguyen Chi Thanh**
Preparer	Chief Accountant	Director of Finance department	CEO

Ha Noi, 22 October 2025