## **Resident Individual**



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

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)



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OPERATING INSTRUCTION	NS FOR JOINT ACCOUNT:	LE/FIRST APPLICANT BOTH	PARTIES EITHER PARTY
PAYMENT TO BE MADE TO	D: SOLE/FIRST APPLICANT	☐ BOTH PARTIES ☐ EITHER PA	ARTY
MODE OF INSTRUCTIONS	: VERBAL/ WRITING		
BANK ACCOUNTS:			
BANK	BRANCH	ТҮРЕ	ACCOUNT NO
I/ We hereby declare, the information	given above is true and correct.		
		DAT GNATURE	E:
Commission of Sri Lanka to ope Securities Account with the Cent 2. I/We declare that all particulars a 3. I/We agree that all transactions other prevailing laws and regula Senfin Securities Limited (hereid 1. I/We confirm and declare that I/ time to time) governing the share 5. I/We hereby permit and authoriz Contract but also any or all of the me/us and maintained by the Broke and maintained by the Broke and savailable to the Broker under the any liability towards the Broker a 7. Before every purchase order, I/we regulations) of the value of the coby any applicable rules and regulations of the value of the coby any applicable rules and regulations and to hereby agree that the Broker shall the Broker does not have directlephone or network problems incur in connection with my/our under the time of opening of the time of time of the opening of time of the opening of the time of time of the opening of the ope	isfied myself/ourselves of the capacity erate as a stockbroker) to trade in securtral Depository System in my/our name. Ind information given in this registration for including brokerage and statutory levies ations of Sri Lanka (as may be amended nafter referred to as the Broker). We have read and clearly understood the stransactions, which I/we will be entering it he the Broker at their absolute discretion as the shares or securities in any company where as a result of my/our default in making we authority i.e the right to sell securities a prevailing laws rules and regulations of arising from or consequent upon any such we agree to deposit in cash/cheque, at least order or in the alternative have adequate sulations) of the value of the purchase order that I/we shall be liable to the Broker for our behalf (in its capacity as selling/buyin ree to indemnify the Broker against such I not be liable to me/us or have any responct/indirect control including but not limit, unauthorized access or (b) any special is of the services provided by the Broker for the services provided by the Broker if the Broker in writing if there is any concurred the services provided by the Broker if the services provided by the Broker if the services provided by the Broker if the Broker and the services of securities fluctuant the Broker to hold any sales proceed facsimile or telephone. Yes honer into a credit agreement with the E of Senfin Securities Limited who introduce transaction, based on a reward scheme interest which shall not exceed 0.1% perivally and irrevocably undertake to re-pay that all of the above including the aforesa that the opportunity to discuss and obtain attion.	ast equivalent to 50% (or any other amount securities in my/our account to cover at least.  The any and all loss sustained or incurred in a groker and/or in relation to dividends, right oss or damage arising therefore.  In its	and I/we hereby request you to open a and correct.  Ses of the Colombo Stock Exchange and authority hereinafter granted by me/us to ck Exchange (as may be amended from bide by the said conditions.  Inly the stocks pertaining to the Defaulted y/our securities account to be opened by d compensate for any loss or damages or before the settlement date.  In to other rights, powers and remedies all in no way affect or exempt me/us from as specified by any applicable rules and at 50% (or any other amount as specified relation to any direct/indirect transaction hits, bonuses and other benefits attached ag out of or relating to a cause over which cal equipment or communication lines, we or exemplary damages that we may istration Form provided by me/us to the discretionary basis only upon obtaining exchange and other prevailing laws and outs. In the event of this Declaration being a security may move up or down, and ring and selling securities.  Suture share purchases, until I make a sit. Yes No network the late up to the date of final settlement. Interest due or owing to the Broker.  Seed to me/us by the investment advisor, has been duly read over and understood.
Applicant	Name :	Signature:	
Joint Applicant	Name :	Signature:	
Witness:	Name:	Signature:	
Date:	Name:	Signature:	
there is any material change to the I hereby confirm that I have brough	ring services to the applicant, including be information of the Broker set out in the C t the content of the Risk Disclosure State	DUTY DUYING AND A SECURITIES. The Broker Client Registration Form at the time of opening the to the notice of the applicant and main inancially stable to maintain a CDS Account.	ing of the account or at any time. de him aware of the significance of
Investment Advisor Nan	ne: Si	gnature:	
Approved by: Nan	ne: Si	gnature:	

# KNOW YOUR CUSTOMER (KYC) PROFILE (To be retained by the Participant)

(10 be retained by the Participant)			
1. ඉදිරිපත් කරන ලේඛන. (🗸 යොදා සලකුණු කරන්න.)			
வழங்கப்பட்ட ஆவணங்கள் என அடையாளமிடவும்)			
Documents Provided (Please mark placing a V)	T		1
මබගේ පාරිභෝගිකයා හදුනා ගැනීම සදහා. / உங்கள் வாடிக்கையாளரின் விபரங்களுக்காக / For KYC	Main Holder	1 <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
ජාතික තැදුනුම්පත / தேசிய அடையாள அட்டை / National Identity Card			
ගුවන් බලපතුය / கடவுச்சீட்டு / Passport			
රියදුරු බලපතුය (ජාතික හැදුනුම්පත/ගුවන් බලපතුය දෙකම නොමැති බවට තහවුරු කරමින් දිවුරුම් පුකාශයක් අවශා වේ.)			
சாரதி அனுமதிப்பத்திரம் (தே.அ.அ/கடவுச்சீட்டு இல்லாததை உறுதி செய்வதற்கு சத்தியக் கூற்று இணைக்கப்பட வேண்டும்)			
Driving License (An Affidavit is required confirming the fact that both NIC/ Passport are not available.)			
පදිංචිය සතාථ කිරීම සදහා / வதிவிடத்தை நிருபிப்பதற்காக / For Proof of Residency			
ජාතික හැදුනුම්පත / தேசிய அடையாள அட்டை / National Identity Card			
ൈ / කුට්ට් කාඩ්පත් පුකාශය / வங்கி/கடன் அட்டை கூற்று / Bank/ Credit card Statement			
දුරකථන බ්ල්පත / தொலைபேசிப் பட்டியல் / Telephone Bill			
විදුලි/ජල බිල්පන /			
ලියාපදිංවි බදු ගිවිසුම / பதிவு செய்யப்பட்ட குத்தகை உடன்படிக்கை / Registered Lease Agreement			
ළාදේශිය ලේකම් විසින් අනුඅත්සන් තබන ලද ගුාම සේවා සහතිකය / பிரதேச செயலாளரினால்			
அத்தாட்சிப்படுத்தப்பட்ட கிராம சேவையாளர் சான்றிதழ் / Gramasevaka Certificate certified by the Divisional Secretary			
වතු සේවකයෙකු සම්බන්ධයෙන් වන විට, සනාථ කිරීම පිණිස ඉහත ලේඛන නොමැති නම්, අදාල වතුයායේ	+		
වතු අධිකාරි විසින් නිකුත් කරන ලද ලිපිය / நிருபிப்புக்காக ஏனைய ஆவணங்கள் இல்லாத தோட்ட			
வேலையாட்கள் தோட்ட மேற்பார்வையாளரால் வழங்கப்பட்ட கடிதம் / Letter issued by superintendent of a			
plantation estate in respect of estate workers who have no other documentary proof.			
වෙනත් ලේඛන (කරුණාකර සදහන් කරන්න.) / ஏதேனும் ஏனைய ஆவணம் (தயவு செய்து குறிப்பிடவும்) /			
Any Other Document (Please Specify)			
මෙම ලේඛන, සී.ඩී.එස්. ගිණුම විවෘත කිරීමේ පෝරමය ඉදිරිපත් කිරීමේ දින සිට මාස තුනක් (3) ඇ இந்த ஆவணங்கள் CDS கணக்கு ஆரம்பித்தல் படிவத்தை சமர்ப்பிக்கின்ற திகதியிலிருந்து (3) ம பெறப்பட்டதாக இருக்க வேண்டும். These documents should be within (3) months as of the date of submission of the CDS Account o	மாதங்களு	க்குள்	<b>19</b> 00.
2. <b>පදිංචි ලිපිනයේ (පරිශුයේ) ස්වභාවය</b> : (√ යොදා සලකුණු කරන්න.) <b>வதிவிட முகவரியின் தன்மை: (வளவு)</b> (√ என அடையாளமிடவும்)	Main	1st Joint	2 <sup>nd</sup> Joint
Status of Residency Address: (Premises) (Please mark placing a $\sqrt{\ }$ )	Holder	Holder	Holder
ඉමන්ටම අයිති / உரிமையாளர் / Owner			
මාපියන් සගෙ / பெற்றோருடன் / With parents			
බදු/කුලි පදනම තෙ / குத்தகை/வாடகை / Lease / Rent			
හිතමිතුරන්ට / ඥාතින්ට අයිති / நண்பர்களின்/உறவினர்களின் / Friend's / Relative's			
නේවාසිකව /නවාතැන් හලක / உறைவிடம்/தங்குமிடம் / Board / Lodging			
නිල රාජකාරි පදනම මත / உத்தியோகபூர்வமானது /Official			
වෙනත් ස්ථානයක (කරුණාකර සදහන් කරන්න.) / ஏனைய இடங்கள் (தயவு செய்து குறிப்பிடவும்) / Other places (Please specify):			

