

**CÔNG TY CỔ PHẦN
CHỨNG KHOÁN VIETINBANK
VIETINBANK SECURITIES
JOINT STOCK COMPANY**

Số/No.: 48/2026/TB-VBSE01

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

Hà Nội, ngày 30 tháng 09 năm 2026
Hanoi, September 30, 2026

**THÔNG BÁO VỀ VIỆC CHẤM DỨT HỢP ĐỒNG LAO ĐỘNG VỚI
NGƯỜI CÓ CHỨNG CHỈ HÀNH NGHỀ CHỨNG KHOÁN
ANNOUNCEMENT REGARDING THE TERMINATION OF THE LABOR CONTRACT
WITH A SECURITIES PRACTITIONER**

**Kính gửi: Ủy ban Chứng khoán Nhà nước
To: The State Securities Commission of Vietnam**

- Tên công ty: Công ty Cổ phần Chứng khoán VietinBank.
Company Name: VietinBank Securities Joint Stock Company.
- Giấy phép thành lập và hoạt động số: 107/UBCK-GP cấp ngày: 01/07/2009.
Establishment and Operation License No.: 107/UBCK-GP issued on July 1, 2009.
- Lý do thông báo với Ủy ban Chứng khoán Nhà nước: Chấm dứt hợp đồng lao động với người hành nghề chứng khoán:
Reason for announcement to The State Securities Commission of Vietnam: Termination of the labor contract with a securities practitioner:
 - Họ và tên người hành nghề chứng khoán: **Bùi Anh Tuấn**
Full Name of securities practitioner: Bui Anh Tuan
 - Quốc tịch: Việt Nam
Nationality: Vietnam
 - Giấy CMND/Hộ chiếu số: [REDACTED] cấp ngày: [REDACTED] tại: Cục cảnh sát QLHC về TTXH.
ID Card/Passport No.: [REDACTED] issued on [REDACTED] by the Police Department for Administrative Management of Social Order.
 - Loại chứng chỉ hành nghề chứng khoán: Chứng chỉ hành nghề Phân tích tài chính.
Type of Certificate: Financial Analysis Practicing Certificate.
 - Số Chứng chỉ hành nghề Phân tích tài chính: 003230/PTTC cấp ngày 16/01/2026
Financial Analysis Practicing Certificate No.: 003230/PTTC issued on January 16, 2026.
 - Ngày bắt đầu nghỉ việc: 30/09/2026.
Effective date of resignation: September 30, 2026
 - Lý do chấm dứt hợp đồng lao động: Theo nguyện vọng cá nhân
Reason for termination: Based on personal aspirations.



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3.2 Họ và tên người hành nghề chứng khoán: **Vũ Lan Phương**

Full Name of securities practitioner: Vu Lan Phuong

- Quốc tịch: Việt Nam

Nationality: Vietnam

- Giấy CMND/Hộ chiếu số: [redacted] cấp ngày: [redacted] tại: Cục cảnh sát QLHC về TTXH.

ID Card/Passport No.: [redacted] issued on . [redacted] by the Police Department for Administrative Management of Social Order.

- Loại chứng chỉ hành nghề chứng khoán: Chứng chỉ hành nghề Quản lý Quỹ.

Type of Certificate: Fund Management Practicing Certificate.

- Số Chứng chỉ hành nghề Quản lý Quỹ: 002509/QLQ cấp ngày 09/04/2024

Fund Management Practicing Certificate No.: 002509/QLQ issued on April 9, 2024.

- Ngày bắt đầu nghỉ việc: 01/10/2026.

Effective date of resignation: October 1, 2026

- Lý do chấm dứt hợp đồng lao động: Theo nguyện vọng cá nhân

Reason for termination: Based on personal aspirations.

Chúng tôi xin cam kết hoàn toàn chịu trách nhiệm trước pháp luật về tính chính xác, trung thực của nội dung thông báo này.

We hereby commit to take full legal responsibility for the accuracy and truthfulness of this notification.

Nơi nhận/ Recipients:

- Như đề gửi/ As To;

- Lưu P.TCHC/ Archived: HR & Administration Department.

Tài liệu kèm theo/ Attached documents:

- Quyết định số 150/2026/QĐ-TGD-VBSE01 của Tổng Giám đốc Công ty Cổ phần Chứng khoán VietinBank ngày 30/09/2026 về việc chấm dứt hợp đồng lao động với Ông Bùi Anh Tuấn.

