VIETNAM EXCHANGE

SOCIALIST REPUBLIC OF VIETNAM
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REGULATION ON ENHANCED EQUITY TRADE SURVEILLANCE DURING FTSE RUSSELL INDEX REVIEW PERIODS

(Issued enclosed with Decision No. 76./QD-HDTV dated August 28th, 2026 of the Board of Members of the VIETNAM EXCHANGE)

Article 1. Scope and purpose

1. This Regulation provides for enhanced trade surveillance of stocks listed on the Ho Chi Minh Stock Exchange during index review periods for indices developed and managed by FTSE Russell under partnership agreements with the VIETNAM EXCHANGE and its subsidiary.

2. The enhanced trade surveillance aims to early identify transactions showing signs of securities price manipulation or using insider information for illicit gains during index review periods.

Article 2. Subjects of Application

1. VIETNAM EXCHANGE (VNX).

2. Ho Chi Minh Stock Exchange (HOSE).

3. Trading members of the VIETNAM EXCHANGE.

Article 3. Interpretation of terms

For the purposes of these Regulations, the following terms shall be construed as follows:

1. *FTSE Russell Indices*: means indices developed, managed and calculated by FTSE Russell, usingstocks listed in Vietnam as constituents or as a basis for calculation in accordance with partnership agreement with the VIETNAM EXCHANGE and its subsidiary.

2. *FTSE Index Review Period*: means the period of executing the process of reviewing, evaluating, and adjusting the index portfolio in accordance with FTSE Russell's rules, including the determination of input data, evaluation of selection criteria, determination or adjustment of constituent stocks, weights and investability weights, from the cut-off date for thereview period to the effective date of the new portfolio and the surveillance time after the new index portfolio takes effect.

3. *Cut-off Date*: means the end of the period for collecting and determining input data used for the calculation, classification and determination of constituent stocks, weights or investability weights in accordance with the applicable FTSE Russell Ground Rules. Input data may include market capitalisation, liquidity, free float, foreign ownership limits and other data prescribed under the rules applicable to each index series.

4. *Review announcement Date*: means the date on which FTSE Russell officially announces to the public the results of the review, portfolio adjustment, constituents, weights or investability weights in accordance with the applicable regulations and announcement schedule for each index series.

5. *Review Effective Date*: means the date the index portfolio and any changes to its constituents, weights or investability weights are officially applied by FTSE Russell for index calculation.

Article 4. Enhanced trade surveillance principles

1.To ensure proactiveness, continuity, and comprehensiveness before, during, and after index review periods in surveillance activities, in order to promptly detect transactions with abnormal signs.

2.To ensure the proper functions, tasks, authority, and responsibilities of units and individuals in surveillance activities.

3. Surveillance activities under this Regulation shall be conducted concurrently with other surveillance activities in accordance with current regulations, without replacing or affecting the implementation of such surveillance activities.

Article 5. Durationfor enhanced trade surveillance

Enhanced trade surveillance of securities trading during FTSE Russell index review periods shall be conducted review in a 3-phase cycle specifically as follows:

Phase 1: From the trading day immediately preceding the Cut-off Date to the trading day immediately preceding the Review announcement Date.

Phase 2: From the Review announcement Date to the trading day immediately preceding the Review Effective Date.

Phase 3: From the Review Effective Date through the end of the fifth trading day immediately following the Review Effective Date.

Article 6. Enhanced trade surveillance subjects

1. Stocks that may potentially be added to and removed from the index constituents from the Cut-off Date until FTSE Russell announces the relevant information.

2. Stocks officially announced by FTSE Russell as being added to and removed from the index constituents.

Article 7. Enhanced trade surveillance contents

1. Surveillance of transactions conducted through accounts or groups of accounts showing signs of influencing prices or liquidity;

2. Surveillance of accounts or groups of accounts showing signs of influencing the closing price on the trading day immediately preceding the Index Effective Date;

3. Surveillance of transactions conducted through accounts or groups of accounts showing signs of using insider information in securities trading.

Article 8. Enhanced trade surveillance procedures

HOSE shall take the lead in developing, issuing and implementing the Enhanced Trade Surveillance Procedures for securities trading during FTSE Russell index review periods upon approval by VNX.

Article 9. Enhanced trade surveillance criteria

Based on the Set of Securities Trading Surveillance Criteria issued by VNX and actual market conditions, HOSE shall determine the parameters applicable to the surveillance criteria for enhanced trade surveillance of securities trading during FTSE Russell index review periods and report to VNX for its opinion prior to application.

Article 10. Responsibilities of relevant organizations

1. Responsibilities of the VIETNAM EXCHANGE

a) To direct, supervise and urge HOSE in the implementation of enhanced trade surveillance of securities trading during FTSE Russell index review periods.

b) To approve the Enhanced Trade Surveillance Procedures for securities trading during FTSE Russell index review periods developed by HOSE.

c) To provide its opinion on the parameters applicable to the surveillance criteria used for enhanced trade surveillance of securities trading during FTSE Russell index review periods.

2. Responsibilities of the Ho Chi Minh Stock Exchange

a) To organize the implementation of surveillance activities in accordance with this Regulation.

b) To require trading members to provide information and documents to clarify transactions showing signs of suspicious activity during FTSE Russell index review periods in accordance with Point b, Clause 3, Article 7 of Circular

No. 95/2020/TT-BTC, as amended and supplemented by Article 5 of Circular No. 138/2025/TT-BTC.

c) To report to the State Securities Commission and VNX cases involving suspicious transactions during FTSE Russell index review periods in accordance with Point c, Clause 3, Article 7 of Circular No. 95/2020/TT-BTC, as amended and supplemented by Article 5 of Circular No. 138/2025/TT-BTC.

3. Trading members shall be responsible for promptly, fully and accurately providing information and documents upon request by HOSE and VNX in accordance with Point b, Clause 3, Article 7 of Circular No. 95/2020/TT-BTC, as amended and supplemented by Article 5 of Circular No. 138/2025/TT-BTC.

Article 11. Provisions of Implementation

1. In case a legal document promulgated after the effective date of this Regulation contains provisions different from those of this Regulation, such legal document shall prevail until the Vietnam Exchange amends, supplements, or issues a replacing Regulation.

2. In the course of implementation, if any difficulties or new issues arise, the Ho Chi Minh City Stock Exchange shall promptly report to the Vietnam Exchange for guidance, or for amendment and supplementation.

3. The amendment and supplementation of this Regulation shall be decided by the Board of Members of the Vietnam Exchange upon approval by the State Securities Commission.

ON BEHALF OF THE BOARD OF MEMBERS
CHAIRMAN

Luong Hai Sinh

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