

MEMORANDUM

To : ALL DEALER'S REPRESENTATIVES

From : THE MANAGEMENT

Date : 01 March 2016

Subject : Incomplete / Outdated Clients' Information

During the audit of TA Securities Holdings Berhad (TASH) by the Securities Commission (SC), the SC had highlighted that TASH is required to ensure that all its records of clients are up to date and relevant so as to comply with SC's guidelines in the area of on-going client due diligence (CDD) process.

As many of our existing clients' information in the database are either incomplete or outdated, the Company will be conducting an exercise, starting from 01 March 2016, to update your clients' particulars. Therefore, we seek your assistance and co-operation for this exercise. To assist you, we will provide you with the list of clients where their particulars needed to be updated.

At the same time, the Company will also inform the clients, via the monthly client statements, of this requirement and requesting the clients to update their particulars.

If the clients do not provide their latest particulars by 15 April 2016, the Company will perform a review and where necessary either reduce the trading limits or suspend/close the accounts.

We hope that you will provide your full cooperation in this exercise in order for the Company to comply with the SC requirements.

Thank You