- Decision No. 150/2026/QĐ-TGD-VBSE01 dated September 30, 2026 issued by the General Director of VietinBank Securities Joint Stock Company on the termination of the labor contract with Mr. Bui Anh Tuan.

- Chứng chỉ hành nghề Phân tích Tài chính số 003230/PTTC cấp ngày 16/01/2026 của Ông Bùi Anh Tuấn.

NGƯỜI ĐẠI DIỆN THEO PHÁP LUẬT

LEGAL REPRESENTATIVE

CHỦ TỊCH HỘI ĐỒNG QUẢN TRỊ

CHAIRMAN OF THE BOARD OF DIRECTORS



Trần Phúc Vinh/ Tran Phuc Vinh

- *Financial Analysis Practicing Certificate No. 003230/PTTC of Mr. Bui Anh Tuan, issued on January 16, 2026.*

- Quyết định số 151/2026/QĐ-TGD-VBSE01 của Tổng Giám đốc Công ty Cổ phần Chứng khoán VietinBank ngày 30/09/2026 về việc chấm dứt hợp đồng lao động với Bà Vũ Lan Phương.

- *Decision No. 151/2026/QĐ-TGD-VBSE01 dated September 30, 2026 issued by the General Director of VietinBank Securities Joint Stock Company on the termination of the labor contract with Ms. Vu Lan Phuong.*

- Chúng tôi hành nghề Quản lý Quỹ số 002509/QLQ cấp ngày 09/04/2024 của bà Vũ Lan Phương.

- *Fund Management Practicing Certificate No. 002509/QLQ of Ms. Vu Lan Phuong, issued on April 9, 2024.*



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**VIETINBANK SECURITIES
JOINT STOCK COMPANY**

No.: 150/2026/QĐ-TGD-VBSE01

SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness

Hanoi, September 30, 2026

DECISION

On termination of Labor Contract

GENERAL DIRECTOR OF VIETINBANK SECURITIES JOINT STOCK COMPANY

Pursuant to the Labor Code of 2019;

Pursuant to the Charter on Organization and Operation of VietinBank Securities Joint Stock Company as approved by the General Meeting of Shareholders;

Pursuant to the Application for termination of labor contract dated September 8, 2026 of Mr. Bui Anh Tuan - Senior Specialist, Brokerage and Investment Consulting Department, VietinBank Securities Joint Stock Company;

At the proposal of the Head of the Organization and Administration Department,

DECIDES:

Article 1: To terminate the Labor Contract with Mr. **Bui Anh Tuan** - Senior Specialist, Brokerage and Investment Consulting Department, VietinBank Securities Joint Stock Company, effective from September 30, 2026. Reason: Personal request.

Article 2: Responsibilities and entitlements of Mr. **Bui Anh Tuan** upon termination of the contract:

Responsibilities:

- To strictly comply with the information confidentiality provisions committed in the Labor Contract.
- To fully settle all outstanding advances and other financial obligations (if any) with the Finance and Accounting Department before September 30, 2026.
- To hand over all equipment, assets under management, and assigned tasks at VietinBank Securities Joint Stock Company (if any).
- To be responsible before the Company's Board of Management and before the law for all work handled during the period of holding the position at VietinBank Securities Joint Stock Company.
- After termination of the labor contract at VietinBank Securities Joint Stock Company, should any issues arise relating to the period of holding responsibilities, **Mr. Bui Anh Tuan** shall be responsible for cooperating in resolving them upon request of the Company's Management.



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Entitlements:

- To be paid salary and other allowances (if any) up to and including September 29, 2026, in accordance with the regulations of VietinBank Securities Joint Stock Company.
- To be paid the amount of: VND 3,075,000 (in words: Three million and seventy-five thousand dong) in accordance with the current provisions of the Labor Code.

Article 3: The Deputy General Directors, Chief Accountant, Head of the Organization and Administration Department, Head of the Brokerage and Investment Consulting Department of VietinBank Securities Joint Stock Company, **Mr. Bui Anh Tuan**, and relevant individuals shall be responsible for the implementation of this Decision.

Recipients:

- As per Article 3;
- Filed at the Organization and Administration Department.



