



**VOTING NOTE**

**VOTING ISSUES OF THE ANNUAL MEETING OF FINANCIAL YEAR 2021  
DC INCOME PLUS BOND FUND (DCIP)**

**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 insitutional 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 Incone Plus Bond Fund (DCIP)*
- *Rule of voting by written consent of the Annual General Meeting of Financial Year 2021.*



**I- Fund information:**

- Fund name: DC INCOME PLUS BOND FUND.
- License of Establishment and Issue: No 36/GCN-UBCK granted by the SSC dated 03 April 2019.
- 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: February 28, 2022
- Exercise: 01 fund unit – 01 voting right.

**II- Purpose:** For approval of voting issues of the Annual Meeting Of Financial Year 2021 of DC Income Plus Bond Fund (DCIP).

**III- Time for voting:**

Investors shall fill in blanks and tick (✓) on an appropriate box for approval of voting issues of the Annual General Meeting of Financial Year 2021 of DC Income Plus Bond Fund (DCIP).

Time for vote: from March 11, 2022 until 17:30pm, April 01, 2022.

Voting note should be sent to Dragon Capital VietFund Management (DCVFM) before **17:30pm, April 01, 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: **DCIP\_AGM 2021\_Voting note\_[XXXXXXXXXX]** in which XXXXXXXXXX is your fund account number.

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

All materials & Voting content of the Annual General Meeting 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 Income Plus Bond Fund (DCIP) certify my/our voting below is correct and does not change in any case.

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

**1. Voting on Fund's performance in 2021.**

Agree

Disagree

No opinion

**2. Voting on Fund's Audited Financial Statements in 2021.**

- Agree                                       Disagree                                       No opinion
- 3. Voting on 2021 Dividend distribution.**  
 Agree                                       Disagree                                       No opinion
- 4. Voting on Fund's operation plan in 2022.**  
 Agree                                       Disagree                                       No opinion
- 5. Voting on Fund's Auditor selection in 2022.**  
 Agree                                       Disagree                                       No opinion
- 6. Voting on Operation budget for BOR in 2022.**  
 Agree                                       Disagree                                       No opinion
- 7. Voting on Fund's Charter amendments.**
- 7.1. Amendments to legal grounds.**  
 Agree                                       Disagree                                       No opinion
- 7.2. Amendments to the Definitions Section.**  
 Agree                                       Disagree                                       No opinion
- 7.3. Amendments to Clause 2, Article 5. Total mobilized capital and number of certificates offered for sale.**  
 Agree                                       Disagree                                       No opinion
- 7.4. Amendments to Article 7. Fund management company.**  
 Agree                                       Disagree                                       No opinion
- 7.5. Amendments to Article 8. Monitoring Bank.**  
 Agree                                       Disagree                                       No opinion
- 7.6. Amendments to Article 9. Investment objectives.**  
 Agree                                       Disagree                                       No opinion
- 7.7. Amendments to Article 10. Investment Strategy.**  
 Agree                                       Disagree                                       No opinion
- 7.8. Amendments to Clause 2 Article 11. Investment restrictions.**  
 Agree                                       Disagree                                       No opinion
- 7.9. Amendments to Article 12. Loan activities, loans, margin transactions.**  
 Agree                                       Disagree                                       No opinion
- 7.10. Amendments to Point c, Clause 1, Article 16. Register of investors.**  
 Agree                                       Disagree                                       No opinion
- 7.11. Amendments to Clause 3, Article 17. Trading of fund certificates.**  
 Agree                                       Disagree                                       No opinion
- 7.12. Amendments to Article 18. Partial acquisition, suspension of fund certificate trading.**  
 Agree                                       Disagree                                       No opinion
- 7.13. Amendments to Article 23. Rights and tasks of the Investor's Congress.**  
 Agree                                       Disagree                                       No opinion
- 7.14. Amendments and supplements to Article 24. Conditions and format of the meeting of the Investor's Congress.**  
 Agree                                       Disagree                                       No opinion

G T  
 H A N  
 U Y D  
 C A P  
 N A M  
 H O

- 7.15. Amendments to Clause 4, Article 25. Decision of the Investor's Congress.**  
 Agree  Disagree  No opinion
- 7.16. Amendments to Clause 1, Article 26. Objection to decisions of Investors' General Meetings.**  
 Agree  Disagree  No opinion
- 7.17. Amendments and supplements to Article 27. Board of Representative.**  
 Agree  Disagree  No opinion
- 7.18. Amendments and supplements to Point b Clause 2 Article 28. Tenure and criteria for selection of members of the Board of Representative.**  
 Agree  Disagree  No opinion
- 7.19. Amendments and supplements to Article 21 of Article 29. Rights and obligations of the Board of Representative.**  
 Agree  Disagree  No opinion
- 7.20. Amendments to Point d, Clause 2, Article 30. Chairman of the Board of Representative.**  
 Agree  Disagree  No opinion
- 7.21. Amendments to Article 32. Dismiss, removal and addition of members of the Board of Representatives of the Fund.**  
 Agree  Disagree  No opinion
- 7.22. Amendments and supplements to Clause 1, Article 35. Rights and obligations of fund management companies.**  
 Agree  Disagree  No opinion
- 7.23. Amendments to Clause 2, Clause 3, Article 38. Standards for selection of monitoring banks.**  
 Agree  Disagree  No opinion
- 7.24. Amendments to Clause 1, Article 39. Rights and obligations of the supervisory bank.**  
 Agree  Disagree  No opinion
- 7.25. Article 40 shall be amended and supplemented. Supervision activities of the monitoring bank.**  
 Agree  Disagree  No opinion
- 7.26. Amendments to Article 50. Audit Company Selection and Change Standards.**  
 Agree  Disagree  No opinion
- 7.27. Amendments to Clause 3, Article 55. Determination of the Fund's net asset value.**  
 Agree  Disagree  No opinion
- 7.28. Amendments to Article 56. Method of determining the net asset value of the Fund.**  
 Agree  Disagree  No opinion
- 7.29. Amendments to Clause 1, Article 57. Fund asset valuation process.**  
 Agree  Disagree  No opinion
- 7.30. Amendments to Clause 2, Article 59. Principles, criteria for selection and change of the organization providing quotes.**  
 Agree  Disagree  No opinion

**7.31. Amendments to Clause 3, Article 60. Income of the Fund.**

Agree  Disagree  No opinion

**7.32. Amendments to Article 63. Types of service prices and fees paid by the Fund.**

Agree  Disagree  No opinion

**7.33. Amendments to Article 64. Cost of the Fund.**

Agree  Disagree  No opinion

**7.34. Amendments to Chapter XIV. RESTRUCTURING, FUND DISSOLUTION.**

Agree  Disagree  No opinion

**7.35. Amendments and supplements to Article 71. Charter Registration.**

Agree  Disagree  No opinion

**7.36. Amendments to Appendix 2: Commitment of the Supervisory Bank.**

Agree  Disagree  No opinion

**7.37. Amendments and additions to Appendix 3. Joint commitment of fund management companies and supervisory banks.**

Agree  Disagree  No opinion

**ON BEHALF OF  
BOARD OF REPRESENTATIVES**

**ON BEHALF OF  
DRAGON CAPITAL VIETFUND MANAGEMENT**

**NGUYEN BOI HONG LE  
Chairman of BOR**



**BEAT SCHURCH  
CEO**



**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.