3. ද්විත්ව පුරවැසිභාවය පිලිබද විස්තර. (√ යොදා සලකුණු இரட்டை-குடியுரிமை விபரங்கள் (√ என அடையாளமி Dual-citizenship Details (Please mark placing a √)	_ டவும்)		Main Holder	1 <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
රට / நாடு / Country 1: ගමන් බලපතු අංකය / கடவுச்சீட்டு இல / Passport No.:					
රට / நாடு / Country 2: ගමන් බලපතු අංකය / கடவுச்சீட்டு இல / Passport No.:					
රට / நாடு / Country 3: ගමන් බලපතු අංකය / සடவுச்சீட்டு இல / Passport No.:					
4. ඔබ, ඇථ.ජ.යේ විදේශ ගිණුම් බදු අනුකූලතා පනත යටතේ ඇ. (√ යොදා සලකුණු කරන්න.) நீங்கள் ஒரு அமெரிக்க வெளிநாட்டு கணக்கு வ (FATCA)உட்படுகின்ற அமெரிக்க பிரஜையா? (✓ என அடையாள Are you a US person under the Foreign Account Tax Compli (Please mark placing a √)	<b>பரி இணக்கச் ச</b> மிடவும்)	ட்டத்துக்கு	Main Holder	I <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
®ව්. (පිළිතුර ඔව් නම්. අයදුම් පතුය සමග එකි පනතේ අදාල පකාශය අ ஆம் (ஆமெனின், விண்ணப்பபடிவத்துடன் FATCA பிரகடனத்தை சமர் Yes (If yes, FATCA declaration has to be submitted along with application	ரப்பிக்க வேண்டும்)				
නැත (මෙ/අපි ඇ.එ.ජයේ විදේශ ගිණුම් බදු අනුකුලතා පනත යට පත්වෙන්නේ නම්, එම කාරණය සහභාගිවන්නාට වහාම දැනුම් දීමං இல்லை (அமெரிக்க சட்டத்தின் கீழ் ஓர் அமெரிக்கப் பிரஜையாக ம உடனடியாக சொல்லப்பட்ட தகவல்களை பங்குபற்றுபவருக்கு கொள்கின்றேன்/கொள்கின்றோம்) No (In the event if I/We become a US person under FATCA of US, I/ We said fact to the Participant immediately)	<i>ා මේ/අපි පොරොන්දු</i> எறுகின்ற சந்தர்ப்பத்தில் அறிவிப்பதற்கு பொ	<i>වෙමි./වෙමු.)</i> நான்/நாம் றுப்பேற்றுக்			
F defend (		Ī			
5. <b>්ක්ෂාව</b> (√ 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			]		
ස්වයං රැකියා නියුක්ත / சுய தொழில் செய்பவர் /Self Employed					
වෘත්තිය/වෳාපාරයේ ස්වභාවය / வாழ்க்கைத்தொழில்/வியாபாரத்தின்					
தன்மை / Occupation / Nature of Business					
වාහපාරයේ/සංවිධානයේ නම / வியாபாரத்தின் பெயர்/நிறுவனம் /					
Name of the Business / Organization					
කාථ්යාලයීය ලිපිනය / அலுவலக முகவரி / Office Address					
දුරකථන අංකය / தொலைபேசி / Telephone					
ෆැක්ස් අංකය / தொலைநகல் / Fax					
විදුපුත් තැපෑල / மின்னஞ்சல் / E-mail					

$oldsymbol{6}$ . වර්ෂයකට අපෙක්ෂිත ආයෝජන වටිනාකම ( $$ යොදා සලකුණු කරන්න.)			
வருடத்து எதிர்பார்க்கப்படுகின்ற முதலீட்டின் பெறுமதி (√ என அடையாளமிடவும்)	Main Holder	1 <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
<b>Expected Value of Investment per annum</b> (Please mark placing a $\sqrt{\ }$ )			
රුපි. 100,000 ට අඩු / 100,000 ரூபாய்க்கு குறைவான தொகை / Less than Rs. 100,000 /			
රුපී. 100,000 සිට රුපී. 500,000 දක්වා / 100,000 – 500,000 ரුபாய் / Rs 100,000 to Rs 500,000			
රුපි. 500.000 සිට රුපි. 1.000.000 දක්වා / 500,000 − 1,000,000 ரூபாய் / Rs 500,000 to Rs 1,000,000			
රුපි. 1.000,000 සිට රුපි. 2.000,000 දක්වා /1,000,000 — 2,000,000 ரூபாய் / Rs 1,000,000 to Rs 2,000,000			
රුපි. 2.000.000 සිට රුපි. 3.000.000 දක්වා / 2,000,000 — 3,000,000 ரூபாய் / Rs 2,000,000 to Rs 3,000,000			
රුපි. 3,000,000 සිට රුපි. 4,000,000 දක්වා / 3,000,000 — 4,000,000 ரூபாய் / Rs 3,000,000 to Rs 4,000,000			
රුපි. 4.000.000 සිට රුපි. 5.000.000 දක්වා / 4,000,000 — 5,000,000 ரூபாய் / Rs 4,000,000 to Rs 5,000,000			
රුපි. 5.000.000 සිට රුපි. 10.000.000 දක්වා / 5,000,000 — 10,000,000 ரුபாய் / Rs 5,000,000 to Rs 10,000,000			
ರැපි. 10,000,000 ⊃ වැඩි / 10,000,000 ரூபாய்க்கு மேல் / Over Rs 10,000,000			
7. අරමුදල් මූලාශු (√ යොදා සලකුණු කරන්න.) நீதியீட்டங்களுக்கான மூலம் (√ என அடையாளமிடவும்)	Main Holder	1 <sup>st</sup> Joint Holder	2 <sup>nd</sup> Joint Holder
Source of funds (Please mark placing a $$ )			
වැවූප/ලාහ ආදායම් / சம்பளம்/இலாப வருமானம் / Salary / Profit Income			
ආයෝජන ලත් මුදල්/ඉතිරි කිරිම්/ மුதலீட்டுப் பெறுகைகள்/ சேமிப்புக்கள்/ Investment Proceeds / Savings			
විකුණූම් සහ වතපාරික පිරිවැටුම / விற்பனைகள் வியாபாரப் புரள்வு / Sales and Business Turnover			
කොන්තුාත් ලත් මුදල් / ஒப்பந்தப் பெறுகைகள் / Contract Proceeds			
දේපළ/වත්කම් විකිණීම / ஆதனங்கள்/ சொத்துக்கள் விற்பனை / Sales of Property/Assets			
றஃ / அன்பளிப்புக்கள் / Gifts			
පරිතෳාග/ පුණෳ භාර (දේශීය/විදේශීය) / நன்கொடைகள்/அறக்கட்டளைகள் (உள்நாட்டு/வெளிநாட்டு) / Donations / Charities (Local / Foreign)			
කොමිස් ආදායම් / தரகு வருமானம் / Commission Income			
පවුල් පේපණ / குடும்ப பண அனுப்பீடுகள் / Family Remittance			
අපනයන ලත් මුදල් / ஏற்றுமதி மூலம் பெறுகைகள் / Export proceeds			
සාමාජිකත්ව දායකමුදල් / அங்கத்துவப் பங்களிப்புக்கள் / Membership contribution			
වෙනත් (කරුණාකාර සදහන් කරන්න.) / ஏனையவை (தயவு செய்து குறிப்பிடவும்) / Others (Specify)			
8.වෙතත් ආශිත වනපාර/වෘත්තීමය කටයුතු / ஏதேனும் ஏனைய தொடர்புடைய வியாபாரங்கள்/ Any other connected Businesses/ Professional activities	தொழில்சா	ர் செயற்பா	ரடுகள் /
Any other connected Dusinesses: I IVICSSIVIIII delivities			

