

## **VOTING REGULATION IN THE FORM OF COLLECTING WRITTEN OPINION**

The annual General Investors' Meeting FY2021 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 approve the issues that need to be voted by the annual General Investors' Meeting FY2021 of DFVN Capital Appreciation Fund (“DFVN-CAF”).

### **II. SUBJECTS TO PARTICIPATE IN GETTING OPINION**

All Investors holding the Fund Certificates of DFVN-CAF on the last record date March 14<sup>th</sup>, 2022.

### **III. REGULATIONS AND GUIDELINES**

#### **1. Timeframe of getting the Investor’s opinion**

- Timeframe of getting the Investor’s opinion From April 1<sup>st</sup>, 2022 to April 22<sup>nd</sup>, 2022 (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 (hereinafter "Opinion sheet") sent by Dai-ichi Life Vietnam Fund Management Company Limited ("the Company") to the Subjects to participate in getting opinion as stipulated in Section II of this Regulation.
- The Company will send the Opinion Sheets by email to the registered email address of each Investor and at the same time sending a post office mail to the registered contact address of each Investor.

#### **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 III.1 of this Regulation.

#### **4. Method to send Opinion Sheet**

The Investors can send the Opinion Sheet to the Company by one (01) of the following method:

---

<sup>1</sup> This English version is for reference.

- To the contact address

Dai-ichi Life Vietnam Fund Management Company Limited – Floor 11<sup>th</sup>, 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](mailto:dfvn_cs@dai-ichi-life.com.vn) from the email address of the Investor registered with the Company.

## 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 III.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*).

## 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”.
  - 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.
  - 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
  - Voting opinion “Agree” is considered to be passed for the content which needs the opinion.
  - 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 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 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 is sent to the Company at the correct address and manner in Section III.4 of this Regulation but after the timeframe for collecting opinion as specified in Section III.1 of this Regulation; or
- The Opinion Sheet is not sent back by the Investor shall be considered as the Investor not participating in the voting.

#### **8. Result summarization**

- 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 DFCN-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 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 headquarters 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 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