

## Resident Individual

<b>01.</b> Candor Check List	<input type="text"/>	<b>1 Page</b>
<b>02.</b> Candor Application Form	<input type="text"/>	<b>4 Pages</b>
<b>03.</b> KYC Profile Form 1 (A-1)	<input type="text"/>	<b>4 Pages</b>
<b>04.</b> CDS Form 1	<input type="text"/>	<b>4 Pages</b>
<b>05.</b> CDS Form 1 (A-2)	<input type="text"/>	<b>3 Pages</b>
<b>06.</b> CDS Instructions Form 1 B	<input type="text"/>	<b>1 Page</b>
<b>07.</b> Agreement for credit facility	<input type="text"/>	<b>2 Pages</b>
<b>08.</b> Client agreement	<input type="text"/>	<b>9 Pages</b>
<b>09.</b> A clear photocopy of the National Identity Card (NIC) or passport	<input type="text"/>	
<b>10.</b> Proof of residency document – If permanent address is different From NIC (ie: Utility bill)	<input type="text"/>	
<b>11.</b> Proof of Bank account details (Current account/saving account statement or any other suitable evidence)	<input type="text"/>	

**PLEASE NOTIFY IN WRITING, OF ANY CHANGE OF SIGNATURE, CONTACT DETAILS, ETC. NON-DISCLOSURE OF SUCH CHANGES MAY CAUSE DELAYS.**

APPLICATION FOR OPENING OF SECURITIES ACCOUNT  
(For Individuals)



<b>TITLE</b>	Mr.	Mrs.	Miss.	Rev.	Dr.	Other													
<b>SURNAME</b>	<table border="1" style="width: 100%; height: 20px;"> <tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </table>																		
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(PLEASE ATTACH A COPY)

**SECOND JOINT HOLDER :**

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(PLEASE ATTACH A COPY)

OPERATING INSTRUCTIONS FOR JOINT ACCOUNT:  SOLE/FIRST APPLICANT  BOTH PARTIES  EITHER PARTY

PAYMENT TO BE MADE TO:  SOLE/FIRST APPLICANT  BOTH PARTIES  EITHER PARTY

MODE OF INSTRUCTIONS: VERBAL/ WRITING

BANK ACCOUNTS :

BANK	BRANCH	TYPE	ACCOUNT NO
.....	.....	.....	.....
.....	.....	.....	.....

I/ We hereby declare, the information given above is true and correct.

.....  
SIGNATURE DATE : .....

**DECLARATION**

- I/We declare that I/we are satisfied myself/ourselves of the capacity of Senfin Securities Limited (which is licensed by the Securities and Exchange Commission of Sri Lanka to operate as a stockbroker) to trade in securities and provide stock brokering services and I/we hereby request you to open a Securities Account with the Central Depository System in my/our name.
- I/We declare that all particulars and information given in this registration form and the CDS Application form are true and correct.
- I/We agree that all transactions including brokerage and statutory levies paid by me/us shall be subject to the rules of the Colombo Stock Exchange and other prevailing laws and regulations of Sri Lanka (as may be amended from time to time) and in particular to the authority hereinafter granted by me/us to Senfin Securities Limited (hereinafter referred to as the Broker).
- I/We confirm and declare that I/we have read and clearly understood the conditions stipulated by the Colombo Stock Exchange (as may be amended from time to time) governing the share transactions, which I/we will be entering into with the Broker. I/We hereby agree to abide by the said conditions.
- I/We hereby permit and authorize the Broker at their absolute discretion and at my/our risk to sell and transfer not only the stocks pertaining to the Defaulted Contract but also any or all of the shares or securities in any company whatsoever from time to time registered in my/our securities account to be opened by me/us and maintained by the Broker at the Central Depository System (Pvt) Limited., in order to make good and compensate for any loss or damages incurred or sustained by the Broker as a result of my/our default in making any payments lawfully due to the Broker on or before the settlement date.
- I/We hereby agree that the above authority i.e the right to sell securities given to the Broker by me/us, is in addition to other rights, powers and remedies available to the Broker under the prevailing laws rules and regulations of Sri Lanka. The authority granted hereby shall in no way affect or exempt me/us from any liability towards the Broker arising from or consequent upon any such default.
- Before every purchase order, I/we agree to deposit in cash/cheque, at least equivalent to 50% (or any other amount as specified by any applicable rules and regulations) of the value of the order or in the alternative have adequate securities in my/our account to cover at least 50% (or any other amount as specified by any applicable rules and regulations) of the value of the purchase order.
- I/We further agree and confirm that I/we shall be liable to the Broker for any and all loss sustained or incurred in relation to any direct/indirect transaction carried out by the Broker on my/our behalf (in its capacity as selling/buying broker and/or in relation to dividends, rights, bonuses and other benefits attached to the shares) and do hereby agree to indemnify the Broker against such loss or damage arising therefore.
- I/We agree that the Broker shall not be liable to me/us or have any responsibility whatsoever, for (a) any losses arising out of or relating to a cause over which the Broker does not have direct/indirect control including but not limited to the failure of electronic or mechanical equipment or communication lines, telephone or network problems, unauthorized access or (b) any special, indirect, incidental, consequential, punitive or exemplary damages that we may incur in connection with my/our use of the services provided by the Broker.
- I/We agree to immediately notify the Broker in writing if there is any change in the information in the Client Registration Form provided by me/us to the Broker at the time of opening of the account or at any time.
- I/We agree that except as provided in clause 5 above, the investment decisions shall be made by the Broker on a discretionary basis only upon obtaining written or oral instructions from me/us.
- I/we agree to pay any commission, brokerage charged by the Broker subject to the rules of the Colombo Stock Exchange and other prevailing laws and regulations of Sri Lanka (as may be amended from time to time)
- I/We acknowledge that this Declaration shall be binding upon me/us and my/our heirs executors and administrators. In the event of this Declaration being executed by more than one person our liability shall then be joint and several.
- RISK DISCLOSURE STATEMENT: The prices of securities fluctuate, sometimes drastically. The price of a security may move up or down, and may even become valueless. It is likely that losses may be incurred rather than profits made as a result of buying and selling securities.**
- SALES PROCEEDS:**  
(a) I/we hereby agree to authorize the Broker to hold any sales proceeds due to me, to meet the settlement of future share purchases, until I make a request to the contrary via email, facsimile or telephone. Yes  No
- I/we hereby agree that I/we enter into a credit agreement with the Broker for the purpose of obtaining credit. Yes  No
- I /we agree that an employee of Senfin Securities Limited who introduces a client and initiates a transaction will be entitled to an introductory fee out of the brokerage commission of such transaction, based on a reward scheme
- I/We hereby agree to pay an interest which shall not exceed 0.1% per day, from the day after the settlement date up to the date of final settlement.  
In such events I/we unconditionally and irrevocably undertake to re-pay all such sums of monies together with the interest due or owing to the Broker.

I/We hereby confirm and declare that all of the above including the aforesaid Risk Disclosure Statement was explained to me/us by the investment advisor. I/We further confirm that I/we have had the opportunity to discuss and obtain independent advice and this declaration has been duly read over and understood by me/us prior to signing this Declaration.

**Applicant** Name : \_\_\_\_\_ Signature: \_\_\_\_\_

**Joint Applicant** Name : \_\_\_\_\_ Signature: \_\_\_\_\_

**Witness:** Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Name: \_\_\_\_\_ Signature: \_\_\_\_\_

**FOR OFFICE USE ONLY**

The Broker will provide stock brokering services to the applicant, including buying and selling of securities. The Broker will notify the applicant in writing if there is any material change to the information of the Broker set out in the Client Registration Form at the time of opening of the account or at any time. I hereby confirm that I have brought the content of the Risk Disclosure Statement to the notice of the applicant and made him aware of the significance of the said Risk Disclosure Statement. I further confirm that the applicant is financially stable to maintain a CDS Account.