GENERAL DIRECTOR

Vu Duc Manh



**VIETINBANK SECURITIES
JOINT STOCK COMPANY**

No.: 151/2026/QĐ-TGD-VBSE01

SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness

Hanoi, September 30, 2026

DECISION

On termination of Labor Contract

GENERAL DIRECTOR OF VIETINBANK SECURITIES JOINT STOCK COMPANY

Pursuant to the Labor Code of 2019;

Pursuant to the Charter on Organization and Operation of VietinBank Securities Joint Stock Company as approved by the General Meeting of Shareholders;

Pursuant to the Application for termination of labor contract dated September 15, 2026 of Ms. Vũ Lan Phương – Senior Specialist, Self-Trading and Underwriting Department, VietinBank Securities Joint Stock Company;

At the proposal of the Head of the Organization and Administration Department,

DECIDES:

Article 1: To terminate the Labor Contract with Ms. **Vu Lan Phuong** - Senior Specialist, Self-Trading and Underwriting Department, VietinBank Securities Joint Stock Company, effective from October 1, 2026. Reason: Personal request.

Article 2: Responsibilities and entitlements of Ms. **Vu Lan Phuong** upon termination of the contract:

Responsibilities:

- To strictly comply with the information confidentiality provisions committed in the Labor Contract.
- To reimburse VND 20,000,000 (in words: Twenty million dong) in outstanding performance bonus received for 2025.
- To fully settle all outstanding advances and other financial obligations (if any) with the Finance and Accounting Department before October 1, 2026.
- To hand over all equipment, assets under management, and assigned tasks at VietinBank Securities Joint Stock Company (if any).
- To be responsible before the Company's Board of Management and before the law for all work handled during the period of holding the position at VietinBank Securities Joint Stock Company.
- After termination of the labor contract at VietinBank Securities Joint Stock Company, should any issues arise relating to the period of holding responsibilities, **Ms. Vu Lan Phuong** shall be responsible for cooperating in resolving them upon request of the Company's Management.



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Entitlements:

- To be paid salary and other allowances (if any) up to and including September 30, 2026, in accordance with the regulations of VietinBank Securities Joint Stock Company.
- To be paid the amount of: VND 9,250,000 (in words: Nine million, two hundred and fifty thousand dong) in accordance with the current provisions of the Labor Code.

Article 3: The Deputy General Directors, Chief Accountant, Head of the Organization and Administration Department, Head of the Self-Trading and Underwriting Department of VietinBank Securities Joint Stock Company, **Ms. Vu Lan Phuong** and relevant individuals shall be responsible for the implementation of this Decision.

Recipients:

- As per Article 3;
- Filed at the Organization and Administration Department.



Vu Duc Manh



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BỘ TÀI CHÍNH
ỦY BAN CHỨNG KHOÁN NHÀ NƯỚC
MINISTRY OF FINANCE
THE STATE SECURITIES COMMISSION OF VIETNAM



Chữ ký, họ tên người hành nghề chứng khoán
Signature, full name of the Financial Analyst

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

CHỨNG CHỈ HÀNH NGHỀ
PHÂN TÍCH TÀI CHÍNH
FINANCIAL ANALYSIS CERTIFICATE

Số/Number: 003230PTTC

Họ và tên/Full Name: BÙI ANH TUÂN

Ngày sinh/Date of birth:

Quốc tịch/Nationality: Việt Nam

Giấy CMND/Hộ chiếu số/ID Card/Passport number:

cấp ngày/Date of issue:

tại/Place of issue: Cục Cảnh sát QLHC về TTXH

Hà Nội, ngày/day 16 tháng/month 01 năm/year 2026

KT. CHỦ TỊCH ỦY BAN CHỨNG KHOÁN NHÀ NƯỚC
CHAIRMAN OF THE STATE SECURITIES COMMISSION



Hà Duy Tùng

BỘ TÀI CHÍNH
ỦY BAN CHỨNG KHOÁN NHÀ NƯỚC
MINISTRY OF FINANCE
THE STATE SECURITIES COMMISSION OF VIETNAM



Chữ ký, họ tên người hành nghề chứng khoán
Signature, full name of the Securities Broker

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

CHỨNG CHỈ HÀNH NGHỀ QUẢN LÝ QUỸ
FUND MANAGEMENT CERTIFICATE

Số/Number.....002509...../QLQ

Họ và tên/Full Name: **VŨ LAN PHƯƠNG**

Ngày sinh/Date of birth:

Quốc tịch/Nationality: **Việt Nam**

Giấy CMND/Hộ chiếu số/ID Card/Passport number:

cấp ngày/Date of issue:

tại/Place of issue:

**Cục Cảnh sát quản lý hành chính
về trật tự xã hội**

Hà Nội, ngày/day.....9.....tháng/month.....4.....năm/year...2024

K.T. CHỦ TỊCH ỦY BAN CHỨNG KHOÁN NHÀ NƯỚC
CHAIRMAN OF THE STATE SECURITIES COMMISSION



Phạm Hồng Sơn