

## VOTING NOTE

### VOTING ISSUES OF THE 1<sup>ST</sup> EXTRAORDINARY GENERAL MEETING OF FINANCIAL YEAR 2021 – 2<sup>ND</sup> CALL

#### DC DYNAMIC SECURITIES FUND (DCDS)

(For investors who cannot attend the meeting directly)

#### INVESTOR INFORMATION

Full name: \_\_\_\_\_

Address: \_\_\_\_\_

Securities Trading Code (STC) (\*): \_\_\_\_\_  
issued by Vietnam Securities Depository (VSD).

ID No (\*\*): \_\_\_\_\_ dated \_\_\_\_\_ by \_\_\_\_\_

Business registration No (\*\*\*): \_\_\_\_\_ dated \_\_\_\_\_ by \_\_\_\_\_

Total number of fund units owned: \_\_\_\_\_

(\*) For foreign individual and institutional investors.

(\*\*) Individual investors only.

(\*\*\*) Institutional investors only.

-----Required information of institutional investors-----

Legal Representative: \_\_\_\_\_

ID/Passport No/ID: \_\_\_\_\_ dated \_\_\_\_\_ by \_\_\_\_\_

Pursuant to:

- Interprises Law No 59/2020/QH14 promulgated by the National Assembly of the Socialist Republic of Vietnam dated June 17, 2020, taking effect from January 1, 2021;
- Securities Law No 54/2019/QH14 promulgated by the Socialist Republic of Vietnam on November 26, 2019, taking effect from January 1, 2021;
- Decree No 155/2020/NĐ-CP dated 31 December 2020 by the Government, guiding the implementation of a number of articles of the Securities Law, taking effect from January 1, 2021;
- Circular 96/2020/TT-BTC dated November 16, 2020 by the Ministry of Finance providing guidelines on disclosure of information on securities market, taking effect from January 1, 2021;
- Circular 98/2020/TT-BTC dated 16 December 2020 by the Ministry of Finance guiding the establishment and management of the securities Fund, taking effect from January 1, 2021;
- Circular 99/2020/TT-BTC dated 16 November 2020 by the Ministry of Finance guiding the establishment, organization and operation of the fund management company, taking effect from January 1, 2021.
- Other relevant legal documents;
- The current Charter of Organization and Operation of DC Dynamic Securities Fund (DCDS);
- Rule of voting of the 1<sup>st</sup> Extraordinary General Meeting Of Financial Year 2021 – 2<sup>nd</sup> call.



**I- Fund information:**

- Fund name: DC DYNAMIC SECURITIES FUND.
- License of Establishment and Issue: No 05/GCN-UBCK granted by the SSC dated 08 October 2013.
- Address: 15<sup>th</sup> Floor, Melinh Point Tower, 02 Ngo Duc Ke, Ben Nghe Ward, District 1, Ho Chi Minh City, Viet Nam.
- Tel.: (84-28) 38251488
- Record date: November 29, 2021.
- Exercise: 01 fund unit – 01 voting right.

**II- Purpose:** For approval of voting issues of the 1<sup>st</sup> Extraordinary General Meeting Of Financial Year 2021 – 2<sup>nd</sup> call of DC Dynamic Securities Fund (DCDS)

**III- Time for voting:**

Investors shall fill in blanks and tick (✓) on an appropriate box for approval of voting issues of the the 1<sup>st</sup> Extraordinary General Meeting Of Financial Year 2021 – 2<sup>nd</sup> call of DC Dynamic Securities Fund (DCDS).

Time for vote: from January 04, 2022 until 17:30pm, January 24, 2022.

Voting note should be sent to Dragon Capital VietFund Management (DCVFM) before **17:30pm, January 24, 2022** by 1 in 3 mailing methods mentioned below.

**1. Mail:**

Customer Service Department

Dragon Capital Vietnam Investment Fund Management Joint Stock Company (DCVFM)

15<sup>th</sup> Floor, Me Linh Point Tower, 2 Ngo Duc Ke, District 1, Ho Chi Minh City, Vietnam

**2. Fax:**

Please fill in all information, sign, seal (for institutional investors) and fax to (84-28) 38251489.

**3. E-mail:**

Please fill in all information, sign, seal (for institutional investors), scan and send to E-mail address: [cskh@dragoncapital.com](mailto:cskh@dragoncapital.com)

Email subject: **DCDS\_EGM 2021\_Voting note\_[XXXXXXXXX]** in which XXXXXXXXXX is your fund account number.

**IV- EGM documents & Voting content:**

All materials & Voting content of the 1<sup>st</sup> Extraordinary General Meeting of Investors of Financial Year 2021 – 2<sup>nd</sup> call are disclose on website [www.dragoncapital.com.vn](http://www.dragoncapital.com.vn) under the section Investor Relations – Fund Calendars.

**V- Voting section:**

I/We am/are investor of DC Dynamic Securities Fund (DCDS) certify my/our voting below is correct and does not change in any case.