**Investment Advisor** Name: \_\_\_\_\_ Signature: \_\_\_\_\_

**Approved by:** Name: \_\_\_\_\_ Signature: \_\_\_\_\_



3. ද්විත්ව පුරවැසිභාවය පිළිබඳ විස්තර. (✓ යොදා සලකුණු කරන්න.) இரட்டை-குடியரிமை விபரங்கள் (✓ என அடையாளமிடவும்) Dual-citizenship Details (Please mark placing a ✓)	Main Holder	1 <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
රට / நாடு / Country 1: ..... ගමන් බලපත්‍ර අංකය / கடவுச்சீட்டு இல / Passport No.: .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රට / நாடு / Country 2: ..... ගමන් බලපත්‍ර අංකය / கடவுச்சீட்டு இல / Passport No.: .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රට / நாடு / Country 3: ..... ගමන් බලපත්‍ර අංකය / கடவுச்சீட்டு இல / Passport No.: .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. ඔබ, ඇප්.ජයේ විදේශ ගිණුම් බඳු අනුකූලතා පනත යටතේ ඇප්.ජයේ තැනැත්තෙක් ද? (✓ යොදා සලකුණු කරන්න.) நீங்கள் ஒரு அமெரிக்க வெளிநாட்டு கணக்கு வரி இணக்கச் சட்டத்துக்கு (FATCA) உட்படுகின்ற அமெரிக்க பிரஜையா? (✓ என அடையாளமிடவும்) Are you a US person under the Foreign Account Tax Compliance Act (FATCA) of the US? (Please mark placing a ✓)	Main Holder	1 <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
ඔව්. (පිළිගර ඔව් නම්, අයදුම් පත්‍රය සමඟ එක් පනතේ අදාළ ප්‍රකාශය ඉදිරිපත් කළ යුතුය.) ஆம் (ஆமெனின், விண்ணப்பபடிவத்துடன் FATCA பிரகடனத்தை சமர்ப்பிக்க வேண்டும்) Yes (If yes, FATCA declaration has to be submitted along with application form)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
නැත (මම/අපි ඇප්.ජයේ විදේශ ගිණුම් බඳු අනුකූලතා පනත යටතේ ඇප්.ජයේ තැනැත්තෙක් බවට පත්වෙන්නේ නම්, එම කාරණය සහනාගිවෙනවා වනාම දැනුම් දීමට මම/අපි පොරොන්දු වෙමි/වෙමු.) இல்லை (அமெரிக்க சட்டத்தின் கீழ் ஓர் அமெரிக்கப் பிரஜையாக மாறுகின்ற சந்தர்ப்பத்தில் நான்/நாம் உடனடியாக சொல்லப்பட்ட தகவல்களை பங்குபற்றுபவருக்கு அறிவிப்பதற்கு பொறுப்பேற்றுக் கொள்கின்றேன்/கொள்கின்றோம்) No (In the event if I/We become a US person under FATCA of US, I/ We do hereby undertake to inform the said fact to the Participant immediately)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. රක්ෂාව (✓ යොදා සලකුණු කරන්න.) தொழில் (✓ என அடையாளமிடவும்) Employment (Please mark placing a ✓)	Main Holder	1 <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
සේවා නියුක්ත / ,தொழில் செய்பவர் / Employed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ස්වයං රැකියා නියුක්ත / சுய தொழில் செய்பவர் / Self Employed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
වෘත්තිය/ව්‍යාපාරයේ ස්වභාවය / வாழ்க்கைத்தொழில்/வியாபாரத்தின் தன்மை / Occupation / Nature of Business			
ව්‍යාපාරයේ/සංවිධානයේ නම / வியாபாரத்தின் பெயர்/நிறுவனம் / Name of the Business / Organization			
කාර්යාලයේ ලිපිනය / அலுவலக முகவரி / Office Address			
දුරකථන අංකය / தொலைபேசி / Telephone			
ෆැක්ස් අංකය / தொலைநகல் / Fax			
විද්‍යුත් තැපෑල / மின்னஞ்சல் / E-mail			

<b>6. වර්ෂයකට අපේක්ෂිත ආයෝජන වටිනාකම (√ යොදා සලකුණු කරන්න.)</b> வருடத்து எதிர்பார்க்கப்படுகின்ற முதலீட்டின் பெறுமதி (✓ என அடையாளமிடவும்) <b>Expected Value of Investment per annum (Please mark placing a √)</b>	<b>Main Holder</b>	<b>1<sup>st</sup> Joint Holder</b>	<b>2<sup>nd</sup> Joint Holder</b>
රුපී. 100,000 ට අඩු / 100,000 ரூபாய்க்கு குறைவான தொகை / Less than Rs. 100,000 /	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රුපී. 100,000 සිට රුපී. 500,000 දක්වා / 100,000 – 500,000 ரூபாய் / Rs 100,000 to Rs 500,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රුපී. 500,000 සිට රුපී. 1,000,000 දක්වා / 500,000 – 1,000,000 ரூபாய் / Rs 500,000 to Rs 1,000,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රුපී. 1,000,000 සිට රුපී. 2,000,000 දක්වා / 1,000,000 – 2,000,000 ரூபாய் / Rs 1,000,000 to Rs 2,000,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රුපී. 2,000,000 සිට රුපී. 3,000,000 දක්වා / 2,000,000 – 3,000,000 ரூபாய் / Rs 2,000,000 to Rs 3,000,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රුපී. 3,000,000 සිට රුපී. 4,000,000 දක්වා / 3,000,000 – 4,000,000 ரூபாய் / Rs 3,000,000 to Rs 4,000,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රුපී. 4,000,000 සිට රුපී. 5,000,000 දක්වා / 4,000,000 – 5,000,000 ரூபாய் / Rs 4,000,000 to Rs 5,000,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රුපී. 5,000,000 සිට රුපී. 10,000,000 දක්වා / 5,000,000 – 10,000,000 ரூபாய் / Rs 5,000,000 to Rs 10,000,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
රුපී. 10,000,000 ට වැඩි / 10,000,000 ரூபாய்க்கு மேல் / Over Rs 10,000,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>7. අරමුදල් මූලාශ්‍ර (√ යොදා සලකුණු කරන්න.)</b> நீதியீட்டங்களுக்கான மூலம் (✓ என அடையாளமிடவும்) <b>Source of funds (Please mark placing a √)</b>	<b>Main Holder</b>	<b>1<sup>st</sup> Joint Holder</b>	<b>2<sup>nd</sup> Joint Holder</b>
වැටුප/ලාභ ආදායම් / சம்பளம்/இலாப வருமானம் / Salary / Profit Income	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ආයෝජන ලත් මුදල්/ඉතිරි කිරීම්/ முதலீட்டுப் பெறுகைகள்/ சேமிப்புகள்/ Investment Proceeds / Savings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
විකුණුම් සහ ව්‍යාපාරික පිටිවැටුම / விற்பனைகள் வியாபாரப் புரள்வு / Sales and Business Turnover	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
කොන්ත්‍රාත් ලත් මුදල් / ஒப்பந்தப் பெறுகைகள் / Contract Proceeds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
දේපල/වත්කම් විකිණීම / ஆதனங்கள்/ சொத்துக்கள் விற்பனை / Sales of Property/Assets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
තෘප්ත / அன்பளிப்புகள் / Gifts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
පරිත්‍යාග/ පුණ්‍ය හාට (දේශීය/විදේශීය) / நன்கொடைகள்/அறக்கட்டளைகள் (உள்நாட்டு/வெளிநாட்டு) / Donations / Charities (Local / Foreign)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
කොමිස් ආදායම් / தரகு வருமானம் / Commission Income	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
පවුල් ප්‍රේමණ / குடும்ப பண அனுப்பீடுகள் / Family Remittance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
අපනයන ලත් මුදල් / ஏற்றுமதி மூலம் பெறுகைகள் / Export proceeds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
සාමාජිකත්ව දායකමුදල්. / அங்கத்துவப் பங்களிப்புகள் / Membership contribution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
වෙනත් (කරුණාකාර සඳහන් කරන්න.) / ஏனையவை (தயவு செய்து குறிப்பிடவும்) / Others (Specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>8. වෙනත් ආශ්‍රිත ව්‍යාපාර/වෘත්තීය කටයුතු / ஏதேனும் ஏனைய தொடர்புடைய வியாபாரங்கள்/ தொழில்சார் செயற்பாடுகள் / Any other connected Businesses/ Professional activities</b>

9. දේශපාලනයට සම්බන්ධ තැනැත්තන් (✓ යොදා සලකුණු කරන්න.) / அரசியல் ரீதியாக தொடர்புடைய நபர்கள் (PEPs) (✓ என அடையாளமிடவும்) / Politically Exposed Persons (PEPs) (Please mark placing a ✓)	Main Holder	1 <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
<p>ඔබලා <b>දේශීය</b> වශයෙන් ප්‍රමුඛ පෙළේ මහජන කටයුත්තක් පවරා තිබෙන හෝ පවරා ඇති තැනැත්තන් වන්නේ ද? නිදසුනක් වශයෙන් ඊජයේ හෝ ආණ්ඩුවේ නායකයන්, ජ්‍යෙෂ්ඨ දේශපාලඥයන්, රාජ්‍ය, අධිකරණ, හෝ සුදුසේවයේ ජ්‍යෙෂ්ඨ නිලධාරීන්, ඊජයට අයිති සංස්ථාවල ජ්‍යෙෂ්ඨ විධායක නිලධාරීන්, වැදගත් දේශපාලන පක්ෂයක නිලධාරීන් ද යන වග - පිලිතුර "ඔව්" නම්, කරුණාකර පැහැදිලි කරන්න</p> <p>நீங்கள் முக்கியத்துவம் வாய்ந்த பொதுத் தொழிற்பாடுகளோடு உள்ளநாட்டுரீதியாக பொறுப்பளிக்கப்பட்ட தனிப்பட்டவர்களா? உதாரணமாக நாட்டின் அல்லது அரசின் தலைவர்கள், சிரேஷ்ட அரசியல்வாதிகள், சிரேஷ்ட அரச, நீதித்துறை அல்லது இராணுவ அதிகாரிகள், அரச கூட்டுத்தாபனங்களின் சிரேஷ்ட நிறைவேற்றினர்கள், முக்கிய அரசியல் கட்சி அதிகாரிகள் ஆமெனின் விபரங்களைக் குறிப்பிடவும்</p> <p>Are you individuals who are or have been entrusted <b>domestically</b> by a with prominent public functions? For example, Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, important political party officials. If "Yes" please explain.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>ඔබලා <b>විදේශීය</b> රටකින් ප්‍රමුඛ පෙළේ මහජන කටයුත්තක් පවරා තිබෙන හෝ පවරා ඇති තැනැත්තන් වන්නේ ද? නිදසුනක් වශයෙන් ඊජයේ හෝ ආණ්ඩුවේ නායකයන්, ජ්‍යෙෂ්ඨ දේශපාලඥයන්, රාජ්‍ය, අධිකරණ, හෝ සුදුසේවයේ ජ්‍යෙෂ්ඨ නිලධාරීන්, ඊජයට අයිති සංස්ථාවල ජ්‍යෙෂ්ඨ විධායක නිලධාරීන්, වැදගත් දේශපාලන පක්ෂයක නිලධාරීන් ද යන වග - පිලිතුර "ඔව්" නම්, කරුණාකර පැහැදිලි කරන්න</p> <p>நீங்கள் முக்கியத்துவம் வாய்ந்த பொதுத் தொழிற்பாடுகளோடு வெளிநாட்டுஎன்றினால் பொறுப்பளிக்கப்பட்ட தனிப்பட்டவர்களா? உதாரணமாக நாட்டின் அல்லது அரசின் தலைவர்கள், சிரேஷ்ட அரசியல்வாதிகள், சிரேஷ்ட அரச, நீதித்துறை அல்லது இராணுவ அதிகாரிகள், அரச கூட்டுத்தாபனங்களின் சிரேஷ்ட நிறைவேற்றினர்கள், முக்கிய அரசியல் கட்சி அதிகாரிகள் ஆமெனின் உறவுமுறையைக் குறிப்பிடவும்</p> <p>Are you individuals who are or have been entrusted with prominent public functions by a <b>foreign country</b>? For example, Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, important political party officials. If "Yes" please explain the relationship</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>ඔබලා සාප්පවම (පෙළපත්තීන් හෝ) හෝ විවාහයෙන් හෝ ඊට සමාන (සිවිල්) නවුලකාරවයෙකින් හෝ <b>දේශපාලනයට මැදිහත් තැනැත්තකු සමඟ සම්බන්ධ</b> වන තැනැත්තන් වන්නේ ද? පිලිතුර "ඔව්" නම්, කරුණාකර පැහැදිලි කරන්න</p> <p>நீங்கள் நேரடியாக (இரத்த உறவு) அல்லது திருமணத்தினூடாக அல்லது அதேபோன்ற (குடியியல்) பங்குடமை வடிவங்களில் அரசியல் ரீதியாக தொடர்புடையவர்களுடன் நெருங்கிய உறவைக் கொண்டுள்ள தனிப்பட்டவர்களா? ஆமெனின் உறவு முறையைக் குறிப்பிடவும்</p> <p>Are you individuals who are <b>related to a PEP</b> either directly (consanguinity) or through marriage or similar (civil) forms of partnership? If "Yes" please explain the relationship</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>ඔබලා <b>සමාජමය වශයෙන් හෝ වෘත්තීමය වශයෙන්</b> දේශපාලනයට මැදිහත් තැනැත්තකු සමඟ සම්බන්ධතාවයකින් දක්වන වන තැනැත්තන් වන්නේ ද? පිලිතුර "ඔව්" නම්, කරුණාකර පැහැදිලි කරන්න</p> <p>நீங்கள் சமூக ரீதியாக அல்லது தொழிற்துறை ரீதியாக அரசியல் ரீதியாக தொடர்புடைய நபர்களுடன் நெருங்கிய உறவைக் கொண்டுள்ள தனிப்பட்டவர்களா? ஆமெனின் உறவு முறையைக் குறிப்பிடவும்</p> <p>Are you individuals who are closely <b>connected to a PEP, either socially or professionally</b>? If "Yes" please explain the relationship</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. අවදානම වර්ගීකරණය/இடர் வகைப்பிரிப்பு/Risk Categorization (කාර්යාලයේ ප්‍රයෝජනය සඳහා පමණි. / அலுவலகப் பாவனைக்கு மாத்திரம்/ Office use only)	Main Holder	1 <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
	L <input type="checkbox"/> M <input type="checkbox"/> H <input type="checkbox"/>	L <input type="checkbox"/> M <input type="checkbox"/> H <input type="checkbox"/>	L <input type="checkbox"/> M <input type="checkbox"/> H <input type="checkbox"/>

