

DRAGON CAPITAL



DCBC

DC BLUE CHIP
FUND

DOCUMENTS AND VOTING CONTENTS

Extraordinary General Meeting of Investors
of Financial Year 2023

2nd call

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

Translation Accuracy Disclaimer

This document is a translation of Resolution Of The Annual General Meeting Of Financial Year 2021. The translation is for informational purposes only, and is not a substitute for the official policy. The original version of the Resolution, found in website of the fund management company (www.dragoncapital.com.vn) is the only definitive and official version. If any questions arise related to the accuracy of the information contained in the translation, please refer to the Vietnamese version of the document. Any discrepancies or differences created in the translation are not binding and have no legal effect for compliance or enforcement purposes.



Meeting Agenda

A. Agenda

Time	: 9:30AM, Friday, September 29, 2023.
Venue	: Me Linh Room, Renaissance Hotel
In Ho Chi Minh City	: 8-15 Ton Duc Thang, District 1, Ho Chi Minh City, Viet Nam
Meeting format	: Direct meeting
Attendance	: Investor can attend directly/via authorized representative or send voting note to the meeting.

B. Content

Part 1: Welcoming guests and meeting opening

- Welcoming guests.
- Announcement on attendance rate.
- Approval on meeting agenda.
- Approval on Board of Chairman, Board of Secretary, Board of Votes Checking.
- Opening speech.

Part 2: DCVFM Company present the change of Fund name, amendment and supplementation of the Fund Charter and discussion.

Part 3: Voting

- Voting on:
 - Change of fund name.
 - Amendment, supplementation of the Fund Charter, including the following:
 - Update of the new Fund name in the Fund Charter.
 - Amendment of Article 1 - Name and contact details.
 - Amendment of Article 9 - Investment objectives.
 - Amendment Article 10 - Investment Strategy.
 - Amendment and supplementation of Clause 1 of Article 71 - Registration of the Charter.
- Approve meeting minutes and meeting resolution.
- Meeting ending.

C. Documents

The documents of the 1st 2023 EGM – 2nd call can be found in section Investor Relations – Fund Calendars on DCVFM's website at www.dragoncapital.com.vn.

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A. PROPOSED VOTING CONTENTS

I. Change of Fund name and charter amendment

**PROPOSED CHANGE OF THE FUND NAME
& PROPOSED CHARTER AMENDMENT
THE FIRST EXTRAORDINARY GENERAL MEETING OF INVESTOR– THE
FINANCIAL YEAR OF 2023
DC BLUE CHIPS FUND (DCBC) – THE SECOND CALL**

To: The General Meeting of Investors.

Dragon Capital Vietfund Management Joint Stock Company (DCVFM) propose The General Meeting of Investors of DC Blue Chip Fund (DCBC) approve to change of name of fund, change of fund's investment objectives and investment strategy specified in the fund's charter, content as follow:

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>

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. Amendment and supplementation of Charter of DCBC:

2.1. 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. Amend Article 1 – Name and contact details: Amend the name of the Fund

"ARTICLE 1. Name and Contact details

Vietnamese name : Quỹ đầu tư Doanh nghiệp Hàng đầu DC (DCBC) Quỹ Đầu Tư Cổ Phiếu Tập Trung Cổ Tức DC

English name : DC Blue chip Fund. DC Dividend Focus Equity Fund

Abbreviation : DCBC DCDE

Address : 15th 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: : www.dragoncapital.com.vn"

2.3. Amend 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 equitiy, 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 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 1st of Extraordinary General Meeting of Investors of financial year 2023- convened the second time, dated on 29/09/2023 and takes effect from 29/09/2023. 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.”

.....&.....



II. The Presidium, Secretariat – Legal And Vote Counting Committee

DC BLUE CHIP FUND
(DCBC)
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SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness
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Ho Chi Minh City, 2023

LETTER

Ref: The Presidium, Secretariat – Legal and Vote Counting Committee
of the First Extraordinary General Meeting of Investors – Financial year of 2023 – 2nd call

- Pursuant to current Charter of DC Blue Chip Fund (DCBC);
- Pursuant to the meeting agenda of the First Extraordinary General Meeting of Investors – financial year of 2023 – 2nd call

The Board of Representatives of Fund nominates the following people to participate in Presidium, Secretariat – Legal and Vote Counting Committee of the First Extraordinary General Meeting of Investors – Financial year of 2023 – 2nd call:

The Presidium

1. Mr DANG THAI NGUYEN - Chairman of Board of Representatives
2. Mrs LUONG THI MY HANH - Fund manager

The Secretariat – Legal

Ms TRAN NGOC HAN

The Vote Counting Committee

1. Ms NGUYEN KIEU TRUC LY - Head of the Committee.
2. Mr NGUYEN HO MINH HUY - Member.

Request the Meeting to give opinions and vote directly.

PP. BOARD OF REPRESENTATIVES

Chairman

(signed)

DANG THAI NGUYEN



DRAFT VOTING REGULATIONS

DC BLUE CHIP FUND (DCBC)

EXTRAORDINARY GENERAL MEETING OF INVESTORS- THE SECOND TIME
FINANCIAL YEAR 2023

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DRAFT

VOTING REGULATIONS AT THE ANNUAL GENERAL MEETING OF INVESTORS

1. Purpose

To accurately conclude the issues raised, discussed and voted at the General Meeting.

2. Voting principle

- Exactly, comply with the Law and The Fund Charter.
- The number of votes is calculated according to the number of units owned by the fund or its representative.
- Voting results are calculated based on the total number of votes of all investors attending the meeting.