*Please refer to the content of voting on disclose on website [www.dragoncapital.com.vn](http://www.dragoncapital.com.vn) under the section Investor Relations – Fund Calendars.*

*Please tick (✓) ONE among 3 boxes as below.*

**1. Amendment, supplement “Legal basic”.**

- ☐ Agree ☐ Disagree ☐ No opinion
2. **Amendment, supplement Article 1. Name and Contact details.**  
☐ Agree ☐ Disagree ☐ No opinion
3. **Amendment, supplement Article 7. Fund Management Company.**  
☐ Agree ☐ Disagree ☐ No opinion
4. **Amendment, supplement Clause 1- Article 12. Lending, borrowing, repo and margin transactions.**  
☐ Agree ☐ Disagree ☐ No opinion
5. **Amendment, supplement Clause 3- Article 17. Fund certificate transactions.**  
☐ Agree ☐ Disagree ☐ No opinion
6. **Amendment, supplement Point b- Clause 1- Article 18. Partial redemption, suspension of trading of open-ended fund transactions.**  
☐ Agree ☐ Disagree ☐ No opinion
7. **Amendment, supplement Clause 2- Article 56. Principles of Valuation Method of the Net Asset Value.**  
☐ Agree ☐ Disagree ☐ No opinion
8. **Supplement Clause 1- Article 71. Registration of the Charter**  
☐ Agree ☐ Disagree ☐ No opinion

ON BEHALF OF  
BOARD OF REPRESENTATIVES



LUU DUC KHANH  
Chairman of BOR

ON BEHALF OF  
DRAGON CAPITAL VIETFUND MANAGEMENT



NGUYEN MINH DANG KHANH  
COO- INVESTMENT SERVICES

**INVESTOR<sup>(1)</sup>**

(Sign for individual investors/ Sign & seal for institutional investors)

Name of Investor: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

<sup>1</sup> Note: The signature of the investor must be the signature of the fund unit owner or of the authorized person registered with the Fund Management Company or its authorized representative in accordance with law.

VI- Voting Content:

1. Amend "Legal basic": Update law.

"1. Legal basic

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- ~~Circular 127/2018 / TT-BTC dated December 27, 2018 of the Ministry of Finance regulating the prices of securities services applicable at the Stock Exchange and the Vietnam Securities Depository; Circular 101/2021/TT-BTC dated November 11, 2021 of the Ministry of Finance regulating the prices of services in securities sector rendered by Stock exchanges and Vietnam securities depository; effective from January 1, 2022;~~
- ~~Circular No. 128/2018 / TT-BTC dated December 27, 2018 of the Ministry of Finance regulating the prices of securities services applicable to securities trading organizations and commercial banks participating in the market, securities school; Circular 101/2021/TT-BTC dated November 11, 2021 of the Ministry of Finance regulating the prices of securities-related services rendered by securities trading organizations and commercial banks in Vietnam's securities market, effective from January 1, 2022;~~
- ~~Circular 125/2011/TT-BTC dated 05 September 2011 by the Ministry of Finance on Accounting Guidelines apply to the fund management company;~~

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2. Amendment to Article 1. Name and Contact details: update information of fund.

**ARTICLE 1. Name and Contact details**

Vietnamese name	QUỸ ĐẦU TƯ CHỨNG KHOÁN NĂNG ĐỘNG DC (DCDS)
English name	DC DYNAMIC SECURITIES FUND
Abbreviation	DCDS
Address	: Unit 1701-04, 17th 15 <sup>th</sup> Floor, Melinh Point Tower, 02 Ngo Duc Ke St., Ben Nghe Ward, District 1, HCMC, Vietnam
Telephone	: +84-28 3825 1488
Fax	: +84-28 3825 1489
Website:	: www.dragoncapital.com.vn

3. Amendment to Article 7. Fund Management Company: update information of fund management company.

**" ARTICLE 7. Fund Management Company**

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- **Head office in Ho Chi Minh City**  
Unit 1701-04, 17th 15<sup>th</sup> Floor, Me Linh Point Building, 02 Ngo Duc Ke St, Dist 1, Ho Chi Minh city, Vietnam

4. **Amendment to Clause 1, Article 12. Lending, borrowing, repo and margin transactions:** to match with regulation.

**"ARTICLE 12. Lending, borrowing, repo and margin transactions**

1. Fund management company may not use the capital and assets of the fund to give or underwrite any loan, ~~except for the investments in deposit prescribed in Point a Clause 1 Article 10 of this Charter;~~ "

5. **Amendment to Clause 3- Article 17. Fund certificate transactions:** adjust in accordance with legal regulations.