11. සුරැකුම්පත් ගිණුම සම්බන්ධයෙන් # සහභාගිකරුට උපදෙස් දීම සඳහා බලය ලත් පුද්ගලයා/පුද්ගලයින් (ගිණුම් හිමියාට අමතරව වෙනත් පුද්ගලයෙකු/පුද්ගලයින් ගිණුම සම්බන්ධයෙන් උපදෙස් ලබා දෙන්නේ නම් හෙතික බලය පැවරීමේ පත්‍රිකාව / අවර්ථි බලපත්‍රය අමුණන්න). / பங்குபற்றநருக்கு அறிவுறுத்தல்கள் வழங்குவதற்கு அங்கீகரிக்கப்பட்ட நபரின்/நபர்களின் பெயர்/பெயர்கள் (ஏற்புடையதாக இருந்தால் அட்டோணி தத்துவப்பத்திரம்/பதிலிப்பத்திரம் இணைக்கவும்)/ Name of the person(s) authorized to give instructions to the # Participant (Please Attach a duly certified copy of Power of Attorney – if applicable):

.....

# සහභාගිකරු යනු මවෙහි කොටස් නැරඹිකරු හෝ හාස්කරු බැංකුව වේ. / பங்குபற்றுநர் என்பவர் உங்களது பங்குத்தரகர் அல்லது காப்பக வங்கி./ Participant means, your Stockbroker or Custodian Bank.

12. වෙනත් කරුණු /සටහන් (වෙනත්). / ஏனைய குறிப்புக்கள் (ஏதேனும் இருந்தால்) / Other remarks / notes (if any)

.....









(I) මාගේ / අපගේ\* නමින්/නමවලින් සුදැකුම්පත් ගිණුමක් විවෘත කරන ලෙස හා පවත්වාගෙන යන ලෙස ද වරින් වර මාගේ/අපගේ\* සුදැකුම්පත් ගිණුමට තැන්පත් කරනු ඇති කොළඹ විනාසාර වස්තු හුවමාරුවේ ලැයිස්තුවක කර ඇති සුදැකුම්පත් වලට අදාළව මාගේ / අපගේ\* තැන්පත්කරු ලෙස කටයුතු කරන ලෙසද මම/අපි\* ඔබෙන් ඉල්ලා සිටිමි/සිටිමු\*.

எனது/எமது பெயர்/பெயர்களில் பிணைப்பொறுப்புக்கள் கணக்கொன்றை ஆரம்பித்து பராமரிப்பதற்கும் மற்றும் காலத்துக்குக் காலம் எனது/எமது பிணைப்பொறுப்புக்கள் கணக்கில் வைப்பிலிடப்படக்கூடிய கொழும்பு பங்குப் பரிவர்த்தனையில் பட்டியலிடப்படக் கூடிய பிணைப்பொறுப்புக்கள் தொடர்பில் எனது/எமது வைப்பிட்டாளராக செயல்படுவதற்கும் நான்/நாம் இத்தால் வேண்டுகோள் விடுக்கின்றேன்/விடுக்கின்றோம்.

I/We\* hereby request you to open and maintain a Securities Account in my/our\* name/s and to act as my/our\* depository in relation to the securities listed on the Colombo Stock Exchange that may be deposited in my / our\* Securities Account from time to time.

(II) වරින් වර බලාත්මක කෙරෙන රීති, මාර්ගෝපදේශ , පටිපාටි හා කොන්දේසි වලට අනුකූලව සුදැකුම්පත් ගිණුම මෙහෙයවන බවට මම/අපි\* එකඟ වන්නෙමි/මු\*.

பிணைப்பொறுப்புக்கள் கணக்கானது மத்திய வைப்பக முறைமை சட்டவிற்கள், ஏற்புடைய வழிகாட்டல்கள் மற்றும் படிமுறைகள் மற்றும் மத்திய வைப்பக முறைமையினால் காலத்துக்குக் காலம் அவற்றுக்கு மேற்கொள்ளக் கூடிய எவையேனும் திருத்தங்கள் என்பவற்றுக்கு ஏற்ப செய்யப்படுத்தப்படும் என்பதற்கு நான்/நாம் உடன்படுகின்றேன்/உடன்படுகின்றோம்.

I/We\* agree that the Securities Account will be operated in accordance with the Rules of the CDS, the applicable guidelines and procedures and any amendments made thereto from time to time by the CDS.

(III) සුදැකුම්පත් ගිණුමට තැන්පත් කිරීම සඳහා වරින් වර ඔබට බාර දෙනු ඇති සුදැකුම්පත් බාර ගැනීම ප්‍රතිග්‍රහනය කිරීමට මම/අපි\* මෙයින් ඔබට බලය පවරා දෙන්නෙමි/දෙන්නෙමු\*. එම සුදැකුම්පත් වලට මම/අපට\* නිතරානුකූල අයිතියක් ඇති බවත් එම තැන්පතු කරන # සහභාගිකරුට එසේ තැන්පත් කිරීමට නිතරානුකූල අයිතියක් තිබෙන බව හා ඔහුට ඊට නීති පරිදි බලය පවරා තිබෙන බවත් මම/අපි\* මෙයින් සහතික කොට ප්‍රකාශ කර සිටිමි/ සිටිමු\*.

பிணைப்பொறுப்புக்கள் கணக்கில் வைப்பிலிடுவதற்காக காலத்துக்குக் காலம் உங்களுக்கு விநியோகிக்கப்படக்கூடிய பிணைப்பொறுப்புக்களின் சான்றிதழ்களின் விநியோகத்தை ஏற்றுக் கொள்வதற்கு நான்/நாம் உங்களுக்கு அங்கீகாரம் வழங்குகின்றேன்/வழங்குகின்றோம். எனக்கு/எமக்கு அத்தகைய பிணைப்பொறுப்புக்கள் சான்றிதழ்களுக்கு உரிய உரித்து இருக்கின்றது என்றும் பங்குபற்றுபவர் அத்தகைய வைப்பை மேற்கொள்வதற்கு சட்டப்படி தகவலுடையவர் என்றும் அவ்வாறு செய்வதற்கு உரிய முறையில் அங்கீகாரமளிக்கப்பட்டுள்ளார் என்றும் நான்/நாம் இத்தால் பிரதிநிதித்துவம் செய்து உத்தரவாதப்படுத்துகின்றேன்/உத்தரவாதப்படுத்துகின்றோம்.

I/We \* hereby authorize you to accept delivery of the securities certificates that may be delivered to you from time to time for deposit into the Securities Account. I hereby represent and Warrant that I/We \* have good title to such securities certificates and that the # participant making such deposit is lawfully entitled and duly authorized to do so.

