

**VOTING NOTE**  
**VOTING ISSUES OF THE 1<sup>st</sup> EXTRAORDINARY GENERAL MEETING**  
**OF FISCAL YEAR 2023**  
**DC BLUE CHIP FUND (DCBC)**

**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:*

- *Enterprises 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 Blue Chip Fund (DCBC);*
- *Rule of voting of the 1st Extraordinary General Meeting of Financial Year 2023.*

**I- Fund information:**

- Fund name: DC BLUE CHIP FUND
- License of Establishment and Issue: No 06/GCN-UBCK granted by the SSC dated 16 December 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: July 31, 2023.
- Exercise: 01 fund unit – 01 voting right.

**II- Purpose:** For approval of voting issues of the 1<sup>st</sup> Extraordinary General Meeting of Investors of Fiscal Year 2023 of DC Blue Chip Fund (DCBC).

**III- Time for voting:**

Investors shall fill in blanks and tick (✓) on an appropriate box for approval of voting issues of the 1<sup>st</sup> Extraordinary General Meeting of Fiscal Year 2023 of DC Blue Chip Fund (DCBC).

Time for vote: from August 09, 2023 until 5:30 pm August 29, 2023.

Voting note should be sent to Dragon Capital VietFund Management (DCVFM) before **5:30pm, August 29, 2023** 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: **DCBC\_EGM 2023\_Voting note\_[XXXXXXXXXX]** 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 Fiscal Year 2023 are published 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 Blue Chip Fund (DCBC) 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. Change of the Fund name:**

☐ Agree

☐ Disagree

☐ No opinion

**2. Amendment, supplement of the Fund Charter as follows:**

**2.1. Update of the new Fund name in the Fund Charter**

☐ Agree

☐ Disagree

☐ No opinion

**2.2. Amendment of Article 1 - Name and contact details**

☐ Agree

☐ Disagree

☐ No opinion

**2.3. Amendment of Article 9 - Investment objectives**

☐ Agree

☐ Disagree

☐ No opinion

**2.4. Amend Article 10 - Investment Strategy**

☐ Agree

☐ Disagree

☐ No opinion

**2.5. Amendment and supplementation of Clause 1 of Article 71 - Registration of the Charter**

☐ Agree

☐ Disagree

☐ No opinion

ON BEHALF OF

BOARD OF REPRESENTATIVES

ON BEHALF OF

DRAGON CAPITAL VIETFUND MANAGEMENT

DANG THAI NGUYEN

Chairman of BOR

NGUYEN MINH DANG KHANH

COO



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

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

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

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

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

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<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. The change of name of the fund, as the following:

	Fund name before the change (the old name)	The changed name of the fund (the new name)
Vietnamese name	Quỹ Đầu tư Doanh nghiệp Hàng đầu DC	<u>Quỹ Đầu tư Cổ phiếu Tập trung Cổ tức DC</u>
English name	DC BLUE CHIP FUND	<u>DC Dividend Focus Equity Fund</u>
In short name	DCBC	<u>DCDE</u>

The new name of the fund (The new name) shall be updated in the entire Fund charter, except for Article 71 – Registration of the Charter: only update the change of the fund name (the new name) according to the 1st Extraordinary general meeting of the financial year of 2023.

### 2. Amendment and supplementation of Charter of DCBC:

#### 2.1. The change of name of the fund and update the changed name of the fund (the new name) in the entire Fund charter, as the following:

	Fund name before the change (the old name)	The changed name of the fund (the new name)
Vietnamese name	Quỹ Đầu tư Doanh nghiệp Hàng đầu DC	<u>Quỹ Đầu tư Cổ phiếu Tập trung Cổ tức DC</u>
English name	DC BLUE CHIP FUND	<u>DC Dividend Focus Equity Fund</u>
In short name	DCBC	<u>DCDE</u>

The new name of the fund (The new name) shall be updated in the entire Fund charter, except for Article 71 – Registration of the Charter: only update the change of the fund name (the new name) according to the 1st Extraordinary general meeting of the financial year of 2023. Any change of the fund name shall be taken effect since the amended Registration certificate of establishment of the fund is issued by the authority.

