
ENGLISH VERSION¹

HCMC, dated March 22nd, 2023

VOTING REGULATION

THE ANNUAL GENERAL INVESTORS' MEETING FY2022 OF DFVN CAPITAL APPRECIATION FUND (“DFVN-CAF”)

The Annual General Investors' Meeting FY2022 of DFVN Capital Appreciation Fund (“DFVN-CAF”) is held in the form of collecting written opinions and voting on the contents of the General Meeting of Investors according to the following regulations:

I. PURPOSE

To ensure the written opinions of the annual General Investors' Meeting FY2022 of DFVN Capital Appreciation Fund (“DFVN-CAF”) in accordance with the law and Fund Charter.

II. DEFINITIONS

“Company”	:	Dai-ichi Life Vietnam Fund Management Limited
“Investors”	:	Individuals or organizations holding the Fund Certificates of DFVN-CAF in the shareholder list as of March 21 st , 2023
“VSD”	:	Vietnam Securities Depository, the electronic voting service provider
“V-Vote”	:	An electronic voting service provided by the Vietnam Securities Depository to the Company for the written opinion collection of the annual General Investors' Meeting FY2022.
“Investor opinion sheet”	:	A document issued by the Company and sent to the Investor via email and postal address according to their registered information.
“Electronic Investor opinion sheet”	:	An electronic document/content created on the V-Vote system for the Investor to exercise their rights to vote for the written opinion poll of the Annual General Investors' Meeting FY2022.
“Account”	:	Username and password provided by VSD to Investors to participate, access and vote in VSD's V-Vote system.

¹ This English version is for reference.

III. SUBJECTS TO PARTICIPATE IN GETTING OPINION

- All Investors holding the Fund Certificates of DFVN-CAF on the record date March 21st, 2023.

IV. REGULATIONS AND GUIDELINES

1. Timeline of getting the Investor's opinion

- Timeframe of getting the Investor's opinion **from March 31st, 2023 to April 21st, 2023** (calculated on the time of receiving the letter).

2. Total Sheets issued

- The total number of Sheets issued is the total number of written Opinion Sheets sent to the Subjects to participate in getting opinion as stipulated in Section III of this Regulation.
- In addition, Account information in VSD's V-Vote system is as stipulated in Section III of this Regulation.

3. Total Sheets collected

- The total number of Sheets collected is the total number of Opinion Sheets received by the Company within the timeframe as stipulated in Section IV.1 of this Regulation.

4. Method to vote for the written opinions

- The Investors can vote for the written opinions by one (01) of the two following methods:
 - (1) Method 1: send the Investors' Opinion Sheets to the Company or;
 - (2) Method 2: The Investors can send their electronic Opinion Sheets in V-Vote system.
- In case the Investor vote by (02) both methods, i.e. Opinion Sheets and electronic ones, the opinions received by the Company in Method 1 will be counted for results.

4.1 Method 1: To send the Investors' Opinion Sheets:

- The Company sends the Investors' Opinion Sheets via email and postal address according to their registered information.
- The Investors can send the Opinion Sheet to the Company by one (01) of the following methods:

- *To the contact address*

Dai-ichi Life Vietnam Fund Management Company Limited – 11th Floor, 149-151 Nguyen Van Troi street, Ward 11, Phu Nhuan District, Ho Chi Minh City

The Investors can send by post or send directly to the above address. The Opinion Sheet must be sent in a sealed envelope.

- *To the email address*

Attached with scanned or copy Opinion Sheet to the email address dfvn_cs@dai-ichi-life.com.vn from the email address of the Investor registered with the Company.

4.2 Method 2: To send the Investors' electronic Opinion Sheets in V-Vote system

- Each Investor is provided with 01 (one) Account to access VSD's V-Vote system.

The Investors use the provided Account to access the V-Vote system: see information related to the written opinion collection of the annual General Investors' Meeting FY2022, sending their electronic Opinion Sheets according to each content to be voted on.

- The information is sent by the Company via email and postal address according to their registered information.
- In term of voting specified in Section IV.1 of this Regulation, the Investors may change the contents voted on in their electronic Opinion Sheets up to 03 (three) times in V-Vote system.

