

**MEMORANDUM**

**TO :** ALL DEALER'S REPRESENTATIVES (DRs)  
**FROM :** THE MANAGEMENT  
**DATE :** 10 SEPTEMBER 2015  
**SUBJECT :** SAFEGUARDING OF CLIENTS' MONIES

We refer to our memorandum dated 16 April 2015 on the above-mentioned.

Please be reminded that the procedures implemented to safeguard clients' monies as stated in the said memorandum are a directive from the Securities Commission (SC) and not to be treated as best practice. As such, we have to ensure strict compliance with the SC's directive.

Please remind/inform your clients of these requirements. This will ensure that payments from clients are promptly and properly accounted for and safeguarded.

We list below the procedures stated in the memorandum dated 16 April 2015 for your reference.

1.	For payment of RM50,000 and above by cheque directly bank into the Company's account, submit photocopy of the cheque together with the bank in slip. This will enable the Company to verify the identity of the cheque issuer.
2.	For online fund transfer/telegraphic transfer, the transferor's name must match the trading account name and be reflected in the transfer advice
3.	DRs are prohibited to split clients' payments and credit the monies into more than one trading account unless a written consent is obtained from the cheque issuer/transferor with an explanation on the relationship of these clients
4.	Monies deposited by Client A cannot be allocated to Client B unless there is a discernible relationship between Client A and Client B and a written consent from Client A
5.	Deposits from several individuals cannot be allocated to one client's account
6.	DRs are prohibited from accepting payments from clients directly into their personal bank account and subsequently making payment on behalf of clients from their personal bank account

Thank you



**TA SECURITIES HOLDINGS BERHAD (14948-M)**  
A MEMBER OF THE TA GROUP

A Participating Organisation of Bursa Malaysia Securities Berhad

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