9.දේශපාලනයට සම්බන්ධ තැනැත්තන් ( $\sqrt$ 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
මමලා <b>දේශිය</b> වශයෙන් පුමුබ පෙළේ මහජන කටයුත්තක් පවරා තිබෙන හෝ පවරා ඇති තැනැත්තන් වන්නේ ද? නිදසුනක් වශයෙන් රජයේ හෝ ආණ්ඩුවේ නායකයන්. ජේශප්ඨ දේශපාලඥයන්. රාජා අධිකරණ. හෝ යුද සේවයේ ජේශප්ඨ නිලධරයන්. රජයට අයිති සංස්ථාවල ජේශප්ඨ විධායක නිලධරයන්. වැදගත් දේශපාලන පක්පයක නිලධරයන් ද යන වග - පිළිතුර 'මව' නම. කරුණාකර පැහැදිලි කරන්න நீங்கள் முக்கியத்துவம் வாய்ந்த பொதுத் தொழிற்பாடுகளோடு உள்நாட்டுரீதியாக பொறுப்பளிக்கப்பட்ட தனிப்பட்டவர்களா? உதாரணமாக நாட்டின் அல்லது அரசின் தலைவர்கள், சிரேஷ்ட அரசி நீதித்துறை அல்லது இராணுவ அதிகாரிகள், அரச கூட்டுத்தாபளங்களின் சிரேஷ்ட நிறைவேற்றுனர்கள், முக்கிய அரசியல் கட்சி அதிகாரிகள் ஆமெனின் விபரங்களைக் குறிப்பிடவும் Are you individuals who are or have been entrusted domestically 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.			
ඔබලා විදේශීය රටකින් පුමුබ පෙළේ මහජන කටයුන්තක් පවරා තිබෙන හෝ පවරා ඇති තැනැත්තන් වන්නේ ද? නිදසුනක් වශයෙන් රජයේ හෝ ආණ්ඩුවේ නායකයන් ජේශප්ඨ දේශපාලඥයන් රාජ්‍ය අධිකරණ, හෝ යුද සේවයේ ජේශප්ඨ නිලධරයන් රජයට අධිති සංස්ථාවල ජේශප්ඨ විධායක නිලධරයන් වැදගත් දේශපාලන පක්පයක නිලධරයන් ද යන වග - පිළිතුර ඔව් නම් කරුණාකර පැහැදිලි කරන්න நீங்கள் முக்கியத்துவம் வாய்ந்த பொதுத் தொழிற்பாடுகளோடு வெளிநாடொன்றினால் பொறுப்பளிக்கப்பட்ட தனிப்பட்டவர்களா ? உதாரணமாக நாட்டின் அல்லது அரசின் தலைவர்கள், சிரேஷ்ட அரசியல்வாதிகள், சிரேஷ்ட அரச, நீதித்துறை அல்லது இராணுவ அதிகாரிகள், அரச கூட்டுத்தாபனங்களின் சிரேஷ்ட நிறைவேற்றுனர்கள், முக்கிய அரசியல் கட்சி அதிகாரிகள் ஆமெனின் உறவுமுறையைக் குறிப்பிடவும Are you individuals who are or have been entrusted with prominent public functions by a foreign country? 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			
මබලා සෘජුවම (පෙළපතින් හෝ) හෝ විවාහයෙන් හෝ ඊට සමාන (සිවිල්) හවුල්කාරත්වයකින් හෝ දේශපාලනයට මැදිහත් නැනැත්තකු සමහ සම්බන්ධ වන තැනැත්තන් වන්නේ ද? පිළිතුර "මව්" නම්, කරුණාකර පැහැදිලි කරන්න நீங்கள் நேரடியாக (இரத்த உறவு) அல்லது திருமணத்தினூடாக அல்லது அதேபோன்ற (குடியியல்) பங்குடமை வடிவங்களில் அரசியல் ரீதியாக தொடர்புடையவற்களுடன் நெருங்கிய உறவைக் கொண்டுள்ள தனிப்பட்டவர்களா? ஆமெனின் உறவு முறையைக் குறிப்பிடவும. Are you individuals who are <u>related to a PEP</u> either directly (consanguinity) or through marriage or similar (civil) forms of partnership? If "Yes" please explain the relationship			
ඔබලා සමාජමය වශයෙන් හෝ වෘත්තීමය වශයෙන් දේශපාලනයට මැදිහත් තැතැත්තකු සමහ සම්ප සම්බන්ධතාවයක් දක්වන වන තැනැත්තන් වන්නේ ද? පිළිතුර "ඔව්" නම්, කරුණාකර පැහැදිලි කරන්න நீங்கள் சமூக ரீதியாக அல்லது தொழிற்துறை ரீதியாக அரசியல் ரீதியாக தொடர்புடைய நபர்களுடன் நெருங்கிய உறவைக் கொண்டுள்ள தனிப்பட்டவர்களா? ஆமெனின் உறவு முறையைக் குறிப்பிடவும Are you individuals who are closely <u>connected to a PEP, either socially or professionally</u> ? If "Yes" please explain the relationship			
10.අවදානම වර්ගීකරණය/இடர்		2 <sup>nd</sup> Joint Hol	der
(கூ) பாவனைக்கு மாத்திரம்/  Office use only)		М	Н 🗀
11. සුරැකුම්පත් ගිණුම සම්බන්ධයෙන් # <u>සහභාගිකරු</u> ට උපදෙස් දීම සඳහා බලය ලත් පුද්ගලයා/පුද්ගලයින් පුද්ගලයෙකු/පුද්ගලයින් ගිණුම සම්බන්ධයෙන් උපදෙස් ලබා දෙන්නේ නම් නෛතික බලය පැවරීමේ පතිකාව / பங்குபற்றுநருக்கு அறிவுறுத்தல்கள் வழங்குவதற்கு அங்கீகரிக்கப்பட்ட நபரின்/நபர்களின் பெயர்/பெயர்கள் (ஏற்ப தத்துவப்பத்திரம்/பதிலிப்பத்திரம் இணைக்கவும்)/ Name of the person(s) authorized to give instructions to t a duly certified copy of Power of Attorney – if applicable):  # සහභාගිකරු යනු <i>ඔබේ කොටස් කැරඩකරු හෝ භාරකරු බැංකුව</i> වේ. / பங்குபற்றுநர் என்பவர் உங்களது பங்குத்தரகர் அல்லது கா your Stockbroker or Custodian Bank.  12. 2. 2. 2. 2. 2. 2. 2. 2. 2. 2. 2. 2. 2	අで <b>ಿ</b> りあ அடையதாக he # <u>Partic</u> ப்பக வங்கி./	இடுற்தால் சஇ இருந்தால் ச ipant (Pleas Participant m	മ്മമ്മ). / പ്പ്പേത്തി e Attach