(IV) මා / අප\* වෙනුවෙන් සුදැකුම්පත් ගිණුමට කවර හෝ සුදැකුම්පතක් තැන්පත් කිරීමට, තැන්පත් කරන ලද සුදැකුම්පත් ආපසු ලබා ගැනීමට සහ සුදැකුම්පත් සහතික පත්‍ර ඇතිකුත් ලේඛන මා/අපි\* වෙනුවෙන් ඔබෙන් ලබා ගැනීම ප්‍රතිග්‍රහනය කිරීමට මාගේ /අපගේ\* # සහභාගිකරුට පූර්ණ අධිකාරිය තිබෙන බව මම/අපි\* මෙයින් ස්ථිර කරමි/මු\*.

பிணைப்பொறுப்புக்கள் கணக்கில் ஏதேனும் பிணைப்பொறுப்பை வைப்பிலிடுவதற்கும், எனது/எமது சார்பில் ஏதேனும் வைப்பிலிடப்பட்ட பிணைப்பொறுப்புக்களை மீள்பெற்றுக் கொள்வதற்கும், எனது/எமது சார்பில் உங்களிடமிருந்து பிணைப்பொறுப்புக்கள் சான்றிதழ்கள் மற்றும் ஏனைய ஆவணங்கள் என்பவற்றின் விநியோகத்தை ஏற்றுக் கொள்வதற்கும் எனது/எமது பங்குபற்றுபவருக்கு முழுமையான அதிகாரம் உண்டு என இத்தால் நான்/நாம் உறுதிப்படுத்துகின்றேன்/உறுதிப்படுத்துகின்றோம்.

I/We\* hereby confirm that my/our # Participant has full authority to deposit any security into the Securities Account, to withdraw any deposited Securities on my/our\* behalf and to accept the delivery of securities certificates and other documents from you on my/our\* behalf.

(V) මා/අප විසින් CDS 1 ආකෘති පත්‍රයේ 15 වන අයිතමය යටතේ විද්‍යුත් තැපැල් ලිපිනයක් සපයා ඇති විට එම සපයා ඇති විද්‍යුත් තැපැල් ලිපිනයට මගේ/අපගේ\* CDS ගිණුමට අදාළ ගිණුම් ප්‍රකාශය යටතේ ලබන බව මම/අපි\* පිළිගනිමි/පිළිගනිමු. මගේ/අපගේ\* විද්‍යුත් තැපැල් ලිපිනයේ යම් වෙනසක් හෝ මෙම සේවය නතර කිරීම සඳහා ලිඛිතව කරන යම් ඉල්ලීමක් මගේ/අපගේ\* # සහභාගිකරු මගින් නොපමාව දැනුම් දීමට මෙයින් පෙරොන්දු වන්නෙමි/මු\*.

என்னால்/எம்மால் மத்திய வைப்பக முறைமை படிவத்தில் மின்னஞ்சல் முகவரியொன்று தந்திருக்கின்ற சந்தர்ப்பத்தில், எனது/எமது மத்திய வைப்பக முறைமைக் கணக்குடன் தொடர்புடைய மத்திய வைப்பக கணக்குக் கூற்றுக்கள் அதில் தரப்பட்ட மின்னஞ்சல் முகவரிக்கு அனுப்பி வைக்கப்படும் என நான்/நாம் ஏற்றுக் கொள்கின்றேன்/ஏற்றுக்கொள்கின்றோம். எனது/எமது மின்னஞ்சல் முகவரியில் ஏதேனும் மாற்றம் இருந்தால் அல்லது இந்த சேவையின் துண்டிப்புக்கான எழுத்து மூலமான ஏதேனும் வேண்டுகோள் எனது/எமது பங்குபற்றுபவர் ஊடாக மத்திய வைப்பக முறைமைக்கு என்னால்/எம்மால் எழுத்து மூலம் உடனடியாக அறிவிக்கப்படும் என நான்/நாம் உறுதிப்படுத்துகின்றேன்/உறுதிப்படுத்துகின்றோம்.

I/We\* hereby acknowledge that, in the event I/We\* have provided an email address in item 15 of Form CDS1, the CDS Account Statements pertaining to my/our\* CDS Account will be sent to the email address provided therein. I/We\* confirm that any change in my/our\* e-mail address or any request in writing for discontinuation of this service will be immediately communicated by me/us\* in writing to the CDS through my/our\* # participant.

(VI) ඉහත දී ඇති විස්තර වල කිසියම් වෙනසක් සිදු කල හොත් ඔබට සහ මාගේ/අපගේ\* # සහභාගිකරුට දින 14 ක් ඇතුළත ලිඛිතව දැනුම් දීමට එකඟ වන්නෙමි/මු\*.

மேலே தரப்பட்ட விபரங்களில் எதேனும் மாற்றம் இருந்தால் எனது/எமது பங்குபற்றுபவரினூடாக 14 நாட்களுக்குள் எழுத்து மூலம் உங்களுக்கு அறிவித்தல் வழங்குவதற்கு நான்/நாம் பொறுப்பேற்றுக் கொள்கின்றேன்/பொறுப்பேற்றுக் கொள்கின்றோம்.

I/We\* undertake to give you notice in writing through my/our # participant of any change of particulars given above within 14 days of such change.

\* අදාළ නොවන ඒවා කපා හරින්න. / **பொறுத்தமற்றவற்றை நீக்கிவிடவும். / Delete Accordingly**  
# සහභාගිකරු යනු ඔබේ කොටස් තැරුම්කරු හෝ භාරකරු වැනුව වේ. / **பங்குபற்றார் என்பவர் உங்களது பங்குத்தரர் அல்லது காப்பக வங்கி/ Participant means, your Stockbroker or Custodian Bank.**

Authorized  
Signature  
& stamp of  
participant

**ප්‍රකාශය සඳහා ආකෘතිය**  
**பிரகடனப்படுத்தல் படிவம்**  
**DECLARATION FORM**

<p>වන මෙ</p> <hr/> <p>(සම්පූර්ණ නම) (முழுப்பெயர்) (Full name)</p> <p style="text-align: center;">දරන ලිපිනයේ සිට என்னும் முகவரியைச் சேர்ந்த</p>	<p>of</p>	<p>(ලිපිනය) (விலாசம்) (address)</p> <hr/>
<p>වන මෙ</p> <hr/> <p>(සම්පූර්ණ නම) (முகவரி) (Full name)</p> <p style="text-align: center;">දරන ලිපිනයේ සිට என்னும் முகவரியைச் சேர்ந்த</p>	<p>of</p>	<p>(ලිපිනය) (பெயர்) (address)</p> <hr/>
<p>වන මෙ</p> <hr/> <p>(සම්පූර්ණ නම) (முகவரி) (Full name)</p> <p style="text-align: center;">දරන ලිපිනයේ සිට என்னும் முகவரியைச் சேர்ந்த</p>	<p>of</p>	<p>(ලිපිනය) (பெயர்) (address)</p> <hr/>

සෙන්ට්‍රල් ඩිපොසිට්‍රි සිස්ටම්ස් (පුබ්ලික්) ලිමිටඩ් සමාගම (සිවිල්ස් සමාගම) සැලකිල්ලට ගෙන, සුදානම්ව ගිණුමක් විවෘත කිරීමට එකඟ වෙමින් මෙසේ ප්‍රකාශ කර සිටීම/සිටිමි.

ஆகிய நான்/நாம் மத்திய வைப்பக முறைமை தனியார் நிறுவனத்தில் (CDS) பிணைப்பொறுப்புக்கள் கணக்கொன்றை ஆரம்பிப்பதன் உடன்பாட்டைக் கரிசனை கொண்டு, பின்வருமாறு பிரகடனப்படுத்துகின்றேன்/பிரகடனப்படுத்துகின்றோம்.

in consideration of the Central Depository Systems (Pvt.) Ltd. (CDS) agreeing to open a Securities Account, hereby declare as follows:

1. (i) මා/අප විසින් සිවිල්ස් සමාගම විවෘත කිරීමට නියමිත සුදානම්ව ගිණුම මාගේ/අපගේ ප්‍රතිලාභය සඳහා පමණක් පවත්වාගෙන යායුතුය. என்னால்/எம்மால் மத்திய வைப்பக முறைமையில் ஆரம்பிக்கப்படவுள்ள பிணைப்பொறுப்புக்கள் கணக்கானது எனது/எமது நலனுக்காக மாத்திரம் பயன்படுத்தப்படும்.  
The Securities Account to be opened by me/us in the CDS shall be maintained for my/our benefit only.

**හෝ**  
(අද්වලාභිතේ සංඛ්‍යාව තුනකට වැඩිවීමට වඩා වැඩිවීමට අවකාශය පවතී 1(ii) වගන්තිය සම්පූර්ණ කරන්න.)  
அல்லது  
(நலன் பெறுனர்கள் மூன்று ஆட்களுக்கு மேற்படாத சந்தர்ப்பத்தில் கீழே 1(ii) நிர்லக்களைப் பூர்த்தி செய்யவும்)

**Or**

(In the event the number of beneficiaries does not exceed three persons, please complete clause 1(ii) below.)

- (ii) මා/අප විසින් සිවිල්ස් සමාගම තුළ විවෘත කිරීමට නියමිත සුදානම්ව ගිණුම මාගේ/අපගේ පැවැත්ම/දායක/ලාභකාරියාගේ/ කළමනාකාරියාගේ තත්වයෙන් මෙහි පවතී සඳහන් තුනකට වැඩිවීමට නියමිත සුදානම්ව ගිණුම මාගේ/අපගේ පවත්වාගෙන යා යුතුය. என்னால்/எம்மால் மத்திய வைப்பக முறைமையில் ஆரம்பிக்கப்படவுள்ள பிணைப்பொறுப்புக்கள் கணக்கானது எனது/எமது நம்பிக்கையாளர் /பாதுகாவலர் / முகாமையாளர் என்றவகையில் பின்வரும் ஆட்களுக்காக பராமரிக்கப்படும்  
The Securities Account to be opened by us in the CDS shall be maintained for the benefit of the following persons in my/our capacity as Trustee / Custodian / Manager.

