

CONFIDENTIAL / URGENT

TO: All Employees, Wealth Management Division

FROM: Office of the General Counsel / Compliance Department

DATE: [Insert Date]

SUBJECT: LEGAL HOLD: Insider Trading Investigation and Document Preservation Notice

The Company is currently conducting an internal investigation regarding potential insider trading and unauthorized disclosure of non-public information related to [Insert Specific Security/Entity Name or "Project Name"].

Effective immediately, you are required to preserve all documents and data related to your professional activities, specifically focusing on the period from [Start Date] to [End Date]. This preservation requirement supersedes any existing document destruction or retention policies.

1. Scope of Preservation

You must preserve all records, whether in hard copy or electronic format, including but not limited to:

- Emails, calendar entries, and contact lists.
- Instant messages, SMS, and encrypted messaging application data (e.g., WhatsApp, Signal).
- Trade blotters, order logs, and execution reports.
- Research reports, investment committee notes, and pitch books.
- Client communication logs and recorded telephone lines.
- Personal notes, drafts, and handwritten memos.

2. Specific Prohibitions

You are strictly prohibited from:

- Deleting, altering, or concealing any relevant electronic data.
- Shredding or destroying physical files.
- Modifying metadata or moving files to personal storage devices.

3. Confidentiality

This investigation and this notice are strictly confidential. You are instructed not to discuss this matter with any internal or external parties, including colleagues and clients, without express authorization from the Legal Department.

4. Acknowledgment

Please reply to this email or sign below to acknowledge that you have read, understood, and will comply with the terms of this legal hold.

Failure to comply with this notice may result in disciplinary action, up to and including termination, and may carry legal penalties.

Questions should be directed to [Name of Legal Contact] at [Contact Information].

Authorized Signature
Legal/Compliance Department