## Form 1

සුරැකුම්පත් ගිණුමක් ආරම්භ කිරීමේ අයදුම්පත (තනි පුද්ගලයින් සඳහා) பிணையங்கள் கணக்கு ஆரம்பிப்பதற்கான விண்ணப்பம் (தனியாட்கள்) Application for Opening of Securities Account (For Individuals)

Authorized Signature & stamp of participant

කාර්යා( அலுவ வாடிக்	லகப் ப கையா	ாவை ாரின்	னக்கு	மாத்தி	ிரம்	ത∟																partici	pant	]
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(I) මාගේ / අපගේ\* නමින්/නම්වලින් සුරැකුම්පත් ගිණුමක් විවෘත කරන ලෙස හා පවත්වාගෙන යන ලෙස ද වරින් වර මාගේ/අපගේ\* සුරැකුම්පත් ගිණුමට තැන්පත් කරනු ඇති කොළඹ වාාපාර වස්තු හුවමාරුවෙහි ලැයිස්තුගත කර ඇති සුරැකුම්පත් වලට අදාලව මාගේ / අපගේ\* තැන්පත්කරු ලෙස කටයුතු කරන ලෙසද මම/අපි\* ඔබෙන් ඉල්ලා සිටීම්/සිටීමු\*.

எனது/எமது பெயர்/பெயர்களில் பிணைப்பொறுப்புக்கள் கணக்கொன்றை ஆரம்பித்து பராமரிப்பதற்கும் மற்றும் காலத்துக்குக் காலம் எனது/ எமது பிணைப்பொறுப்புக்கள் கணக்கில் வைப்பிலிடப்படக்கூடிய கொழும்புப் பங்குப் பரிவர்த்தனையில் பட்டியலிடப்படக் கூடிய பிணைப்பொறுப்புக்கள் தொடர்பில் எனது/எமது வைப்பீட்டாளராக 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 සුරැකුම්පත් ගිණුම මෙහෙයවන බවට මම/අපි\* එකහ වන්නෙම්/මු\*.

பிணைப்பொறுப்புக்கள் கணக்கானது மத்திய வைப்பக முறைமை சட்டவிதிகள், ஏற்புடைய வழிகாட்டல்கள் மற்றும் படிமுறைகள் மற்றும் மத்திய வைப்பக முறைமையினால் காலத்துக்குக் காலம் அவற்றுக்கு மேற்கொள்ளக் கூடிய எவையேனும் திருத்தங்கள் என்பவற்றுக்கு ஏற்ப செயற்படுத்தப்படும் 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) සුරැකුම්පත් ගිණුමට තැන්පත් කිරීම සඳහා චරින් වර ඔබට බාර දෙනු ඇති සුරැකුම්පත් බාර ගැනීම පුතිගුහනය කිරීමට මම/අපි\* මෙයින් ඔබට බලය පවරා දෙන්නෙම්/දෙන්නෙමු\*. එම සුරැකුම්පත් වලට මට/අපට\* නීතාානුකූල අයිතියක් ඇති බවත් එම තැන්පතුව කරන # සහභාගිකරුට එසේ තැන්පත් කිරීමට නීතාානුකූල අයිතියක් තිබෙන බව හා ඔහුට ඊට නිසි පරිදි බලය පවරා තිබෙන බවත් මම/අපි\* මෙයින් සහතික කොට පුකාශ කර සිටීම්/ සිටීමු\*.

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 தகவுடையவர் 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 සුරැකුම්පත් ගිණුමට කවර හෝ සුරැකුම්පතක් තැන්පත් කිරීමට, තැන්පත් කරන ලද සුරැකුම්පත් ආපසු ලබා ගැනීමට සහ සුරැකුම්පත් සහතික පනු අනිකුත් ලේඛන මා/අපි\* වෙනුවෙන් ඔබෙන් ලබා ගැනීම පුතිගුහනය කිරීමට මාගේ /අපගේ\* # සහභාගීකරුට පූර්ණ අධිකාරිය තිබෙන බව මම/අපි\* මෙයින් ස්ථිර කරම්/මු\*.

பிணைப்பொறுப்புக்கள் கணக்கில் ஏதேனும் பிணைப்பொறுப்பை வைப்பிலிடுவதற்கும், எனது/எமது சார்பில் ஏதேனும் வைப்பிலிடப்பட்ட பிணைப்பொறுப்புக்களை மீளப்பெற்றுக் 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 පනුයේ 15 වන අයිතමය යටතේ විදවුන් කැපැල් ලිපිනයක් සපයා ඇති විට එම සපයා ඇති විදවුන් කැපැල් ලිපිනයට මගේ/ අපගේ\* CDS ගිණුමට අදාල ගිණුම් පුකාශය යවනු ලබන බව මම/අපි\* පිළිගනිම්/පිළිගනිමු. මගේ/අපගේ\* විදවුන් කැපැල් ලිපිනයේ යම වෙනසක් හෝ මෙම සේවය නතුර කිරීම සඳහා ලිබිනව කරන යම ඉල්ලීමක් මගේ/අපගේ\* #සහභාගිකරු මගින් නොපමාව දැනුම් දීමට මෙයින් පොරොන්දු වන්නෙම්/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\* # සහභාගීකරුට දින 14 ක් ඇතුළත ලිඛිතව දැනුම් දීමට එකහ වන්නෙම්/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.

<sup>\*</sup> අදාල නොවන ඒවා කපා හරින්න. / **பொறுத்தமற்றவற்றை நீக்கிவீடவும.** / Delete Accordingly # සහභාගිකරු යනු *ඔබේ කොටස් නැරෑවකරු මහ් භාරකරු බැංකුව* වේ. / பங்குபந்றுநர் என்பவர் உங்களது பங்குத்தரகர் அல்லது காப்பக வங்கி/ Participant means, your Stockbroker or Custodian Bank.

Authorized Signature & stamp of participant

#### துவை கேடில் ආකෘතිය பிரகடனப்படுத்தல் படிவம் DECLARATION FORM

	වන මම 	
	of	
(සම්පූර්ණ නම) (முழுப்பெயர்) <i>(Full name)</i>	රන ලිපිනයේ සිට	<b>(</b> ලිපිනය) (விலாசம்) <i>(addr</i> ess)
	றைம் முகவரியைச் சே	சேர்ந்த
	වත මම	
(සම්පූර්ණ නම) ((ழகவரி)) <i>(Full name)</i>	— of -	(ලිපිනය) (பெயர்) <i>(address)</i>
ę	රන ලිපිනයේ සිට	, , , , , , , , , , , , , , , , , , , ,
តស់ត្ន	றும் முகவரியைச் சே	சேர்ந்த
	වන මම — of	
(සම්පූර්ණ නම) ((ழகவரி)) <i>(Full name)</i>	— 0i	
	රන ලිපිනයේ සිට	(8) (8)
តស់ <u>ត</u>	றும் முகவரியைச் சே	சேர்ந்த

යෙන්ටුල් ඩිපොසිටරි සිස්ටම්ස් (පුයිවට්) ලිම්ටඩ් සමාගම (සීඩීඑස් සමාගම) සැලකිල්ලට ගෙන, සුරැකුම්පත් ගිණුකේ විවෘත කිරීමට එකග වෙමින් මෙසේ පුකාශ කර සිටීම/සිටීම්.

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:

 (i) මා/අප විසින් සිඩ්එස් සමාගමේ විවෘත කිරීමට නියමිත සුරාකුම්පත් ගීණුම මාගේ/අපගේ ප්‍රතිලාභය සදහා පමණක් ප්‍වත්වාගෙන 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

(අර්ථලාහින්ගේ සංඛාව තැනැත්තන් තිදෙනෙකු ඉක්ම නොවන විටක දී. කරුණාකර පහත 1(ii) වගන්තිය සම්පුර්ණ කරන්න.) அல்லது

(நலன் பெறுனர்கள் மூன்று ஆட்களுக்கு மேற்படாத சந்தர்ப்பத்தில் கீழே 1(ii) நிரல்களைப் 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 සීඩීඑස් සමාගම තුළ විවෘත කිරීමට නිසමිත සූජ.කුම්පත් ගිණුම මාගේ/අපගේ පැවරුම්ලද්දාගේ/භාරකාරයාගේ/ කලණොකාරවරයාගේ තත්ත්වයෙන් මෙහි පහත සදහන් තැනැත්තනගේ පුතිලාහය සදහා 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.