නම / பெயர் / Name	ලිපිනය / முகவரி / Address	පුරවැසිභාවය / தேசிய இனம் / Nationality
1.		
2.		
3.		

**හෝ / அல்லது / Or;**

(අද්වලාභිතේ සංඛ්‍යාව තුනකට වැඩිවීමට වඩා වැඩිවීමට අවකාශය පවතී 1(iii) වගන්තිය සම්පූර්ණ කරන්න.)

(நலன் பெறுனர்கள் மூன்று நபர்களுக்கு மேற்பட்ட சந்தர்ப்பத்தில் கீழே 1(iii) பந்தியைப் பயன்படுத்தவும்)

(In the event there are more than three beneficiaries, please complete clause 1(iii) below.)

- (iii) මම/අපි, මාගේ/අපගේ වින්වාසියාගේ/ලාභකාරියාගේ/කළමනාකාරියාගේ තත්වයෙන් ගිණුමේ අවසානාන්ත අද්වලාභිතේ සම්බන්ධයෙන් මම, ලිපිනය සහ පුරවැසිභාවය පිළිබඳව සියළුම තොරතුරු පවත්වාගෙන යා යුතු වන අතර, අද්වලාභිතේ සම්බන්ධ පවතින තොරතුරු සිවිල්ස් සමාගම සහ සහභාගිවන්නා විසින් නියම කරනු ලැබුවහොත්, ඔහු/විට් කේ සිවිල්ස් සමාගම සහ # සහභාගිවන්නා වෙත වහාම මුදා හැරීමට පොරොන්දු විය යුතු වේ/වෙමු.

நான் /நாம் நம்பிக்கையாளர் / பாதுகாவலர் / முகாமையாளர் என்ற அடிப்படையில் கணக்கின் இறுதி உண்மையான பயனாளிகள் தொடர்பான பெயர்கள், முகவரிகள் மற்றும் தேசிய இனங்கள் போன்ற சகல தகவல்களைப் பராமரிப்போம் என்பதோடு மத்திய வைப்பக முறைமை மற்றும் பங்குபற்றுவவர் வேண்டிக்கொண்டால், எந்த சந்தர்ப்பத்திலும் நலன் பெறுனர்கள் தொடர்பான அத்தகைய தகவல்களை மத்திய வைப்பக முறைமைக்கும் மற்றும் பங்குபற்றினருக்கும் உடனடியாக வழங்குவதற்கும் பொறுப்பேற்றுக் கொள்கின்றேன் /பொறுப்பேற்றுக் கொள்கின்றோம்.

I/We, in our capacity as Trustee / Custodian / Manager shall maintain all information such as names, addresses and nationalities pertaining to the ultimate beneficiaries of the account and undertake to promptly release to the CDS & the Participant such information pertaining to the beneficiaries, at any time, if required by the CDS & the # Participant.

2. අයුද්ධ පත්‍රය සහ ඊට අමුණා ඇති ලේඛනවල සත්‍ය සහ නිවැරදි තොරතුරු අඩංගු වන අතර, සැබෑ තොරතුරු වසන් කිරීමට හෝ වරදවා දැක්වීමට එකී තොරතුරු යම් වෙනස් කිරීමක්, සුළු වෙනස් කිරීමක් හෝ සදාචාර දැක්වීමක් සිදු කර නොමැත.

இதற்கு இணைக்கப்பட்டுள்ள விண்ணப்பம் மற்றும் ஆவணங்கள் என்பவற்றின் உள்ளடக்கங்கள் உண்மையானவையும் சரியானவையுமாகும் என்பதோடு அதில் உண்மையான தகவல்களை மறைப்பதற்காக அல்லது கவனத்தை திசை திருப்புவதற்காக தகவல்களை திருத்துதல், சேர்த்தல் அல்லது மோசடியான தகவல்களை மேற்கொள்ளல் என்பவை மேற்கொள்ளப்படவில்லை.

The application and the documents attached thereto bear true and correct information and no alteration, modification or falsification was carried out to them to hide or deflect true facts.

3. සිවිල්ස්, ගිණුමක් විවෘත කිරීම පිණිස මෙම සිවිල්ස්, I වන ආකෘතියේ දී සහ මෙම ප්‍රකාශයේ දී ලබා දී ඇති යම් කවර ම තොරතුරු සහ අයුද්ධ පත්‍රය සමඟ මා/අප විසින් ඉදිරිපත් කරන ලද වෙනත් තොරතුරුවල යම් වෙනස් කිරීම්, වුවහොත්, එම වෙනස් කිරීම් දහනවැනි (14) ඇතුළත් සිවිල්ස් සමාගමට සහ # සහභාගිවන්නා දැනුම් දීමට මම/අපි පොරොන්දු වෙමු/වෙමු.

மத்திய வைப்பக முறை படிவம் I இல், இந்தப்பிரகடனத்தில் மற்றும் மத்திய வைப்பக முறைமைக் கணக்கொன்றை ஆரம்பிப்பதற்கு இந்த விண்ணப்பத்தோடு என்னால் /எம்மால் சமர்ப்பிக்கப்பட்ட ஏனைய ஆவணங்களில் வழங்கப்பட்ட தகவல்களில் ஏதேனும் மாற்றம் இருக்கின்ற சந்தர்ப்பத்தில், அத்தகைய மாற்றம்

ஏற்படுத்தப்பட்ட 14 நாட்களுக்குள் எழுத்து மூலம் மத்திய வைப்பகத்துக்கு மற்றும் பங்குபற்றுபவருக்கு நான் /நாம் அறிவிப்பதற்கு பொறுப்பேற்றுக் கொள்கின்றேன் /பொறுப்பேற்றுக் கொள்கின்றோம்.

In the event of a variation of any information given in the CDS Form 1, this Declaration and other information submitted by me/us along with the application to open a CDS Account, I/we undertake to inform the CDS & the # Participant in writing within fourteen (14) days of such variation.

4. සිවිල් සමාගමේ විවෘත කිරීමට නියමිත සුරැකුම්පත් ගිණුම හරහා සුරැකුම්පත් මිලදී ගැනීම පිණිස ආයෝජනය කළ යුතු අරමුදල් වනාහි යම් කවරම මුදල් විදේශීකරණයකින් ජනයා වූ අරමුදල් හෝ ඉස්තවැදී හෝ යම් වෙනත් නීති විරෝධී ආකාරයෙන් මූල්‍ය සම්පාදනය හරහා උත්පාදනය කරගනු ලැබූ අරමුදල් නොවිය යුතුය.

මத்திய வைப்பක முறைமையில் திறக்கப்படவுள்ள பிணைப்பொறுப்புக்கள் கணக்கிடுவாடாக பிணைப்பொறுப்புக்கள் கொள்வனவுக்காக முதலிடப்படவுள்ள நிதிகளானவை ஏதேனும் கருப்புப் பண செயற்பாட்டிலிருந்து பெற்றுக் கொள்ளப்பட்ட நிதியிலிருந்து அல்லது பயங்கரவாத அல்லது ஏதேனும் ஏனைய சட்டத்துக்கு முரணான செயற்பாட்டிலிருந்து பிறப்பிக்கப்பட்ட நிதிகளாக இருக்கமாட்டாது.

The funds to be invested for the purchase of securities through the Securities Account to be opened with the CDS will not be Funds derived from any money laundering activity or funds generated through the financing of terrorist or any other illegal Activity.

5. මා/අප. මෙහි පහත සඳහන් වරදවල් සම්බන්ධයෙන් ශ්‍රී ලංකාව තුළ දී හෝ වෙනත් රටක දී යම් කවර ම වූ අපරාධ/සිවිල් විනිශ්චයාධිකාරයකින් හෝ පරිපාලනමය චලධරයකු විසින් තහනම ලැබීමට සහ/හෝ ප්‍රතික්ෂේප කිරීම සහ/හෝ අත්හිටුවීම සිදු කර නොමැත.

நான்/நாம், பின்வரும் தவறுகள் தொடர்பில் இலங்கையில் அல்லது ஏதேனும் வேறு நாட்டில் ஏதேனும் குற்றவியல் /குடியியல் நியாய சபையால் அல்லது நிருவாக அதிகாரசபையால் தடை செய்யப்பட்டு மற்றும்/அல்லது நிராகரிக்கப்பட்டு மற்றும்/அல்லது இடைநிறுத்தப்பட்டிருக்கவில்லை;

I/we have not been banned and/or rejected and /or suspended by any criminal/civil tribunal or administrative authority in Sri Lanka or in any other country in connection with the following offences:

- 2006 අංක 06 දරන මූල්‍ය ගනුදෙනු වාර්තා කිරීමේ පනත මගින් අර්ථ නිරූපණය කර ඇති පරිදි යම් කවර ම වූ නීති විරෝධී ක්‍රියාවකින් හෝ යම් කවර ම වූ නීති විරෝධී ක්‍රියාවකින් ලත් මුදල්වලින් සාජුවම හෝ වකුචම ජනයා කරගන්නා හෝ උපලබ්ධි කරගන්නා යම් කවර ම වූ දේපලක් සම්බන්ධයෙන් වන යම් කවර ම වූ ගනුදෙනුවක සාජුවම හෝ වකුචම නිරත වීම.