**"ARTICLE 17. Fund certificate transactions**

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3. Trading fund certificates

a. Subscription orders

- Minimum required subscription specified in the Fund's Prospectus amount ~~according to the usual investment method is 20,000,000 (twenty million) Vietnam dong.~~
- ~~Minimum required subscription amount according to VF-iSaving method is 100,000 (one hundred thousand) Vietnam dong.~~

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b. Redemption orders

- ~~Redemption orders must be fulfilled in the "Redemption Request" and sent to Distribution agents before the Cut-off time~~ The redemption units specified in the Fund's Prospectus ~~must be equal or greater than one hundred units (100 units). The remaining units after the trading must be equal to or greater than the required account maintaining units, which are one hundred units (100 units), except for trading odd units which is defined in the Prospectus.~~

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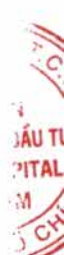
- Redemption payment shall be made by directly transferring to bank accounts of investors or a registered agent or a bank account designated by the investor as detailed in the Fund's Prospectus by Vietnam dong. Bank charges in this case will be paid by the investor (if any).

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c. Switching Orders

- All Investors shall have the right to switch between different funds ~~if the Fund Management company has more than two open-ended funds of DCVFM~~ and those open-ended funds have the same the transfer agent service provider, except switching to Vietnam Select Equities Investment Fund (VFMVSF)."

6. **Amendment to Point b- Clause 1- Article 18. Partial redemption, suspension of trading of open-ended fund transactions:** adjust in accordance with legal regulations.



"ARTICLE 18. Partial redemption, suspension of trading of open-ended fund transactions

- a. ...
- b. The implementation of all of the investors' orders shall lead to the fact that:
  - ...
  - ~~The value of the remaining fund unit or the remaining number of fund units on the investor's account is lower than the minimum value or the minimum number of fund units to maintain the investor's account as prescribed in the Charter, Funds and Prospectus (if any); or"~~

7. Amendment to Clause 2- Article 56. Principles of Valuation Method of the Net Asset Value: adjust in accordance with legal regulations.

"ARTICLE 56. Principles of Valuation Method of the Net Asset Value

2. Method of valuation

No.	Asset type	Methods of valuating transactions on market
<b>Cash and cash equivalents, money market instruments</b>		
1.	Cash (VND)	Cash (VND)
2.	Foreign-currency	<del>The value is converted to VND according to the exchange rate of Joint Stock Commercial Bank for Foreign Trade of Vietnam on the date preceding the valuation date.</del>
4.	<u>Non-interest instruments, including treasury bills, bonds, financial instruments, and other non-interest instruments</u>	<u>The quoted price posted on the trading system of the Stock Exchange (SE); in the absence of the quote price, the price shall be determined by the fund's representative board.</u>
<b>Shares</b>		
9.	Shares listed on Stock Exchange, shares listed on UpCom trading system	- Closing price (or other name as prescribed by regulations of the Stock Exchange) of the latest transaction day prior to the valuation date; - Where shares are not traded for more than 15 days prior to the valuation date, shares are valued at one of the following prices in the following order of priority + Closing price (or other name, according to regulations of the Stock Exchange) on the latest trading date within <del>12 months</del> <b>90 days</b> preceding the Valuation date; + Purchase price (cost price); + Book value; + Price determined by the method which approved by the Board of Representatives.

		<p>The value of listed shares in the process of changing Stock Exchange is there closing prices on the latest trading date e preceding the valuation date.</p> <p>Shares approved for listing but not yet trading are valued as if they are initial public offering shares in listing process.</p>
<b>Fund unit</b>		
<b>13</b>	<b>Fund unit of listed fund</b>	<p><u>- Closing price (or other name according to regulations of the Stock Exchange) on the latest trading date preceding the valuation date;</u></p> <p><u>- Where shares are not traded for more than 15 days prior to the valuation date, shares are valued at one of the following prices in the following order of priority:</u></p> <p><u>+ Closing price (or other name, according to regulations of the Stock Exchange) on the latest trading date within 90 days preceding the Valuation date;</u></p> <p><u>+ Purchase price (cost price);</u></p> <p><u>+ Book value;</u></p> <p><u>+ Price determined by the method which approved by the Board of Representatives.</u></p>
<b>14</b>	<b>Fund unit of unlisted fund</b> <b>Fund-unit</b>	<p><u>NAV/unit as of the latest valuation date of that unlisted fund prior to the valuation date of DCDS Closing-price of the latest transaction day prior to the valuation date</u></p>

*Note:*

In other arising situations where the valuation method cannot be determined, detailed instructions in the Valuation Manual approved by the Fund's Board of Representatives will be applied ~~Valuation methods are detailed under the valuation-policy.~~

8. Amendment to Clause 1- Article 71. Registration of the Charter- Update Charter  
"ARTICLE 71. Registration of the Charter

...

DCDS Charter is amended and supplemented at the 11th time including 16 Chapters, 72 Articles and 3 Appendixes according to Resolution of the Extraordinary General Meeting of Investors the second time of financial year 2021, dated on 25/01/2022 and takes effect from 25/01/2022."

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