ற⊚ / பெயர் / <b>Name</b>	ලිපිනය / முகவரி / Address	පුරවැසිතාවය / தேசிய இனம் / Nationality
1.		
0		
2.		
3		
3		

**ങോ** / அல்லது / Or;

(අර්ථලාභීන්ගේ සංඛෲව තැනැත්තන් තිදෙනෙකු ඉක්ම වන විටක දී. පහත 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) මේ/අපි. මාගේ/අපගේ විශ්වාසියාගේ/හාරකාරයාගේ/කලමණාකාරවරයාගේ තත්වයෙන් ගිණුමේ අවසානාත්මක අර්ථලාගින් සම්බන්ධයෙන් නම්, ලිපිනයන් සහ ප්‍රවුැසිභාවය පිළිබඳව සියළුම තොරතුරු පවත්වාගෙන යා යුතු වන අතර, අර්ථලාගින් සම්බන්ධ එවැනි තොරතුරු සි.ඩී.එස්.සමාගම සහ සහභාගිවන්නා විසින් නියම කරනු ලැබුවහොත්, ඕනෑම විටක දී සි.ඩී.එස්. සමාගම සහ #සහභාගිවන්නා වෙත වහාම මුදා හැරීමට පොරොන්දු විය යුතු වෙමි/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 பங்குபற்றுபவர் வேண்டிக்கொண்டால், எந்த சந்தர்ப்பத்திலும் நலன் பெறுனர்கள் தொடர்பான அத்தகைய தகவல்களை மத்திய வைப்பக முறைமைக்கும் மற்றும் பங்குபற்றுனருக்கும் 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. අයදුම පතුය සහ ඊට අමුණා ඇති ලේඛනවල සතා සහ නිවැරදි තොරතුරු අඩංගු වන අතර, සැබෑ තොරතුරු වසන් කිරීමට හෝ වරදවා දැක්වීමට එකි තොරතුරු යම් වෙනස් කිරීමක්, සුළු වෙනස් කිරීමක් හෝ සදොස්ව 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.සී.ඩී.එස්. ගිණුකේ විවෘත කිරීම පිණිස මෛ සීඩී.එස්. 1 වන ආකෘතියේ දී සහ මෛ පුකාශනයේ දී ලබා දී ඇති යම් කවර ම තොරතුරු සහ අයදුම් පතුය සමග මා/අප විසින් ඉදිරිපත් කරන ලද වෙතත් තොරතුරුවල යම් වෙනසක් සිදු වුවහොත්, එම වෙනස දින දහහතරක් (14) ඇතුළත සී.ඩී.එස්සමාගමට සහ # සහභාගිවන්නාට දැනුම් දීමට මෙ/අපි පොරොන්දු වෙම/වෙමු.

மத்திய வைப்பக ்முறை படிவம் 1 இல், இந்தப்பிரக்டனத்தில் 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.සීඩ්එස් සමාගමෙ විවෘත කිරීමට නියමිත සුරැකුම්පත් ගිණුම හරහා සුරැකුම්පත් මිලිදී ගැනීම පිණිස ආයෝජනය කළ යුතු අරමුදල් වනාහි යම් කවරම මුදල් විශුද්ධිකරණයකින් ජනනය වූ අරමුදල් හෝ තුස්තවාදී හෝ යම් වෙනත් නිති විරෝධී ආකාරයෙන් මුලා සමපාදනය හරහා උත්පාදනය කරගනු ලැබූ අරමුදල් නොවිය යුතුය.

மத்திய வைப்பக முறைமையில் திறக்கப்படவுள்ள பிணைப்பொறுப்புக்கள் கணக்கினூடாக 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

5.මා/අප. මෙහි පහත සදහන් වරදවල් සම්බන්ධයෙන් ශුී ලංකාව තුළ දී හෝ වෙනත් රටක දී යම් කවර ම වූ අපරාධ/සිවිල් විනිශ්වයාධිකාරයකින් හෝ පරිපාලනයෙ බලධරයකු විසින් තහනවෙ ලක්කිරීම සහ/හෝ පුනික්පේප 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 இடைநிறுத்தட்டிருக்கவில்லை;

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 අරන මුළා ගණුදෙනු වාර්තා කිරීමේ පනත ගේන් අර්ථ නිරූපණය කර ඇති පරිදි, යම් කවර ම වූ නීති විරෝධී කියාවකින් හෝ යම් කවර ම වූ නීති විරෝධී කියාවකින් ලත් මුදල්වලින් සෘජුවම හෝ වකුවම ජනනය කරගන්නා හෝ උපලබ්ධී කරගන්නා යම් කවර ම වූ දේපළක් සම්බන්ධයෙන් වන යම් කවර ම වූ ගණුදෙනුවක සෘජුවම හෝ වකුව 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 සදහන් කළ පරිදි යම් කවරම වූ තීති විරෝධී කිුයාවකින් හෝ යම් කවරම වූ නීතිවිරෝධී කිුයාවකින් ලත් මුදල්වලින් සෘජුවම හෝ වකුවම ජනනය කරගන්නා හෝ උපළබධි කරගන්නා යම් දේපළක් ලබාගැනීම, සන්තකයේ තබාගැනීම, සැගවීම, බැහැර කිරීම, ශුී ලංකාව තුළට ගෙන ඒම සහ වෙනත් රටකට ගෙන යාම හෝ ශූී 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 அதனை இலங்கைக்குள் அல்லது ஏதேனும் நாட்டுக்குள் கொண்டு வருதல் அல்லது இலங்கையில் அல்லது ஏதேனும் வேறு நாட்டில் முதலிடுவதற்காக 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 දරණ මුදල් විශුද්ධිකරණය වැළැක්වීමේ පනත යටතේ සහ එකී පනතට සිදු කරන යම් සංශෝධනයක් හෝ ලෝකයේ වෙනත් යම් කවරම වු රටක වෘවස්ථාවක 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 සදහන් කළ වරද සම්බන්ධයෙන් ශුී ලංකාව තුළ හෝ යම් වෙනත් රටක දී අපරාධ වරදකට වරදකරු කර ඇති බවට වාර්තාවක් නොලෙහි යහපත් තැනැත්තන් වන බවට මෙ/අපි මෙයින් තවදුරටත් පුකාශ කර සිටීම්/සිටීමු.

நான்/நாம், மேலே குறிப்பிடப்பட்டவாறு தவறுகள் தொடர்பில் இலங்கையில் அல்லது ஏதேனும் வேறு நாட்டில் குற்றவியல் தீர்ப்பளிக்கப்படாத சிறந்த நடத்தையுடைய 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 සදහන් නඩු කටයුතු හැර (විහාග වෙමින් පවතින යම් කවරම වූ නඩු කටයුතු පිළිබඳ විස්තර සදහන් කරන්න.) ශුී ලංකාව තුළ හෝ ලෝකයේ වෙනත් යම් කවරම වූ රටක දී මා/අප වරදකරු කර දඩුවම් පැනවීම හෝ මට/අපට එරෙහිව සහ/හෝ මට/අපට සම්බන්ධිත යම් කවර ම වූ තැනැත්තකුට/තැනැත්තත්ට සහ/හෝ මට/අපට සම්බන්ධිත යම් කවරම වූ අස්ථිත්වයකට (හවුල්කරුවකට, කොටස්හිමියෙකටු, අධෘක්පකවරයෙකුට) එරෙහිව විහාග 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);

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8. සී.ඩී.එස්. සමාගමේ ගිණුකේ විවෘත කිරීමට ඉදිරිපත් කරන ලද මාගේ/අපගේ අයදුම්පත සහ වෙනත් අදාල ලිපිලේඛන පුතික්පේප වී නොමැති බවට හෝ සී.ඩී.එස්. සමාගමේ යම් වෙනත # සහභාගිවත්නකු විසින් යම් කවර ම වූ වනාපාරික සම්බන්ධතාවයක් මීට පෙර පුතික්පේප කර නොමැති බවත්. මේ/අපි මෛන් තවදුරටත් පුකාශ කර සිටීම්/සිටීමු.

