

To: All GSIA Members

March 01, 2018

Dear Member:

GSIA/CIR/002/03/18:

QUESTIONNAIRE – CONDUCTING BUSINESS WITHIN THE CAPITAL MARKET INDUSTY

We have been receiving enquiries every now and then from the investing public on conducting business with firms within the capital market industry.

This email is meant to solicit your views on how our responses should go. As an Association whenever an opportunity presents itself we do publicise the GSIA indicating the broad categories that make up the GSIA. While we can confirm that members are in good standing with the GSIA and are licenced by the Securities & Exchange Commission we may not be in the position to vouch for the conduct of individual businesses.

Kindly let us have your feedback on this matter. Your responses will feed into a standard template for responding to such enquiries.

Thanks and regards.

Signed, Executive Secretary F: Governing Council, GSIA