#### 2.2. Amendment of Article 1 - Name and contact details: Amend the name of the Fund

"ARTICLE 1. Name and Contact details

Vietnamese name	: <del>Quỹ đầu tư Doanh nghiệp Hàng đầu DC (DCBC)</del> <u>Quỹ Đầu Tư Cổ Phiếu Tập Trung Cổ Tức DC</u>
English name	: <del>DC Blue chip Fund.</del> <u>DC Dividend Focus Equity Fund</u>
Abbreviation	: <del>DCBC</del> <u>DCDE</u>
Address	: 15 <sup>th</sup> Floor, Melinh Point Tower, 02 Ngo Duc Ke St., Ben Nghe Ward, District 1, HCMC, Vietnam
Telephone	: +84-8 3825 1488
Fax	: +84-8 3825 1489
Website:	: <u>www.dragoncapital.com.vn</u> "

**2.3. Amendment of Article 9 - Investment objectives:** *Change the objectives according to the new name of the fund*

"ARTICLE 9. Investment objectives

The objective of **DCBC DCDE** is to seek long-term returns from the investment in fixed-income and/or dividend payable securities in accordance with the provisions of the Vietnamese legal system, the prospectus and the charter of DCDE Fund ~~equity growth and income through investing into a diversified portfolio, including equity, convertible and debt securities. Investment enterprises are the leading enterprises that have been and will be listed on the stock market."~~

**2.4. Amend Article 10 - Investment Strategy:** *Change the strategy according to the new name of the fund*

"ARTICLE 10. Investment Strategy

**DCBC DCDE**'s investment strategy is actively invest in stocks of companies with a history of regular dividend payments in the past and/or businesses that plan to pay dividends in the near future in all industries and geographical areas permitted by the law on the management of open-ended fund activities. The Fund will prioritize the selection of businesses with annual growth dividend payments to the portfolio. Under normal market conditions, the fund will invest 100% of its assets in shares of the above-mentioned companies ~~Vietnamese securities across the style spectrum from value to growth. The Fund's target investments will be top-ranking enterprises in term of market capitalization, total asset, liquidity in the market, total equity, market share, operating efficiency, and other fundamental indications...belonging to essential sectors. Those target securities are listed or will be listed on stock markets.~~

1. Investment Structure

**DCBC DCDE** shall be allowed to invest in the following assets:

- a) Deposits at commercial bank as stipulated by banking laws;
- b) Money market instruments including valuable papers and negotiable instruments in accordance with relevant laws and regulations;
- c) Government debt instruments, bonds underwritten by the Government and municipal bonds;
- d) Listed shares, registered shares, ~~and listed bonds on stock exchanges~~, public fund certificates.
- e) Shares offered for the first time to the public, ~~bonds offered to the public; Corporate bonds privately issued by listed organizations with credit institutions' payment guarantee or the issuer's commitment to repurchase at least once in 12 months and each commitment to redeem is at least 30 % value of the issue.~~ The investment in this kind of assets shall be followed the following conditions:
  - All the securities shall be approved by the Board of Representatives by documents about type, securities ticker, quantity, trading value and timing;
  - There are sufficient documents to prove the payment guarantee or documents on the issuer's commitment to buy back



- f) Listed and registered derivatives at Stock Exchanges, and solely used for hedging purpose and for the underlying securities in which the fund is holding;
- g) Rights and assets that may arise in connexion with securities that the fund is holding.
- h) **Other assets as permitted by applicable open-ended fund management laws.**

2. Investment areas:

**The Fund is allowed to invest in all industries that are permitted by current open-ended fund management laws.**

~~With the above-mentioned investment strategies, the Fund's asset allocation, from time to time, would change in accordance to stocks' growth potential and market liquidity.~~

~~The following sectors are DCBC's investable sectors. Changes in asset allocation by sectors will base on market liquidity and comply with investment' constraints detailing in the investment's constraints. The investable sectors include (unlimited):~~

• Food & Beverages
• Consumer goods
• Retailing
• Materials & Resources
• Energy
• Banking - Diversified Financials
• Real estate
• Capital goods
• Utilities
• Insurances
• Consumers & durable goods
• Transportation
• Pharmaceuticals, Biotechnology & Life Sciences
• Commercial & Professional Services
• Automobiles & Components
• Consumer Services
• Media
• Household & Personal Products
• Health Care Equipment & Services
• Software & Services
• Technology Hardware & Equipment
• Semiconductors & Semiconductor Equipment
• Telecommunication Services

**2.5. Amendment and supplementation of Clause 1 of Article 71 - Registration of the Charter: Update the registration of the charter**

"ARTICLE 71. Registration of the Charter

1. ...

DCDE Charter is amended and supplemented at the 13th including 16 Chapters, 72 Articles and 3 Appendixes according to Resolution of the 1<sup>st</sup> of Extraordinary General Meeting of Investors of financial year 2023- convened the .... time, dated on ..../.../2023 and takes effect from ..../.../2023. The changes in the name of the fund will take effect as soon as the adjusted registration certificate of establishment of the fund is issued by the authority."

.....&.....

Handwritten signature in red ink.