

Số: 102 /2026/CV-PTSV

Hà Nội, ngày 09 tháng 03 năm 2025

CÔNG BỐ THÔNG TIN BẤT THƯỜNG
EXTRAORDINARY INFORMATION DISCLOSURE

Kính gửi: - Ủy Ban Chứng khoán Nhà nước
The State Securities Commission
- Sở Giao dịch Chứng khoán Việt Nam
Vietnam Exchange
- Sở Giao dịch Chứng khoán Hà Nội
Hanoi Stock Exchange
- Sở Giao dịch Chứng khoán Thành phố Hồ Chí Minh
Ho Chi Minh Stock Exchange

1. Tên Tổ chức : Công ty Cổ phần Chứng khoán Pinetree
Name of organization: Pinetree Securities Corporation
Mã thành viên : 010
Member code : 010
Địa chỉ : Tầng 20, ROX Tower, 54A Nguyễn Chí Thanh, Phường Láng, Hà Nội
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Email : report@pinetree.vn

2. Nội dung thông tin công bố /*The content of disclosure information:*

- Nghị quyết Hội đồng Quản trị số 02/2026/NQ-HĐQT ngày 06/03/2026 thông qua giao dịch với người có liên quan (Công ty TNHH Bảo hiểm Hanwha Life Vietnam).
Resolution of the Board of Directors No. 02/2026/NQ-HDQT dated 06/03/2026 approving the transactions with a related party (Hanwha Life Vietnam Insurance Company Limited).
- Quy chế Công bố thông tin sửa đổi, bổ sung của Công ty Cổ phần Chứng khoán Pinetree.
Regulation on Information Disclosure (amended and supplemented) of Pinetree Securities Corporation.

3. Thông tin này đã được công bố trên trang thông tin điện tử của công ty vào ngày 09/03/2025 tại đường dẫn: <https://pinetree.vn/post/category/quan-he-nha-dau-tu>
This information were disclosed on Company's webpage at 09/03/2025 and available at: https://pinetree.vn/en/post/category/investor-relations

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 declare that all information provided in this paper is true and accurate; and that we shall be held liable for any misrepresentation.

Tài liệu đính kèm/*Attached documents:*

- Nghị quyết HĐQT số 02/2026/NQ-HĐQT /*BOD Resolution No. 02/2026/NQ-HDQT.*
- Quy chế Công bố thông tin sửa đổi, bổ sung /*Regulation on Information Disclosure (amended and supplemented)*

Người được ủy quyền thực hiện công bố thông tin
For and behalf of Pinetree
Representative authorized to disclosure information



Phan Thị Phương Thủy
Trưởng phòng Quản trị Vận hành
Head of Operation Management Department

**PINETREE SECURITIES
CORPORATION**

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SOCIALIST REPUBLIC OF VIETNAM
Independence - Freedom - Happiness

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**REGULATIONS ON
INFORMATION DISCLOSURE
PINETREE SECURITIES CORPORATION**



Hanoi, 06 / 03 / 2026

TABLE OF CONTENTS

CHAPTER I. GENERAL PROVISIONS	1
Article 1. Purpose	1
Article 2. Subjects of Regulation and scope of application.....	1
Article 3. Definition & Abbreviation	1
Article 4. Principles of reporting and information disclosure	2
Article 5. Requirements for reporting and information disclosure.....	2
Article 6. Person responsible for information disclosure	3
Article 7. Forms and means of reporting and information disclosure.....	3
Article 8. Contents of reports and information disclosure	4
Article 9. Temporary postponement of information disclosure	5
Article 10. Procedures for reporting and information disclosure.....	5
Article 11. Preservation and storage of reports and disclosed information	5
Article 12. Control of conflicts of interest	5
Article 13. Handling of violations related to information disclosure.....	6
Article 14. Responsibilities of Departments	6
CHAPTER II. EFFECT AND IMPLEMENTATION PROVISIONS.....	6
Article 15. Effect.....	6
Article 16. Implementation	6

LEGAL BASIS

Pursuant to:

- The Law on Enterprises and its guiding documents in force from time to time.
- The Law on Securities and its guiding documents in force from time to time.
- Decree No. 155/2020/ND-CP detailing the implementation of a number of articles of the Law on Securities and its amendments and supplements.
- Circular No. 96/2020/TT-BTC providing guidance on information disclosure in the securities market and its amendments and supplements.
- Circular No. 121/2020/TT-BTC regulating the operations of securities companies and its amendments and supplements.
- Other relevant legal documents.