நான் /நாம், மத்திய வைப்பக முறைமையின் எவரேனும் ஏனைய பங்குபற்றுபவரால் மத்திய வைப்பக முறைமை கணக்கொன்றை ஆரம்பிப்பதற்கான எனது/எமது விண்ணப்பம் நிராகரிக்கப்படவில்லை அல்லது ஏதேனும் வியாபார 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.

Authorized Signature & stamp of participant

9. මා/අප විසින් මෙහි ඉදිරිපත් කර ඇති යම් කවර ම වූ පුකාශ (පුසිද්ධියේ ලබාගැනීමට තිබෙන තොරතුරු හරහා යම් කාරණයක් හෝ අනහකාරයෙන් වන) පටහැති වන බවට සහ එය. සීඩීඑස්. සමාගමේ ගිණුම් හිමියන්ගේ හෝ එවැනි ගිණුම් හිමියන්ට අදාල පාර්ශ්වයන්ගේ ගණුදෙනු සම්බන්ධයෙන් ශුී ලංකාවේ තීතිවලට/රෙගුලාසිවලට අනුකුලව කියා කරන ආයතනයක් වශයෙන් එකි සීඩීඑස්. සමාගමට හානි වන බවට එකි කොළඹ වහාපාර වස්තු හුවමාරුවේ /සීඩීඑස්. සමාගමේ තෙය වන්නේ නම්. මට/අපට සම්බන්ධ සියඑම තැන්පතු සහ වෙනත් එවැනි සේවාවන් ඒකමතිකව අවසන් කොට. මෙම ගිණුම සම්බන්ධ ආශිත පිරිවැය සහ වෙනත් වියදම් අයකර ගැනීමට සීඩී.එස්. සමාගම වෙන මෙයින් බලය පුදානය කරනු ලබන බවට මේ/අපි තවදුරටත් පුකාශ කොට එකත වෙම්/වෙමු.

நான் /நாம், மத்திய வைப்பக முறைமையில் கணக்கு வைத்திருப்பவர்கள் அல்லது அத்தகைய கணக்கு வைத்திருப்பவர்களுடன் தொடர்புடைய திறத்தவர்களின் பரிமாற்றல்கள் தொடர்பில் இலங்கை சட்டங்கள் /ஒழுங்குவிதிகளுடன் இணங்கிச் செயற்படுகின்ற ஒரு நிறுவனம் என்ற வகையில், என்னால் /எம்மால் தரப்பட்ட கூற்றுக்கள் இதில் குறிப்பிடப்படுகின்றவற்றுக்கு முரணாக (அல்லது ஏதேனும் அத்தகைய விடயம் பகிரங்கமாக இருக்கக் கூடிய தகவல் அல்லது வேறுமுறை ஊடாக) மத்திய வைப்பக முறைமைக்கு நட்டம் ஏற்படுமென கொழும்பு பங்கு பரிவர்த்தனை/மத்திய வைப்பக முறைமை அபிப்பிராயப்படுகின்ற ஏதேனும் கூற்றுக்கள் இருந்தால், சகல வைப்புக்கள் மற்றும் எனக்கு/எமக்கு தொடர்புடைய அத்தகைய ஏனைய சேலவினங்களையும் மீட்டுக் கொள்வதற்கும் மத்திய வைப்பக முறைமை இநாடர்புடைய திறத்தவர்களையும் ஒருமுகமாக நிறுத்துவதற்கும் மற்றும் இந்த கணக்கு தொடர்புடைய கிரயங்கள் அல்லது ஏனைய செலவினங்களையும் மீட்டுக் கொள்வதற்கும் மத்திய வைப்பக முறைமைக்கு அதிகாரத்தை வழங்குவதற்கு இத்தால் மேலும் (declare and agree) பிரகடனப்படுத்தி உடன்படுகின்றேன் /உடன்படுகின்றோம்.

I/We further declare and agree that, should the CSE/CDS determine any statements made by me/us herein to the contrary, (or any such matter through publicly available information or otherwise) which would in the opinion of the CSE/CDS be detrimental to the CDS as an institution having to comply with the laws/regulations of Sri Lanka pertaining to transactions of its account holders or parties connected to such account holders, the CDS is hereby authorized to unilaterally terminate all depository and such other services connected to me/us and recover related costs or other expenses pertaining to this account.

10. මෙහි ඉහත සදහන් තොරතුරු සතෳ සහ නිවැරදි වන වෙටත්. අදාල ආයෝජන එවැනි තොතුරුවලට අනුකල වන වෙටත්. මෙ/අපි පුකාශ කරමි/ කරමු,நான் /நாம், கீழே குறிப்பிடப்படுகின்ற தகவல்கள் உண்மையானவையும் சரியானவையுமாகும் என்பதோடு அத்தகைய தகவல்களுக்கு ஏற்ப எனது/எமது முலீடுகள் இருக்கும் என பிரகடனப்படுத்துகின்றேன் /பிரகடனப்படுத்துகின்றோம்.l/We declare that the information set out below is true and accurate and our investments will be in accordance with such information: ා/අප විසින්

- ් වන ආකෘතියේ. ඔබගේ පාරිභෝගිකයා හදුනා ගැනීමේ සංක්පිප්ත සටහනේ {1 වන ආකෘතිය ("අ" 1))} සහ පුකාශය සදහා ආකෘතියේ {1 වන ආකාතිය ("ආ" 2)} අඩංගු කරුණුවලට අත්සන් කිරීමට පෙර ඒවා යථා පරිදි කියවා බලා වටහා ගත් බවටත්,
- = මා/අප විසින් I වන ආකෘතියේ ඔබගේ පාරිභෝගිකයා හදුනා ගැනීමේ සංක්පිප්ත සටහනේ {1 වන ආකෘතිය ("අ" 1))} සහ පුකාශය සදහා ආකෘතියේ {1 වන ආකෘතිය ("අ" 2)} සපයන ලද නොරතුරු නිවැරදි වන බවටත්. මෙ/අපි මෙයින් තහවුර කර සිටිමු/සිටිමු.

1 වන ආකෘතියේ ඔබගේ පාටිහෝගිකයා හදුනා ගැනීමේ සංක්පිප්ත සටහනේ {1 වන ආකෘතිය (˝අ˝ 1))} සහ පුකාශය සදහා ආකෘතියේ {1 වන ආකාතිය (˝අ˝ 2)} අඩංගු තියමයන් සහ කොන්දේසිවලින් මා/අප බැදී සිටින බව ම /අපි තවදුරටත් එකග වෙමි/එකග වෙමු.

- ்- `இங்கே கையொப்பமிடுவதற்கு முன்னர்`படிவம் 1, வாடிக்கையாளர் அறிமுக விப்ரம் (படிவம் 1(அ-1)) மற்றும் பிரகடனப்படுத்தல் படிவம் (படிவம் 1(அ-2)) என்னால் /எம்மால் நன்கு வாசித்து விளங்கிக் கொள்ளப்பட்டது என்றும்,
- சொல்லப்பட்ட படிவம் 1, வாடிக்கையாளர் அறிமுக விபரம் (படிவம் 1(அ-1)) மற்றும் பிரகடனப்படுத்தல் படிவம் (படிவம் 1(அ-2)) ஆகியவற்றில் என்னால்/எம்மால் தரப்பட்ட தகவல்கள் சரியானவை என்றும்

நான் /நாம் உறுதிப்படுத்துகின்றேன் /உறுதிப்படுத்துகின்றோம்.