2006 ஆம் ஆண்டின் 06ஆம் இலக்க நிதியியல் பரிமாற்றல்கள் அறிக்கையிடல் சட்டத்தினால் விபரிக்கப்பட்டவாறு ஏதேனும் சட்டத்துக்கு முரணான செயலிலிருந்து அல்லது ஏதேனும் சட்டத்துக்கு முரணான செயற்பாட்டின் பெறுகைகளிலிருந்து அல்லது பணமாக மாற்றப்பட்டதிலிருந்து நேரடியாக அல்லது மறைமுகமாக பெற்றுக் கொள்ளப்படுகின்ற ஏதேனும் ஆதனம் தொடர்பிலான பரிமாற்றலில் நேரடியாக அல்லது மறைமுகமான ஈடுபடுதல்;

Engaging directly or indirectly in any transaction in relation to any property which is derived or realized directly or indirectly, from any unlawful activity or from the proceeds of any unlawful activity as defined by the Financial Transactions Reporting Act No. 6 of 2006;

- ඉහත සඳහන් කළ පරිදි යම් කවරම වූ නීති විරෝධී ක්‍රියාවකින් හෝ යම් කවරම වූ නීති විරෝධී ක්‍රියාවකින් ලත් මුදල්වලින් සාජුවම හෝ වකුචම ජනයා කරගන්නා හෝ උපලබ්ධි කරගන්නා යම් දේපලක් ලබාගැනීම, සත්කයේ තබාගැනීම, සැලවීම, බැහැර කිරීම, ශ්‍රී ලංකාව තුළට ගෙන ඒම සහ වෙනත් රටකට ගෙන යාම හෝ ශ්‍රී ලංකාව තුළ හෝ වෙනත් රටක ආයෝජනය කිරීම. හෝ

மேலே குறிப்பீடு செய்யப்பட்டவாறு ஏதேனும் சட்டத்துக்கு முரணான செயலிலிருந்து அல்லது ஏதேனும் சட்டத்துக்கு முரணான செயற்பாட்டின் பெறுகைகளிலிருந்து நேரடியாக அல்லது மறைமுகமாக பெற்றுக் கொள்ளப்படுகின்ற ஏதேனும் ஆதனத்தை பெறுதல், செயன்முறைப்படுத்தல், மறைத்தல், விற்றுத் தீர்த்தல் அல்லது அதன்குச் சமமான சட்டவாக்கம் என்பவற்றின் கீழ் தவறொன்றாக விபரிக்கப்பட்டிருக்கின்ற ஏதேனும் ஏனைய தவறு. நாட்டில் முதலிடவைத்தகாக கொண்டு வருதல்;

Receiving, possessing, concealing, disposing, of or bringing into Sri Lanka or into any other country, or for investing in Sri Lanka or in any other country, any property which is derived or realized, directly or indirectly, from any unlawful activity or from the proceeds of any unlawful activity referred to above; or

- 2006 අංක 05 දරන මුදල් විදේශීකරණය වැළැක්වීමේ පනත යටතේ සහ එහි පනතට සිදු කරන යම් සංශෝධනයක් හෝ ලෝකයේ වෙනත් යම් කවරම වූ රටක ව්‍යවස්ථාවක ඊට සමාන නීතියක් යටතේ වරදක් වශයෙන් අර්ථ නිරූපණය කරනු ලැබ ඇති යම් වෙනත් වරදක් සිදු කිරීම.

2006ஆம் ஆண்டின் 5ஆம் இலக்க கருப்புப் பணத்தைத் தடுத்தல் சட்டம் மற்றும் அந்தச் சட்டத்துக்கான ஏதேனும் திருத்தம் அல்லது உலகின் ஏதேனும் ஏனைய பகுதியில் உள்ள அதற்குச் சமமான சட்டவாக்கம் என்பவற்றின் கீழ் தவறொன்றாக விபரிக்கப்பட்டிருக்கின்ற ஏதேனும் ஏனைய தவறு. Any other offence which has been defined as an offence under the Prevention of Money Laundering Act No.5 of 2006 and any amendment thereto or any similar legislation in any other part of the world.

6. මා/අප වනාහි ඉහත සඳහන් කළ වරද සම්බන්ධයෙන් ශ්‍රී ලංකාව තුළ හෝ යම් වෙනත් රටක දී අපරාධ වරදකට වරදකරු කර ඇති බවට වාර්තාවක් නොමැති යනපත් තැනැත්තන් වන බවට මම/අපි මෙයින් තවදුරටත් ප්‍රකාශ කර සිටීම/සිටීම.

நான்/நாம், மேலே குறிப்பிடப்பட்டவாறு தவறுகள் தொடர்பில் இலங்கையில் அல்லது ஏதேனும் வேறு நாட்டில் குற்றவியல் தீர்ப்பளிக்கப்படாத சிறந்த நடத்தைமுடைய நிலையில் இருக்கின்றேன்/இருக்கின்றோம் என இத்தால் நான்/நாம் பிரகடனப்படுத்துகின்றேன் /பிரகடனப்படுத்துகின்றோம்.

I/We hereby further declare that I/We am/are person(s) of good standing with no record of criminal convictions in relation to the offences stated above, in Sri Lanka or in any other country.

7. මෙහි පහත සඳහන් නඩු කටයුතු හැර (විභාග වෙමින් පවතින යම් කවරම වූ නඩු කටයුතු පිළිබඳ විස්තර සඳහන් කරන්න.) ශ්‍රී ලංකාව තුළ හෝ ලෝකයේ වෙනත් යම් කවරම වූ රටක දී මා/අප වරදකරු කර දඬුවම් පැනවීම හෝ මට/අපට එරෙහිව සහ/හෝ මට/අපට සම්බන්ධිත යම් කවර ම වූ තැනැත්තකු/තැනැත්තන්ට සහ/හෝ මට/අපට සම්බන්ධිත යම් කවරම වූ අස්ථිත්වයකට (හවුල්කරුවකට, කොටස්දීමියෙකුට, අධ්‍යක්ෂකවරයෙකුට) එරෙහිව විභාග වන අපරාධ නඩු කටයුතු නොමැත.

நான்/நாம், அல்லது என்னோடு/எம்மோடு தொடர்புடைய நபர்/நபர்கள் மற்றும்/அல்லது என்னோடு/எம்மோடு இணைந்துள்ள ( ஒரு பங்காளராக, பங்குடமையாளராக, பணிப்பாளராக) ஏதேனும் நிறுவனம் எனக்கு/எமக்கு அல்லது மேலே சொல்லப்பட்டவாறு இணைந்த மற்றும் /அல்லது தொடர்புடையவர்களுக்கு எதிராக பின்வரும் விடயங்கள் தவிர, இலங்கையில் அல்லது உலகின் வேறு எந்தப்பகுதியிலும் மேலே குறிப்பிடப்பட்டவாறு எவையேனும் குற்றத் தீர்ப்புக்கள் / இன்னும் தீர்ப்பு வழங்கப்படாத குற்றவியல் நடவடிக்கைமுறை இல்லை.

I/We or any persons(s) associated with me/us and/or any entity connected to me/us (as a partner, shareholder, director) do not have against me/us or persons connected and/or associated as aforesaid any convictions/pending criminal proceeding in Sri Lanka or in any other part of the world except the following (give detailed description of any pending litigation);

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

8. සිවිල් සමාගමේ ගිණුමක් විවෘත කිරීමට ඉදිරිපත් කරන ලද මා/අපගේ අයදුම්පත සහ වෙනත් අදාළ ලිපිලේඛන ප්‍රතික්ෂේප වී නොමැති බවට හෝ සි.සි.පස්. සමාගමේ යම් වෙනත් යම් සහනාධිකාරීකරු විසින් යම් කවර ම වූ ව්‍යාපාරික සම්බන්ධතාවයක් මීට පෙර ප්‍රතික්ෂේප කර නොමැති බවත්. මම/අපි මෙයින් තවදුරටත් ප්‍රකාශ කර සිටීම/සිටීම.

நான்/நாம், மத்திய வைப்பக முறைமையின் எவ்வேனும் ஏனைய பங்குபற்றுபவரால் மத்திய வைப்பக முறைமை கணக்கொன்றை ஆரம்பிப்பதற்கான எனது/எமது விண்ணப்பம் நிராகரிக்கப்படவில்லை அல்லது ஏதேனும் விவாயார தொடர்புகள் மறுக்கப்படவில்லை என பிரகடனப்படுத்துகின்றேன் /பிரகடனப்படுத்துகின்றோம்

I/We declare that my/our application and other relevant documentation to open a CDS account has not been refused or any business relationship has not been declined previously by any other # Participant of the CDS.





## AGREEMENT FOR CREDIT FACILITY

**THIS AGREEMENT** is made and entered into on the dates and places hereinafter mentioned by and between, Senfin Securities Limited a company duly incorporated under the laws of Sri Lanka bearing Registration No. PB160 and having its registered office at 4th Floor, No.180, Bauddhaloka Mawatha, Colombo 04. (hereinafter referred to as "The Company") which term shall as herein used where the context so requires mean and include the said Senfin Securities Limited (its successors and permitted assigns) of the One Part

**And**

..... (individual's name)  
of.....(Address) NIC Number  
.....(hereinafter referred to as "The Client") which term shall as herein used  
where the context so requires mean and include the said Client or its successors and assigns/his/her/their  
heirs executors administrators and assigns of the Other Part

The Company and The Client are individually referred to herein as "**Party**" and collectively as "**Parties**"

**WHEREAS** in terms of the Section 7 Other Business Activities/Services of Stockbroker Rules 2012 of the Colombo Stock Exchange of Sri Lanka (hereinafter referred to as the "CSE") stockbrokers shall enter into a written agreements with each client to whom credit is extended, which clearly sets out the terms and conditions entered into between the parties

**AND WHEREAS**, The Client is desirous of availing the credit facility and the Company agrees to extend credit facilities to the Client at its absolute discretion and as may be specified by the CSE and the Securities and Exchange Commission of Sri Lanka (hereinafter referred to as the "SEC") from time to time, subject to the terms and conditions contained herein.

