



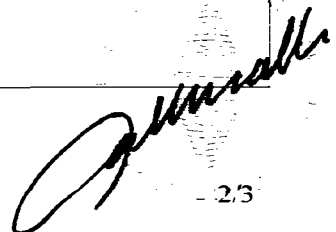
**SUMMARY OF DISCLOSURE AND REPORTING REQUIREMENTS FOR DEALING COMPANIES UNDER –  
REGULATION ON ANTI-MONEY LAUNDERING IN SECURITIES RELATED TRANSACTIONS**

*AML: Regulation on Anti-Money Laundering in Securities Related Transactions*

#	Disclosure/Reporting/Action Required	Event	Ref Clauses	Contents	Deadlines
1	<p>Licensees shall exercise special due diligence regarding extraordinarily complex and large transactions that do not have a clear investment purpose.</p> <p>Note: - Licensees shall take due diligence measures regarding the Customer and/ or the Original Beneficiary prior to and during dealing with the Customer</p>	Suspicious or unusual investment policy	<p>AML 5.3</p> <p>AML 4</p>		Immediately upon realization – same working day
2	Appointment of a reporting officer.	Appointment	AML 6	AML 6.1	From day 1- upon implementation of AML Regulation (10 April 11)

*[Handwritten Signature]* 12/9.

3	Appointment of a deputy reporting officer	Appointment	AML 6.2		
4	Reporting Suspicious Transaction to the CMDA	Suspicious transactions	AML 6.3	AML 6.3 (1)	Immediately upon realization (same working day).
5	It is prohibited to disclose, directly or indirectly by any means whatsoever, any measures taken with regard to suspicious operations, whether to the client or to any party other than the competent authorities.	-	AML6.3 (3)	-	-
6	General Rules that a licensee shall follow	<ol style="list-style-type: none"> <li>1. Records exceeding MRF50,000 or its equivalent in foreign currencies</li> <li>2. Handing cheque to any other authorized party.</li> <li>3. Authorization of its CEO or highest executive authority before establishing a</li> </ol>	<ol style="list-style-type: none"> <li>1) AML 7.1</li> <li>2) AML 7.3</li> <li>3) AML 7.4</li> </ol>		Real time basis.



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		relationship.			
7	Internal Anti Money Laundering Systems	Internal policies, procedures and safeguards to prevent money laundering procedure.	AML 8	AML 8.1.,8.2.,8.3.,8.4	10 <sup>th</sup> April 2011.
8	Record Keeping	Special files of suspicious transactions containing copies of reports	AML9	AML 9.1	