படிவம் 1, வாடிக்கையாளர் அறிமுக விபரம் (படிவம் 1(அ-1)) மற்றும் பிரகடனப்படுத்தல் படிவம் (படிவம் 1(அ-2)) என்பவற்றின் நியதிகள் மற்றும் நிபந்தனைகளுக்கு நான் /நாம் கட்டுப்பட்டவர்கள் என நான் /நாம் மேலும் உடன்படுகின்றேன் /உடன்படுகின்றோம்.

I/ We hereby confirm that;

- contents of Form 1, along with the KYC Profile (Form 1 (A-1)) and the Declaration (Form 1 (A-2)) have been duly read over and understood by me/ us prior to signing.
- the information provided by me/us in the said Form 1, along with the KYC Profile {Form 1 (A-1)} and the Declaration {Form 1 (A-2)} is accurate. I/We further agree that, I/ We shall be bound by terms and conditions contained in Form 1, along with the KYC Profile {Form 1 (A-1)} and the Declaration {Form 1 (A-2)}.

මගේ පුද්ගලික දත්ත කොළඹ කොටස් හුවමාරුව වෙත ලබා දීමෙන් හා ඒවා පද්ධතියට ඇතුළත් කිරීමෙන්ම, එම දත්ත පරිහරණය කිරීම පිළිබඳව කොළඹ කොටස් වෙළෙඳපොළ සමුහයේ පෞද්ගලික දත්ත පිළිබඳ පුතිපත්තිය මා විසින් අවබෝධයෙන්ම පිළිගන්නා අතර, අදාළ පුද්ගලික දත්ත පරිහරණය කිරීමේදී පුද්ගල ආරක්ෂණ රෙගුලාසි වලට යටත්ව මාගේ දත්ත පරිහරණ හිමිකමට අදාළ ඕනෑම කරුණක් <u>dpo@cse.lk</u> යන විදුදුත් ලිපිනයට එවීමට හැකි බව පිළිගනිමි.

எனது தரவுகளை முறைமைக்குள்ளாக உட்செலுத்துகையில், கொழும்பு பங்குப்பரிவர்த்தனை குழுமத்தின், தரவுகளை இரகசியமாக பாதுகாத்தல் கொள்கையில் குறிப்பிடப்பட்டிருப்பதற்கு இணங்க எனது தனிப்பட்ட தரவுகளின் செய்முறையினையும், எனக்கு உரித்தான தரவுகளின் செய்முறையுடன் தொடர்புடைய தனிநபர் பாதுகாப்புக்கான ஏதேனும் விதிமுறைகளில் விசேடமாக குறிப்பிடப்பட்டுள்ள விடயங்களை விளங்கிக் கொண்டேன் எனவும், dpo@cse.lk என்ற முகவரிக்கு மின்னஞ்சல் ஒன்றை அனுப்புவதனூடாக எனது தரவுகளை உபயோகிப்பதற்கு நான் தகுதியுடையவன் எனவும் ஏற்றுக்கொள்கின்றேன்.

By entering my data, I expressly accept the processing of my personal data as defined in the privacy policy of the CSE Group and understand that, as provided for under any regulation laying down specific provisions for the protection of persons with regard to the processing of personal data applicable to me, I am entitled to exercise my data subject rights by sending an email to the following address: dpo@cse.lk.

මෙම අයදුම් පතුය ඉංගීසි භාෂාවෙන් නිකුත් කරන ලද "CDS Account Opening Forms" හි පරිවර්තනයක් වේ. එසේ හෙයින් මෙම සිංහල පරිවර්තිත සුරැකුම්පත් හිණුමක් විවෘත කිරීමේ අයදුම් පතුය (අදාල සියළුම ආකෘති) සහ ඉංගීසි බසින් මුල් පිටපත නිකුත් කරන ලද CDS Account Opening Forms අතරෙහි යම ගැටුම්සහගත තත්වයක් / වනාකුලභාවයක් වේ නම්, ඉංගීසි බසින් නිකුත් කරන ලද CDS Account Opening Forms බලාත්මක යුතුයි.

இது ஆங்கில மொழி மூலமான "CDS கணக்கு திறப்பு பத்திரத்தின்" மொழிப்பெயர்ப்பாகும். ஆங்கில பதிப்புக்கும் மொழிப்பெயர்ப்புக்கும் இடையே ஏதேனும் கருத்து வேறுபாடு/விளக்கமின்மை காணப்படுமாயின், ஆங்கில பதிப்பே கவணத்திற் கொள்ளப்படும்.

	(අයදුම්කරු rப்பதாரியின் Signature of t		, (à				
	න බද්ධ අයදු කෙකුந்த ඛ්ශ (Signature	<del>ள்ணப்ப</del> தாரி.	பின் கை				
20	ක්වු		(	මස	වන	දින දි	ီ ပ.
20	ஆகிய	இன்று					
This		day of _		20			

(1 වන මද්ධ අයදුම්කරුගේ අත්සන.) (1ஆம் இணைந்த விண்ணப்பதாரியின கையொப்பம) (Signature of the 1<sup>st</sup> Joint Applicant)

\*(කරුණාකර අතවශා වචන කපාහරින්න/ Gumആத்தமற்றதை நீக்கிவிடவும் /Strike out whichever is inapplicable)

# (យலைவினරු යනු *ඔබේ කොටස් නැරෑවකරු මහා භාරකරු බැංකුව* වේ. / பங்குபற்றுநரான உங்களது பங்குத்தரகர் அல்லது காப்பக வங்கி Participant means, your Stockbroker or Custodian Bank.) சென்ட்ரல் டிபோசிட்டரி சிஸ்டம்ஸ் (பிறைவேட்) லிமிட்டெட்

අංක 04-01, බටහිර කොටස, ලෝක වෙළඳ මධපස්ථානය, එව්ලන් චතුරශුය, කොළඹ - 01

# 04-01, மேற்குத் தொகுதி, உலக வர்த்தக நிலையம், எச்சிலன் சதுக்கும், கொழும்பு 01

මධ字ම තැන්පතු කුමයේ සුරැකුම්පත් ගිණුමක් විවෘත කිරීම සදහා වූ අයදුම්පතුය සම්පූර්ණ කිරීමේ උපදෙස් මාලාව (වැඩිදුර තොරතුරු සදහා මධනම තැන්පතු කුමයේ මාරග නිරදේශය අනුගමනය කරන්න.)