**NOW THEREFORE** in consideration of the mutual covenants and agreements herein contained the Parties agree as follows:

### **1. REPRESENTATIONS AND WARRANTIES**

Each of the Parties represents and warrants that:

- I. They have the legal power and authority to enter into and perform their respective obligations under this Agreement and that the parties have the financial capacity to undertake and perform their respective obligations under this Agreement;
- II. No litigation, arbitration, dispute or legal proceeding has been commenced or is pending or is threatened and no judgment or award has been given or is pending which in any way prejudices or restricts the power, capacity or authority of the respective parties hereto to perform its undertakings under this Agreement.

### **2. PERIOD OF THE CREDIT FACILITY**

The Client agrees to pay and settle the extended credit amount to the Company within Twenty Two (22) market days from the trading date. (On or before T+22 market days)

### **3. CONDITIONS OF CREDIT**

- I. The Client agrees that the credit extension facility shall be provided at the absolute discretion of the Company and the Client has no authority to demand such facilities from the Company
- II. The Company shall grant credit to its Clients only in instances where the credit granted is secured by listed securities.
- III. The Client agrees to pay and settle the extended credit amount to the Company on demand of the Company.



- IV. In the event that the Client fails to pay and settle the extended credit amount in accordance to the clause 2 hereof and /or on demand of the Company the Company may and is hereby authorized to force sell all or part of the securities portfolio without prior notice to the Client and recover all sums of money due and payable by the Client to the Company.
- V. The Company shall not grant credit exceeding 50% of the market value of the Client's pledged securities portfolio. In the event that the credit extended to the client exceeds 50% of the Market Value of the securities pledged by the Client, the Company shall inform the Client to make good such short fall by the next market day and the Client shall settle the outstanding and/or sell the securities to recover such shortfall.
- VI. The Company shall be entitled to charge an interest on the outstanding amount at such rates as maybe mutually agreed subject to it not exceeding 0.1% per day (36.5% per annum) from the day after the settlement date.
- VII. The Client agrees that the Company shall be entitled to recover any loss incurred by it in connection with this Agreement from the Client even after termination of this Agreement.
- VIII. The Client shall at all times indemnify and keep fully indemnified the Company and/or its nominees, agents and correspondents against any and all costs (including costs of litigation), expenses, liabilities, claims and demands whatsoever in under or arising out of credit extension or any act done hereunder.
- IX. This Agreement can be altered, amended and/or modified by the Parties mutually in writing. Provided however, if the rights and obligations of the Parties hereto are altered by virtue of change in Rules and regulations of the SEC/CSE, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the Parties mentioned in this Agreement.

**4. TERM**

This Agreement shall come into effect on the dates hereinafter mentioned and shall remain in force unless sooner terminated by either party.

**5. TERMINATION**

The Company and the Client shall be entitled to terminate this Agreement without assigning any reason whatsoever to the other Party, after giving notice in writing not less than seven market (07) days to the other Party. Notwithstanding any such termination, all rights, liabilities and obligations of the Parties arising out of or in respect of transactions entered into prior to the termination of this Agreement shall continue to survive and vest in/be binding on the respective Parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

**6. NOTICES**

Any notice or other communication to be given under this Agreement shall deem to be accepted by the parties when delivered to the addresses herein above and/or following email addresses;

To the Company:

info@senfinsecurities.com

To the Client:

.....

**7. REMEDIES AND WAIVERS**

No delay or omission on the part of any Party in exercising any right, power or remedy provided by law or under this Agreement shall impair such right, power or remedy, or operate as a waiver thereof.

**IN WITNESS WHEREOF** the parties have executed this document on the respective dates and places specified below.

**THE COMPANY**

**Signature of the CLIENT**

.....  
**AUTHORIZED SIGNATORY - SENFIN SECURITIES LIMITED**  
 Date:

.....  
 Name:  
 Date:

**CLIENT AGREEMENT**

This Agreement is made and entered into on this .....day of.....Two  
Thousand and ..... (.....) at .....

**By and Between**

- (1) .....bearing National Identity Card /  
Passport No..... of.....  
(2) .....bearing National Identity Card /  
Passport No..... of.....  
(hereinafter sometimes jointly and severally referred to as the “**Client/s**”) of the **One Part**

**And**

**SENFIN SECURITIES LIMITED**, a company duly incorporated under the laws of Sri Lanka bearing Company registration No. PB 160 and having its registered office at 04<sup>th</sup> Floor, No.180, Bauddhaloka Mawatha, Colombo 04 (hereinafter referred to as “**the Stockbroker Firm**” which term or expression has herein used shall where the context requires or admits mean and include the said Stockbroker Firm, its successors and permitted assigns) of the **Other Part**;

**The Client/s and the Stockbroker Firm shall hereinafter be collectively referred to as “Parties” and each individually as “Party”.**

**WHEREAS** the Stockbroker Firm is a Member/Trading Member of the Colombo Stock Exchange (hereinafter referred to as the ‘**CSE**’) and is licensed by the Securities and Exchange Commission of Sri Lanka (hereinafter referred to as the ‘**SEC**’) to operate as a Stockbroker;

**AND WHEREAS** the Client/s is/are desirous of trading on the securities listed on the CSE through the said Stockbroker Firm and the Stockbroker Firm agrees to provide such services to the Client/s in accordance with the applicable Rules of the CSE, CDS, SEC and other applicable laws of Sri Lanka.

**NOW THEREFORE THIS AGREEMENT WITNESSETH** and it is hereby agreed by and between the Parties hereto as follows:

**1.0 RIGHTS AND RESPONSIBILITIES OF THE CLIENT/S**

1.1 Subject to clause 1.5 below;

- a) In the event of a Joint Account, the Client/s shall provide to the Stockbroker Firm, the name/s of the persons;
- authorized to give trading orders and settlement instructions; and,
  - to whom payments by the Stockbroker Firm are to be made.

b) In the event of a Corporate Client Account, the Client shall provide to the Stockbroker Firm, the name/s of specific directors and officers authorized to;

- trade in securities; and,
- execute all documentation for trading and settlement in the account,

together with a copy of the Board resolution certified by the Company Secretary evidencing same.

The aforesaid person/s shall hereinafter be referred to as 'authorized person/s'.

- 1.2** The Client/s shall notify the Stockbroker Firm in writing, if there is any change in the contact and/or other information provided by the Client/s to the Stockbroker Firm, within seven (7) calendar days of such change.
- 1.3** Subject to clause 1.5 below, in the event the Client/authorized person(s) (as applicable) intends to purchase and/or sell securities, the Client/authorized person(s) (as applicable) shall give specific order instructions to the Investment Advisor (an employee of the Stockbroker Firm, who is certified by the CSE/SEC to deal with Clients) assigned to deal with the Client/s regarding same.
- 1.4** The Client/authorized person(s) (as applicable) authorize/s the Stockbroker Firm to accept order instructions given by the Client/authorized person(s) (as applicable) to the Stockbroker Firm pertaining to the CDS Account of the Client/s through electronic means and other means including telephone, Short Message Service (SMS), E-mail and Fax. The order instructions provided by the Client/authorized person(s) (as applicable) through aforesaid means shall not be revoked or withdrawn by the Client/authorized person(s) (as applicable) after the execution of the order and shall therefore be confirmed.
- 1.5** If the Client/s intends the Stockbroker Firm to use the Stockbroker Firm's own judgment, expertise and discretion to buy and/or sell securities on behalf of the Client/s, the Client/s shall provide the prior written authorization to the Stockbroker Firm for same.

The said written authorization provided by the Client/s to the Stockbroker Firm shall clearly include the following;

- Name of the Client/s and the CDS Account Number;
- Effective Date of the authorization;
- Applicable period of the authorization;
- Investment objective (short time, long term, trading in any specific industry, any other specifications); and,
- Purpose of giving discretion to the Registered Investment Advisor.

- 1.6** The Client/s shall ensure that cleared funds are made available to the Stockbroker Firm in respect of the securities purchased by the Stockbroker Firm on behalf of the Client/s, by 09.00 hours on the settlement date of such purchase transaction and if the Client/s fail/s to make payment as aforesaid, the Stockbroker Firm may, at its absolute discretion, charge an interest commencing from the day after the settlement date at a rate decided by the Stockbroker Firm,

but not exceeding 0.1% per day as specified in the Stockbroker/Stock Dealer Rules of the CSE.

The Client/s shall accept the liabilities arising from all authorized transactions executed in the CDS Account of the Client/authorized person(s) (as applicable) by the Investment Advisor.

- 1.7** If the Client/s has/have a complaint against the Stockbroker Firm relating to a particular transaction/s, the Client/s shall first refer such complaint to the Compliance Officer of the Stockbroker Firm, in writing, within a period of three (3) months from the date of the transaction/s.

Where the Client/s is/are not satisfied with the decision given by the Stockbroker Firm or the manner in which the complaint was dealt with by the Stockbroker Firm, the Client/s may refer the complaint to the CSE, in writing, in accordance with the Procedure set out by the CSE (which is available on the CSE website, [www.cse.lk](http://www.cse.lk)).

- 1.8** The Client/s agree/s that the Stockbroker Firm may, at its absolute discretion, sell not only the securities in respect of which payment has been defaulted by the Client/s, but also any other securities lying in the CDS Account of the Client/s in respect of which payment has been made by the Client/s, in full or part, in order to enable the Stockbroker Firm to recover the monies due to the Stockbroker Firm from the Client/s including interest and other applicable charges.
- 1.9** The Client/s shall not;
- a. use any funds derived through illegal activity for the purpose of settling purchases of securities to the Client's CDS Account.
  - b. enter into any verbal or written agreement/s with the employee/s of the Stockbroker Firm to share profits arising from the transactions carried out on behalf of the Client/s by the Stockbroker Firm.