5. Valid Opinion Sheets:

The Opinion Sheet is considered valid if it satisfies the following conditions:

- The Opinion Sheet sent by the Company to the Investor or in the form of the Company posted on the website of the Company;
- The Opinion Sheet is not erased, modified or changed;
- The Opinion Sheet signed by the Investor holding DFVN-CAF Fund Certificates (*applied for an individual*), by the Legal Representative or by the Investor's authorized representative (*applied for an organization*);
- The Opinion sheet is sent to the Company within deadline as specified in Section IV.1 of this Regulation;
- The Opinion Sheet is contained in a sealed envelope and not opened before the vote counting is carried out (*applied for the method of sending post or directly*);
- The Opinion Sheet is sent from the email address of the Investor which is registered with Company (*applied for method of sending via email*).

The Investors' electronic Opinion Sheets in V-Vote system are valid with reference to voting results sent by VSD to the Company or according to their instructions.

6. Voting Regulation

- Valid voting opinion: Voting opinion for each content for getting opinion is deemed valid when the Investor sticks only one (01) out of three (03) options “Agree”, “Disagree”, “No opinion”.
 - o In case that the Investor would like to change voting opinion after sticking, the Investor delete the selected option and stick the new option with the signature of Investor besides the deleted option.
 - o In case that the Investor does not stick the option “Agree”, “Disagree”, “No opinion”, it is deemed as the Investor sticks “No opinion” for the content which needs the opinion.
- Vote for passing and Vote for not passing
 - o Voting opinion “Agree” is considered to be passed for the content which needs the opinion.
 - o Voting opinion “Disagree” or “No opinion” is considered to be not passed for the content which needs the opinion.

7. Not participating in voting

The following cases are considered as Investors who do not participate in voting:

- The Opinion Sheet/account's information is sent to the Investor's contact address registered with the Company but returned in accordance with the post office's regulations due to the incorrect or no recipient registered address of the Investor, at the same time, the Investor's Opinion Sheet/account's information was sent to the registered email address of the Investor but this submission was reported unsuccessfully on the system of the Company; or
- The Opinion Sheet/Electronic Opinion Sheet is sent to the Company at the correct address and manner in Section IV.4 of this Regulation but after the timeframe for collecting opinion as specified in Section IV.1 of this Regulation; or
- The Opinion Sheet/Electronic Opinion Sheet not sent by the Investor by manner in Section IV.4 of this Regulation is considered as the Investor not participating in the voting.

8. Result summarization

- As for the Investors' electronic opinion sheets, VSD assumes responsibility for sending the Company sealed voting results by V-Vote system.
- The Vote Counting Committee is responsible for summarizing the voting results for each content and making the Minutes of counting votes;
- The checking votes is conducted in the supervision of representative of the Supervisory Bank, the Fund's Representaive Board and the result is disclosed publicly in accordance with regulation of the DFVN-CAF's Fund Charter and prevailing laws.

9. Voting result

- The percentage of voting results are rounded to 2 (two) decimal places;
- The matters for collecting written opinions are passed when approved by the number of Investors representing more than 50% of total number of votes of all Investors having votes.

10. Organization of vote counting

- The Company conducts counting of votes with the participation of Vote Counting Committee who are the staffs of the Company and will conduct the counting of votes directly at the headquarters of the Company and the Supervisory Board includes (i) representative of HSBC Bank (Vietnam) Ltd. is the Supervisory Bank of the Fund and (ii) representative of the Board of Representatives may participate in counting votes directly at the Company's office or via video online.
- In case that the Supervisory Bank participates in counting votes via video, after the completion of counting votes, the Company will send to the Supervisory Bank the Investor's email and fax or scan the Investor's Opinion Sheets sent to the Company by post and voting result of electronic Opinion Sheets in V-Vote system so that the Supervisory Bank can check and compare with the results of counting votes via video before signing the Minutes of vote counting.

DAI-ICHI LIFE VIETNAM FUND MANAGEMENT LIMITED

(Signed)

TRAN CHAU DANH
Chief Executive Officer