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REGULATIONS ON INFORMATION DISCLOSURE PINETREE SECURITIES CORPORATION

(Promulgated together with Resolution No. 02/2026/NQ-HDQT dated 06/03/2026 of the Board of Directors of Pinetree Securities Corporation)

CHAPTER I. GENERAL PROVISIONS

Article 1. Purpose

This Information Disclosure Regulation (“**Regulation**”) is issued for the following purposes:

- 1.1. To stipulate the principles governing reporting and information disclosure activities in accordance with applicable laws throughout Pinetree Securities Corporation.
- 1.2. To specifically define the responsibilities and coordination among units within Pinetree Securities Corporation in order to ensure that the Company’s reporting and information disclosure fully comply with applicable legal regulations.

Article 2. Subjects of Regulation and scope of application

- 2.1. Subjects of Regulation: This Regulation applies to the implementation of information disclosure in the securities market by Pinetree Securities Corporation and the Company’s shareholders.
- 2.2. Scope of application: This Regulation shall be uniformly applied throughout Pinetree Securities Corporation.

Article 3. Definition & Abbreviation

- 3.1. “**Company**” or “**Pinetree**” refers to Pinetree Securities Corporation.
- 3.2. “**Information Disclosure Person**” refers to the Legal Representative or the person authorized to carry out information disclosure.
- 3.3. “**Investors subject to information disclosure obligations**” include:
 - Investors who are insiders of the Company and related persons of such insiders;
 - Major shareholders, or groups of related persons owning 5% or more of the Company’s voting shares;
 - Investors or groups of related investors acquiring shares to hold 5% or more of the Company’s voting shares;
 - Organizations or individuals conducting a public tender offer for the Company’s shares.
- 3.4. “**Insiders of the Company**” refers to individuals holding key positions in the Company’s governance and management structure, including:
 - Members of the Board of Directors;
 - Members of the Board of Supervisors and members of the Internal Audit Committee;
 - The General Director, Deputy General Directors, or equivalent managerial positions elected by the General Meeting of Shareholders or appointed by the Board of Directors; other individuals holding managerial positions with authority to represent and sign transactions on behalf of the Company in accordance with the Company’s Charter;

- The Chief Accountant, Head of the Finance and Accounting Department, and the person in charge of accounting;
 - The Legal Representative and the authorized Information Disclosure Person.
- 3.5. “SSC” refers to the State Securities Commission.
- 3.6. “VSDC” refers to the Vietnam Securities Depository and Clearing Corporation.

Article 4. Principles of reporting and information disclosure

- 4.1. Information disclosure must be complete, accurate, and timely in accordance with applicable laws and must ensure the following contents:
- The Company shall be responsible for the content of the disclosed information. In the event of any change to the information already disclosed, the Company must disclose the changed contents and clearly state the reasons for such changes compared to the previously disclosed information.
 - The disclosure of personal information, including citizen identification card number or valid passport number, contact address, permanent residence address, telephone number, fax number, email address, securities trading account number, securities depository account number, bank account number, securities trading code of foreign investors, and economic organizations with foreign investment capital holding more than 50% of charter capital, shall only be conducted with the consent of the relevant individual or entity.
- 4.2. When conducting information disclosure, the Company must simultaneously report to the SSC and the Stock Exchange. In cases where the disclosed information contains personal information and the Company does not wish to publicly disclose such information, the Company must submit two (02) sets of documents to the SSC and the Stock Exchange, including: one (01) report on information disclosure containing full personal information, and one (01) report excluding personal information, for the SSC and the Stock Exchange to carry out the information disclosure.
- 4.3. The language of information disclosure shall be Vietnamese or bilingual Vietnamese–English. In cases where information is disclosed in both Vietnamese and English, the English version is for reference purposes only. In the event of any discrepancy between the Vietnamese and English versions, the Vietnamese version shall prevail.

Article 5. Requirements for reporting and information disclosure

- 5.1. Reporting and information disclosure must be carried out in strict compliance with the forms prescribed by the competent authorities and submitted in accordance with the required methods applicable from time to time. For written reports, the documents must bear the full seal and signature of the person having authority to sign the reports and information disclosure documents.
- 5.2. Reporting and information disclosure must ensure truthfulness, objectivity, completeness, accuracy, and timeliness.
- 5.3. Information disclosure must be conducted concurrently with reporting to the SSC and the Stock Exchange regarding the disclosed contents, and must be carried out simultaneously via the information disclosure channels stipulated in Section 7.2 of this Regulation.