## **2.0 RIGHTS AND RESPONSIBILITIES OF THE STOCKBROKER FIRM**

- 2.1** Subject to clause 2.3 below;
- a) In the event of a Joint Account, the Stockbroker Firm shall obtain from the Client/s, the name/s of the persons;
    - authorized to give trading orders and settlement instructions; and,
    - to whom payments by the Stockbroker Firm are to be made.
  - b) In the event of a Corporate Client Account, the Stockbroker Firm shall obtain from the Client/s, the name/s of specific directors and officers authorized to;
    - trade in securities; and,
    - execute all documentation for trading and settlement in the account,together with a copy of the Board resolution certified by the Company Secretary evidencing same.

- c) the Stockbroker Firm shall carry out all transactions based on the specific order instructions provided by the Client/authorized person(s) (as applicable) through the communications channels specified in clause 1.4 of this Agreement.
- 2.2** Prior to accepting any orders from a third party on behalf of the Client/s, the Stockbroker Firm shall first obtain the written authorization of the Client/s empowering the third party to trade on behalf of the Client/s through the Client's CDS Account.
- 2.3** The Stockbroker Firm shall not exercise the discretion to buy or sell securities on behalf of the Client/s, unless the Client/s has/have given prior written authorization to the Stockbroker Firm to effect transactions for the Client/s without his/their specific order instructions as set out in clause 1.5 of this Agreement.
- 2.4** The Stockbroker Firm shall send to the Client/s a note confirming the purchase and/or sale of securities (bought/sold note) by the end of the trade day (T).  
Upon obtaining the prior consent of the Client/s, the Stockbroker Firm may send the bought/sold notes to the Client/s in electronic form to the e-mail address provided by the Client/s for such purpose.
- 2.5** The Stockbroker Firm shall send a Statement of Accounts to the Client/s who is/are debtor/s over Trade Day + 3 (T+3), on a monthly basis by the 7<sup>th</sup> day of the following month. This should apply when the client/s has/have had transactions during the month and the "interest charged on delayed payment" should also be considered as a transaction for this purpose. Such Statement of Accounts shall specify the transactions in the account including receipts and payments during the month under reference.
- 2.6** In the event the Statements of Accounts are issued electronically, the Stockbroker Firm shall obtain the consent of the Client/s and retain evidence of such consent.
- 2.7** The Stockbroker Firm shall provide a copy of its latest Audited Financial Statements filed with the CSE to a Client/s, upon request by such Client/s.
- 2.8** The Stockbroker Firm shall communicate in writing, directly with its Client/s in respect of statements, bought/sold notes or any other information unless the Client/s has/have authorized the Stockbroker Firm otherwise in writing.
- 2.9** The Stockbroker Firm shall ensure that 'cleared funds' are made available to the Client(s) /authorized person(s) (as applicable) on the settlement date, unless the Client/s has/have expressly permitted the Stockbroker Firm, in writing, to hold the sales proceeds for future purchases.
- 2.10** Upon the request of the Client/s, the Stockbroker Firm may:
- a) extend credit facilities to the Client/s solely for the purpose of purchasing securities on the CSE and in accordance with the applicable Rules set out in the CSE Stockbroker Rules and terms and condition mutually agreed to between the Client/s and the Stockbroker Firm by way of a written agreement for extension of such facilities.

b) provide internet trading facilities to such Client/s based on a written agreement mutually agreed between the Client/s and the Stockbroker Firm, in accordance with the requirements applicable to Internet Trading published by the CSE from time to time.

**2.11** The Stockbroker Firm shall assign a Registered Investment Advisor to deal with the Client/s and shall inform such Client/s regarding the name and contact details of the Registered investment Advisor assigned to such Client/s. Further, the Stockbroker Firm shall inform the Client in writing regarding any change to the Registered Investment Advisor within seven (7) Calendar Days of such change.

**2.12** The Stockbroker Firm shall forthwith notify the Client/s in writing, if there is any material change in contact or other information provided to the Client/s by the Stockbroker Firm.

**2.13** The Stockbroker Firm undertakes to maintain all information of the Client/s in complete confidence and the Stockbroker Firm shall not disclose such information to any person except in accordance with the Stockbroker Rules of the CSE.

**2.14** The Stockbroker Firm shall disclose to the Client/s, the existence of any incentive scheme applicable for employees of the Stockbroker Firm, which is based on turnover generated from the transactions carried out by the employees for the Client/s.

**2.15** The Stockbroker Firm may recover any outstanding balance arising from the purchase of securities of the Client/s from the sales proceeds due to the buyer only in the circumstances set out in the Stockbroker Rules of the CSE.

**2.16** The Stockbroker Firm shall provide services to the Client/s in compliance with the applicable Rules of the CSE, CDS, SEC and other applicable laws of Sri Lanka.

### **3.0 RISK DISCLOSURE STATEMENT**

**3.1** The Stockbroker Firm agrees that a member of its staff who is authorized by the Board of Directors of the Stockbroker Firm to make declarations on behalf of the Stockbroker Firm has explained the applicable Risk Disclosures to the Client/s and has executed the declaration set out in Schedule 1 hereto in proof of same and such Schedule 1 shall form part and parcel of this Agreement.

**3.2** The Client/s agree/s and acknowledge/s that he/she/it has understood the Risk Disclosures explained by the Stockbroker Firm and executed the Acknowledgement set out in Schedule 2 hereto and such Schedule 2 shall form part and parcel of this Agreement.

### **4.0 INDEMNITY AND LIMITATION OF LIABILITY**

**4.1** Each Party hereto, agrees to indemnify, defend and hold harmless the other Party against any loss, liability, damages, claims and costs, which each such Party may sustain by reason of

negligence and/or breach of the terms and conditions hereof committed by the other Party hereto or its representatives. The aggrieved Party shall be entitled to enforce its/his/her indemnity rights by injunction or other equitable relief in any competent court of law in Sri Lanka.

- 4.2 The Client/s agrees/s that the Stockbroker Firm will not be liable for any losses arising out of or relating to any cause which is beyond the control of the Stockbroker Firm.

## 5.0 **TERMINATION**

- 5.1 This Agreement shall forthwith terminate, if the Stockbroker Firm for any reason ceases to be a Member/Trading Member of the CSE or if the license issued to the Stockbroker Firm by the SEC is cancelled.
- 5.2 The Parties shall be entitled to terminate this Agreement upon giving notice in writing of not less than fourteen (14) calendar days to the other Party.
- 5.3 Notwithstanding any such termination, all rights, liabilities and obligations of the Parties arising out of or in respect of the transactions entered into prior to the termination of this Agreement shall continue to be in force.

## 6.0 **GENERAL**

- 6.1 Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules of the CSE, SEC and other applicable laws of Sri Lanka.
- 6.2 The terms and conditions contained in this Agreement shall be subject to the applicable Rules, Regulations, Guidelines and Directions issued by SEC, Rules and Circulars of the CSE and other applicable laws of Sri Lanka..

In the event of any contradiction between the terms and conditions hereof and the applicable Rules, Regulations, Guidelines and Directions issued by SEC, Rules and Circulars of the CSE or other applicable laws of Sri Lanka, the applicable Rules, Regulations, Guidelines and Directions issued by SEC, Rules and Circulars of the CSE or other applicable laws of Sri Lanka (as applicable) shall prevail.

**IN WITNESS WHEREOF** the Parties to the Agreement have set their respective hands hereto and to one (01) other of the same tenor and date as herein above mentioned.

**Signature of the Client(s)/Authorized Signatory of the Client(s)**

**Authorized Signatory of the Stockbroker Firm**

1. ....

.....

2. ....

**Witness:**

**Witness:**

.....

.....



**SCHEDULE 1**

**DECLARATION**

I, ....., an employee of SENFIN SECURITIES LIMITED ('Stockbroker Firm'), who is duly authorized by the Board of Directors of the Stockbroker Firm to make declarations on its behalf hereby confirm that the following risks involved in investing/trading in securities listed on the Colombo Stock Exchange ('Risk Disclosure Statements') were clearly explained by me to .....('the Client/s') and invited the Client/s to read the below mentioned Risk Disclosure Statements, ask questions and take independent advice if the Client/s wish/es to:

- a) The prices of securities fluctuate, sometimes drastically and the price of a security may depreciate in value and may even become valueless.
- b) It is possible that losses may be incurred rather than profits made as a result of transacting in securities.
- c) It is advisable to invest funds that are not required in the short term to reduce the risk of investing.

Signed on behalf of the Stockbroker Firm by .....

Signature :  
Name :  
Designation : Investment Advisor  
Date :  
NIC No. :

**SCHEDULE 2**

**ACKNOWLEDGEMENT**

I/We, (1) ..... bearing National Identity Card /  
Passport No.....of.....

(2) ..... bearing National Identity Card /  
Passport No.....of.....

agree and acknowledge that the following risks involved in investing/trading in securities listed on the Colombo Stock Exchange ('Risk Disclosure Statements') were explained to me/us by ....., an employee of SENFIN SECURITIES LIMITED ('Stockbroker Firm'), and I/we was/were invited to read the below mentioned Risk Disclosure Statements, ask questions and take independent advice if I/we wish to.

Additionally, I/we acknowledge that I/we understood the following Risk Disclosure Statements;

- a) The prices of securities fluctuate, sometimes drastically and the price of a security may depreciate in value and may even become valueless.
- b) It is possible that losses may be incurred rather than profits made as a result of transacting in securities.
- c) It is advisable to invest funds that are not required in the short term to reduce the risk of investing.

(1)..... (2)..... (3).....  
Signature/s of the Client/s

.....  
Date