3. Process

3.1. General rules

- Investors/persons authorized to attend the General Meeting with voting rights will be issued Voting Cards before attending the General Meeting. Voting cards are only distributed once for each Investor code and can not be canceled for any reason during the time of the General Meeting.
- Investors send votes to the General Meeting by mail, fax, email.
- On the Voting Card there is the following information:
 - o The EGM of Investors- The first time- Financial Year 2023
 - o Code and/or investor name/voting number...
 - o Voting method:
 - Agree.
 - Disagree.
 - No opinion

3.2. Classification of votes

- Valid voting cards:
 - o For investors directly attending at the General Meeting: apply the form not erase, scrape or edit that issued by the Fund Management Company (with stamp). When an issue is raised for voting, each investor code/investor can only use one Voting Card. Choose one of the three voting methods mentioned above.
 - o For investors send votes to the General Meeting: Investors shall send their votes according to the prescribed form to the General Meeting by post, fax and emails to Dragon Capital VietFund Management Joint Stock Company (DCVFM) before 5:00 p.m. the opening day of the meeting. Choose one of the three voting methods mentioned above.

- Invalid vote: Failure to comply with the provisions of the valid vote.

3.3. Summary of results

- The Voting Committee is responsible for summary, making minutes of vote counting, and notify the voting results for each issue.
- When summary the results, invalid votes are counted as not voting.
- The vote minutes must have information as follow:
 - o Ratio of "Agree" votes per total votes of investors directly attending at the General Meeting and/or sending votes to DCVFM according to regulations and/or authorized representative present at the General Meeting.

- Ratio of “disagree” votes per total votes of investors directly attending at the General Meeting and/or sending votes to DCVFM according to regulations and/or authorized representative present at the General Meeting.
- Ratio of “no opinion” votes per total votes of investors directly attending at the General Meeting and/or sending votes to DCVFM according to regulations and/or authorized representative present at the General Meeting.

4. Voting results

- Voting results in percent are rounded to 02 (two) decimal places.
- Issues for voting at the General Meeting are approved when approved by over fifty percent (50%) of total votes of investors directly attending at the General Meeting and/or sending votes to DCVFM according to regulations and/or authorized representative present at the General Meeting.
- Except the case: Fundamental changes in the investment policy, investment objectives of the fund; Increase service rates paid to fund management company and custodian bank; change the fund management company, custodian bank; Division, separation, merger, consolidation of funds; fund dissolution; change to the operation term of the fund shall be approved when approved by over sixty-five percent (65%) of total votes of investors directly attending at the General Meeting and/or sending votes to DCVFM according to regulations and/or authorized representative present at the General Meeting.
- Voting results announced before the closing of the General Meeting.

- 5. Effect:** The Voting Regulations takes effect after the approval of the General Meeting .

Hochiminh,, 2023

**On behalf of the Board of Representatives
(signed)**

**ĐẶNG THÁI NGUYỄN
CHAIRMAN**



DRAFT RESOLUTION

DC BLUE CHIP FUND
(DCBC)

SOCIALIST REPUBLIC OF VIETNAM
Independence - Freedom - Happiness

No.05.23/NQĐH-DCBC-2023

DRAFT

Ho Chi Minh City, 29th September 2023

RESOLUTION

THE FIRST EXTRAORDINARY GENERAL MEETING OF INVESTORS - THE FINANCIAL YEAR OF 2023 – THE SECOND CALL

- Pursuant to Law No. 54/2019/QH14 on Securities Law dated 26 November 2019 by the National Assembly.;
- Pursuant to 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.
- Pursuant to 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;
- Pursuant to Circular 98/2020/TT-BTC dated 16 December 2020 by the Ministry of Finance guiding the establishment and management of the securities Fund;
- Pursuant to current Charter of DC Blue Chip Fund;
- Pursuant to the result of The First Extraordinary General Meeting of Investors second call of The Financial Year of 2023 dated 29th September 2023.

RESOLUTES

The Extraordinary General Meeting of Investors unanimously passed the Resolution as follows:

Article 1: Change of name of fund, change of fund's investment objectives and investment strategy specified in the fund's charter and Amendment and supplementation of Charter of DCBC.

3. 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>
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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.

4. 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>
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2.2. Amendment of Article 1 – Name and contact details: Amend the name of the Fund

“ARTICLE 1. Name and Contact details

Vietnamese name : Quỹ đầu tư Doanh nghiệp Hàng đầu DC (DCBC) Quỹ Đầu Tư Cổ Phiếu Tập Trung Cổ Tức DC

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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 equitiy, market share, operating efficiency, and other fundamental indications...belonging to essential sectors. Those target securities are listed or will be listed on stock markets.~~

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- k) Government debt instruments, bonds underwritten by the Government and municipal bonds;
- l) Listed shares, registered shares, ~~and listed bonds on stock exchanges~~, public fund certificates.
- m) 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
- n) Listed and registered derivatives at Stock Exchanges, and solely used for hedging purpose and for the underlying securities in which the fund is holding;
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~~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 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 1st of Extraordinary General Meeting of Investors of financial year 2023- convened the second time, dated on 29/09/2023 and takes effect from 29/09/2023. 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.”

Article 2: Effectiveness of the Resolution.

The resolution is effective from its signing date

On behalf of The General Meeting
(signed)

DANG THAI NGUYEN
Chairman of the BOR

On behalf of Fund Management Company
(signed & sealed)

BEAT SCHURCH
CEO