Article 6. Person responsible for information disclosure

- 6.1. The Company shall fulfill its information disclosure obligations through one (01) Legal Representative or one (01) individual authorized as the Information Disclosure Person.
- The Legal Representative shall be responsible for the completeness, accuracy, and timeliness of the information disclosed by the authorized Information Disclosure Person.
 - The Company must report and re-report information regarding the person responsible for information disclosure to the SSC and the Stock Exchange within 24 hours from the time the appointment, authorization, or change of the Information Disclosure Person takes effect, using the prescribed Information Disclosure Authorization Form, and attaching the Information Provision Form of the authorized Information Disclosure Person in accordance with the templates stipulated in the relevant legal documents (if any).
- 6.2. An investor subject to information disclosure obligations who is an individual may either personally perform the information disclosure obligations or authorize one (01) organization or one (01) other individual to perform such obligations, as follows:
- In case of self-disclosure, at the first time of information disclosure, the individual investor must submit to the SSC and the Stock Exchange an Information Provision Form in accordance with the templates stipulated in the relevant legal documents, and shall be responsible for providing accurate, timely, and complete information whenever there is any change to the contents of the above Information Provision Form;
 - In case of authorized disclosure, the individual investor shall be responsible for the completeness, accuracy, and timeliness of the information disclosed by the authorized information disclosure person. The investor shall be responsible for providing accurate, timely, and complete information regarding his/her securities ownership status and relationship with related persons (if any) to the authorized organization or individual so that such organization or individual may perform the ownership reporting and information disclosure obligations in accordance with the law;
 - The individual investor must register or re-register information regarding the authorized information disclosure person within 24 hours from the time the authorization or change of the information disclosure person takes effect, using the prescribed Information Disclosure Authorization Form, and attaching the Information Provision Form of the individual investor and the Information Provision Form of the authorized information disclosure person (in case the authorized information disclosure person is an individual), in accordance with the templates stipulated in the relevant legal documents (if any).

Article 7. Forms and means of reporting and information disclosure

- 7.1. Forms of reporting and information disclosure
- 7.1.1. Information provided for reporting and information disclosure shall be made in paper documents and/or electronic documents in accordance with the requirements of the SSC, the Stock Exchange, and other competent state authorities from time to time, whereby:
- Paper documents are hard-copy documents printed on paper, bearing the signature of the Information Disclosure Person and the official seal of the Company.

- Electronic documents are documents presented in the form of data messages. Electronic documents that are digitally signed using a digital certificate prior to submission shall have legal validity equivalent to paper documents.
- 7.1.2. Individuals/departments assigned to carry out information disclosure via information disclosure software systems must ensure compliance with the following principles:
- Be responsible for maintaining the confidentiality of registration information, including usernames and passwords, used for information disclosure to the SSC and the Stock Exchange;
 - Submit reports and disclose information strictly in accordance with the instructions and guidance of the SSC and the Stock Exchange.
- 7.2. Means of reporting and information disclosure
- 7.2.1. Reporting and information disclosure shall be carried out through one, several, or all of the following means:
- The official website of Pinetree at: <https://pinetree.vn>;
 - The information disclosure system of the SSC;
 - The information disclosure system of the Stock Exchange;
 - The website of the VSDC;
 - Other mass media as prescribed by law (printed newspapers, electronic newspapers, etc.).
- 7.2.2. Information disclosure via the Company’s website must ensure the following:
- Upon establishing a website, the Company must report to the SSC and the Stock Exchange, and publicly disclose the website address and any changes thereto within 03 working days from the date of completion of the website establishment or from the date of any change to the website address.
 - The Company’s website must include information on its business lines and sectors and other information required to be publicly disclosed on the National Business Registration Portal in accordance with the Law on Enterprises, and any changes related thereto; and must have a separate section on Shareholder (Investor) Relations, which shall disclose the Company Charter, the Regulations on Information Disclosure, internal corporate governance regulations (if any), the Regulations on the operation of the Board of Directors and the Board of Supervisors (if any), the Prospectus (if any), periodic, extraordinary and on-demand disclosed information, and other activities as required by law.
- 7.2.3. The methods of reporting and information disclosure on the information disclosure systems of the SSC, the Stock Exchange, and other forms required by relevant authorities shall be implemented in accordance with the guidance of each authority.

