



No. 569/QĐ-XPHC

Hanoi, September 30, 2026

DECISION

On Administrative Sanctions

CHIEF INSPECTOR OF THE STATE SECURITIES COMMISSION

CÔNG TY
CỔ PHẦN
CHỨNG
KHOÁN PHỐ
WALL

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Based on Articles 57, 68, 70, 78 and 85 of the Law on Handling Administrative Violations No. 15/2012/QH13, as amended and supplemented by Law No. 67/2020/QH14 and Law No. 88/2025/QH15;

Based on Decree No. 118/2021/ND-CP dated December 23, 2021 of the Government detailing a number of articles and measures for implementation of the Law on Handling Administrative Violations, as amended and supplemented by Decree No. 68/2025/ND-CP and Decree No. 190/2025/ND-CP;

Based on Decree No. 156/2020/ND-CP dated December 31, 2020 of the Government prescribing administrative penalties for violations in the securities sector and securities market (Decree No. 156/2020/ND-CP), as amended and supplemented by Decree No. 128/2021/ND-CP and Decree No. 306/2025/ND-CP;

Based on the Administrative Violation Record No. 17/BB-VPHC made on September 21, 2026;

Based on Decision No. 03/QĐ-GQXP dated January 5, 2026 of the Chief Inspector of the State Securities Commission on delegation of authority to impose administrative sanctions.

HEREBY DECIDES:

Article 1.

1. To impose administrative sanctions on the following organization:

Name of violating organization: Wall Street Securities Joint Stock Company (the "Company").

Head office address: 9th Floor, ICON4 Building, No. 243A De La Thanh Street, Lang Thuong Ward, Dong Da District, Hanoi City (now Lang Ward, Hanoi City)

Enterprise Registration Certificate/Enterprise ID No.: 0102590252, first issued on December 20, 2007; December 17, 2024 (7th amendment registration); Issuing authority: Department of Planning and Investment of Hanoi City (now Department of Finance of Hanoi City)

Establishment and Operation License No. 86/UBCK-GP dated December 20, 2007; latest amended License No. 18/GPDC-UBCK dated May 26, 2017; Issuing authority: State Securities Commission (SSC).

Legal representative: Nguyen Dinh Tu

Gender: Male

Position: Chairman of the Board of Directors

2. Administrative violation committed:

Failure to disclose information required to be disclosed in accordance with law (the Company failed to disclose information concerning Board of Directors Resolution No. 01B/2025/WSS/NQ-HĐQT dated January 14, 2025 approving the securities transaction contract for the transfer of 10,000 shares of Cao Bang Minerals and Industry Joint Stock Company to Education Financial Investment Joint Stock Company, which is a related person of an internal person of the Company; and Board of Directors Resolution No. 17B/2025/WSS/NQ-HĐQT dated August 8, 2025 approving the transaction contract for the acquisition of 700,000 shares of Hoang Thanh Infrastructure Investment and Development Joint Stock Company from BVA Technology Investment Joint Stock Company, which is a related person of an internal person of the Company).

3. Applicable provision: Point a, Clause 4, Article 42 of Decree No. 156/2020/ND-CP.

4. Aggravating circumstances: Repeated administrative violations, as prescribed at Point b, Clause 1, Article 10 of the Law on Handling Administrative Violations.

5. Mitigating circumstances: None.

6. Penalty and remedial measures applied as follows:

a) Principal penalty: Monetary fine.

Fine of VND 92,500,000 (Ninety-two million five hundred thousand Vietnamese dong).

b) Additional penalty: None.

c) Remedial measures: None.

Article 2. This Decision shall take effect from the date of signing.

Article 3. This Decision shall be:

1. Delivered to Mr. Nguyen Dinh Tu, the representative of the sanctioned organization named in Article 1 of this Decision, for compliance.

Wall Street Securities Joint Stock Company named in Article 1 must strictly comply with this sanctioning decision. If, after the prescribed time limit, Wall Street Securities Joint Stock Company fails to voluntarily comply, enforcement shall be carried out in accordance with law, and for each day of late payment of the fine, Wall Street Securities Joint Stock Company must pay an additional amount equal to 0.05% of the total unpaid fine.

Wall Street Securities Joint Stock Company named in Article 1 shall pay the fine to the State Treasury Region I, at: No. 18 Giai Phong Street, Kim Lien Ward, Hanoi City, or pay the fine into account No. 7111 of the State Treasury Region I within 10 days from the date of receipt of this Decision.

Wall Street Securities Joint Stock Company has the right to lodge a complaint or initiate an administrative lawsuit against this Decision in accordance with law.

2. Sent to the State Treasury Region I for collection of the fine.

3. Sent to Mr. Phung Quang Truong – Specialist, State Securities Commission Inspectorate, for implementation.

Recipients:

- As stated in Article 3;
- Chairman (for reporting);
- Chief Inspector (for reporting);
- Business Management Division (for information);
- Filed: Office, Administrative Records (08b).

**FOR THE CHIEF INSPECTOR
DEPUTY CHIEF INSPECTOR**

(signed)

Le Chien Thang