Article 8. Contents of reports and information disclosure

The contents of the Company’s reports and information disclosure must be approved by the Legal Representative of the Company, the authorized information disclosure person of the Company, and/or the person with proper authority within the Company in accordance with the Company’s internal regulations on delegation and authorization of approval, and in

compliance with the applicable laws and regulations in effect at the time of reporting and information disclosure.

Article 9. Temporary postponement of information disclosure

- 9.1. In cases where information disclosure cannot be carried out within the prescribed time limit due to force majeure events such as natural disasters, fires, wars, epidemics, or other force majeure circumstances, the Company must report to the SSC and the Stock Exchange(s) the temporary suspension of information disclosure immediately upon the occurrence of such event. Such report must clearly state the reasons for the temporary suspension, and the Company must concurrently disclose the temporary suspension of information disclosure.
- 9.2. Immediately after the force majeure circumstances have been remedied, the Company shall be responsible for fully disclosing all information that was previously not disclosed, in accordance with applicable laws and regulations.

Article 10. Procedures for reporting and information disclosure

- 10.1. The procedures for reporting and information disclosure, the forms of information disclosure, documents subject to disclosure, and reports required to be submitted by the Company shall be specified in detail in the Procedure for Information Disclosure issued by the General Director, ensuring compliance with applicable laws and regulations.
- 10.2. The Company shall fully perform its obligations in relation to periodic information disclosure, extraordinary information disclosure, and information disclosure upon request, in accordance with the provisions of law and the guidance of competent authorities from time to time.

Article 11. Preservation and storage of reports and disclosed information

The Company shall be responsible for the preservation and retention of information that has been reported and disclosed in accordance with the Company's Regulations on Document Classification and Storage effective from time to time, in which:

- Periodic disclosed information shall be retained in written form (if any) and in electronic data form for a minimum period of ten (10) years. Such information must be maintained on the Company's website for at least five (5) years;
- Extraordinary disclosed information or information disclosed upon request shall be maintained on the Company's website for a minimum period of five (5) years.

Article 12. Control of conflicts of interest

At any time prior to the disclosure of information, any individual or departments of the Company that participates in the Company's information disclosure process or becomes aware of the Company's information to be disclosed shall have the obligation to:

- Not provide or disclose information subject to disclosure to any other individuals or organizations without the approval of the Company's competent authority;
- Not misuse or exploit any information of the Company that has not yet been authorized for disclosure for personal gain or for the benefit of any other organization or individual.



Article 13. Handling of violations related to information disclosure

Any individual, department that commits acts in violation of the information disclosure provisions under this Regulation and relevant laws shall, depending on the nature and severity of the violation, be subject to disciplinary measures in accordance with Pinetree's Internal Labor Regulations and disciplinary policies.

Article 14. Responsibilities of Departments

- 14.1. To prepare reports and information disclosure documents in accordance with the Regulations on Information Disclosure and the Procedure for Information Disclosure for which the respective department is responsible and/or in accordance with instructions of the competent authority from time to time.
- 14.2. To proactively update and comply with the provisions of this Regulation, the Procedure for Information Disclosure and other relevant internal regulations in order to support related departments in completing reporting and information disclosure obligations.

CHAPTER II. EFFECT AND IMPLEMENTATION PROVISIONS

Article 15. Effect

- 15.1. This Regulation takes effect from the date of signing and issuing that is stated at the beginning of the Regulation.
- 15.2. Any amendment, supplementation, or termination of the validity of this Regulation must be made in writing and approved by the Company's Board of Directors.
- 15.3. This Regulation is made in 02 (two) original copies including 01 (one) Vietnamese copy and 01 (one) English copy. In case of any discrepancy between the Vietnamese and English versions, the Vietnamese version shall prevail.

Article 16. Implementation

- 16.1. Issues that have not been mentioned in this Regulation, will be implemented in accordance with the relevant provisions of the law and internal regulations of the Company.
- 16.2. All Departments within the Company and relevant individuals are responsible for implementing this Regulation.

ON BEHALF OF BOARD OF DIRECTORS



LEE JUN HYUCK