- (අ) පුධාන අයදුම්කරුව අදාල උපදෙස්
- 01. අයදුම්කරුගේ තත්වය සඳහන් කරන්න. 1. මයා 2. මිය
- 3. මෙනෙවිය 4. වෛදන 5. වෙනත්
- 02. අයදුම්කරුගේ අවසාන නම සඳහන් කළ යුතුය.
- 03. නමෙහි මුලකුරු සඳහන් කළ යුතුය. (අංක 01. සඳහන් කළ අවසාන නමෙහි මුලකුරු සඳහන් නොකරන්න.)
- 04. මුලකුරුවලින් සඳහන් වන නම් මෙහි ලියන්න.
- 05. ලිපි එව්ය යුතු ලිපිනය මෙති ලියන්න.
- 06. වර්තමානයේ ඔබ පදිංචි ස්ථානය අයත් දිස්තුික්කය සඳහන් කරන්න.
- 07. ලිපි එව්ය යුතු ලිපිනයට අදාල තැපැල් සංකේතය සඳහන් කරන්න.
- 08. අයදුම්කරුගේ ස්ථිර ලිපිනය සඳහන් කළ යුතුය.
- 09. බැංකුවේ කේතය, බැංකු ශාඛාවේ කේතය සහ බැංකු ගිණුමේ අංකය ඇතුළත් කරමින් ලාභාංශ ගෙවීමේ උපදෙස් මෙහි සඳහන් කරන්න. අනේවාසික අයදුම්කරුවන් SIA (සුරැකුම්පත් ආයෝජන ගිණුම) ගිණුමේ විස්තර මෙහි සඳහන් කළ යුතුය.
- 10. උප්පැන්න සහතිකයේ සඳහන් පරිදි උපන් දිනය සඳහන් කරන්න.
- 11. ජාතික හැඳුනුම්පත් අංකය හෝ විදේශ ගමන් බලපතුයේ අංකය මෙහි සඳහන් කරන්න. (මේ පිළිබඳව වැඩිදුර තොරතුරු අවශ් නම් මධ්යම තැන්පතු කුමයේ මාර්ග නිර්දේශය අනුගමනය කරන්න.)
- 12. නේවාසික අයදුම්කරුවෙකුද නැත්නම් අනේවාසික අයදුම්කරුවෙකුද යන්න මෙහි සඳහන් කරන්න.
- 13. අයදුම්කරුගේ පුරවැසිභාවය මෙහි සඳහන් කරන්න.
- 14. අයදුම්කරුගේ රැකියාව මෙහි සඳහන් කළ යුතුය. මෙම කොටස හිස්ව නොතබා අනිවාරයෙන් පිරව්ය යුතුය.
- 15. අයදුම්කරු සමග සම්බන්ධ ව්ය හැකි නිවසේ, කාර්යාලයේ දුරකථන අංක, ෆැක්ස් අංක, ජංගම දුරකථන අංක සහ විද්පුත තැපැල් ලිපිනය මෙහි සඳහන් කරන්න
- (a) මධනම තැන්පතු කුමයේ සුරැකුම්පත් ගිණුම තරහා සිදූවන ගනුදෙනු සම්බන්ධයෙන් කෙට් පණ්වුඩ සේවාව ලබා ගැනීමට කරුණාකර 🗸 යොදා සලකුණු කරන්න" අදාළ නියමයන් සහ කොන්දේසි සඳහා CDS 27 A ආකෘතිය බලන්න: මෙම සේවාව සඳහා රු60 ක මාසික ගාස්තු අය කරනු ලැයබ්
- (b) සීඩ්එස් ගිණුම පුකාශය විද්පුත් තැපෑල හරහා ලබාගැනීමට කරුණාකර අත්සන යොදන්න. ඔබගේ සීඩ්එස් ගිණුම සමබන්ධයෙන් සීඩ්එස් ගිණුම පුකාශය මුදුත ආකෘතියකින් ලබාගැනීමට ඔබට අවශන නම විද්යුත් ගිණුම පුකාශය සදහා අනුමැතිය පුකාශ කර අත්සන් තැබීමෙන් පසුව සීඩ්එස් සමාගම වෙත කරුණාකාර ලිබ්තව ඉලලීමක් ඉදිරීපත් කරන්න.
- 16. සුරැකුම්පත ගිණුම සම්බන්ධයෙන මධ්පම තැන්පතු කුමයට උපදෙස් දීම සඳහා බලය ලත් පුද්ගලයා/පුද්ගලයින් පිළිබඳ විස්තර මෙහි සඳහන් කරන්න. ගිණුම් තිම්යාට අමතරව වෙනත් පුද්ගලයෙකු / පුද්ගලයින් ගිණුම සම්බන්ධයෙන් උපදෙස් ලබා දෙන්නෙ නම් යෙනතික බලය පැවරීමේ පතිකාව / ඇටරනි බලපතුය අමුනන්න.
- (ආ) හවුල් අයදුම්කරු / අයදුම්කරුවන් සඳහා උපදෙස්
- 01. අයදුම්කරුගේ තත්වය සඳහන් කරන්න. 1. මයා 2. මිය
  - 3. මෙනෙවිය 4. වෛදෂ 5. වෙනත්
- 02. අයදුම්කරුගේ අවසාන නම සඳහන් කළ යුතුය.
- 03. නමේහි මුලකුරු සඳහන් කළ යුතුය. (අංක 01. සඳහන් කළ අවසාන නමේහි මලකරු සඳහන් නොකරන්න.)
- 04. මුලකුරුවලින් සඳහන් වන නම් මෙහි ලියන්න.
- 05. ලිපි එව්ය යුතු ලිපිනය මෙති ලියන්න.
- 06. වර්තමානයේ ඔබ පදිංචි ස්ථානය අයත් දිස්තුික්කය සඳහන්කරන්න.
- 07. ලිපි එවිය යුතු ලිපිනයට අදාල තැපැල් සංකේතය සඳහන් කරන්න.
- 08. අයදම්කරුගේ ස්ථිර ලිපිනය සඳහන් කළ යතය.
- 09. උප්පැන්න සහතිකයේ සඳහන් පරිදී උපන් දිනය සඳහන් කරන්න.
- 10. ජාතික හැඳුනුම්පත් අංකය හෝ විදේශ ගමන් බලපතුයේ අංකය මෙහි සඳහන් කරන්න. (මේ පිළිබඳව වැඩිදුර තොරතුරු අවශ් නම් මධ්යම තැන්පතු කුමයේ මාරග නිර්දේශය අනුගමනය කරන්න.)
- 11. නෙවාසික අගදුම්කරුවෙකුද නැත්නම් අනේවාසික අගදුම්කරුවෙකුද යන්න මෙහි සඳහන් කරන්න.
- 12. අයදුම්කරුගේ පුරවැසිභාවය මෙහි සඳහන් කරන්න.
- 13. අයදුම්කරුගේ රැකියාව මෙහි සඳහන් කළ යුතුය. මෙම කොටස හිස්ව නොතබා අනිවාරයෙන් පිරව්ය යුතුය.
- 14. අයදම්කරු සමග සම්බන්ධ විය හැකී නිවසේ. කාර්තලයේ දරකථන අංක. ෆැක්ස් අංකය ජංගම දුරකථන අංකය සහ විද්යුත තැපැල් ලිපිනය මෙහි සඳහන් කරන්න.

CDS கணக்கு ஆரம்பிக்கும் படிவத்தை நிரப்புவதற்கான அறிவுறுத்துதல்கள்

- (<u>1</u>) <u>பிரதான விண்ணப்பதாரா் தொடர்பிலான அறிவுறுத்துகல்கள்</u> 01. தலைப்பு குறிப்பிடப்படுதல் வேண்டும். 01.திரு 02.திருமதி 03.செல்வி 04.வண 05.கலாநிதி 06.பொருத்தமான வேறு.

- ஒதுக்கப்பட்ட கூட்டில் தபவுசெய்து குறிப்பிடவும் 02. விண்ணப்பதாரரின் கடைசிப்பெயர் குறிப்பிடப்படுதல் வேண்டும்.
- 03. விண்ணப்பதாரரின் முதலெழுத்துகள் குறிப்பிடப்படுதல் வேண்டும். (இல 01 இல் குறிப்பிட்ட கடைசிப் பெயரின் முதலெழுத்தை
- எடுக்கவேண்டாம்)
- 04. முதலெழுத்துக்கள் குறித்து நிற்கும் பெயர்களை குறிப்பிடவும். 05. தபால் முகவரியினைக் குறிப்பிடுதல் வேண்டும். 06. நீங்கள் தற்போது வசிக்கும் மாவட்டத்தினைக் குறிப்பிட வேண்டும்.
- தபால் முகவரிக்குரிய தபால் குறியீட்டினை குறிப்பிடவும்.
   விண்ணப்பதாரரின் நிரந்தர முகவரியினைக் குறிப்பிடுதல்
- வேண்டும்.
- 09. பங்குலாபங்களைப் பெற்றுக்கொள்ள பின்வரும் தகவல்கள் முறையாக வெளிப்படுத்த வேண்டும். வங்கியின் பெயர், வங்கிக்கிளையின் பெயர், வங்கியின் முகவரி, வங்கிக்கணக்கு இலக்கம்? போன்றன சரியாக கொடுக்கப்படும் சந்தர்ப்பத்தில் பங்குலாபங்கள் உங்கள்
- இலக்கம்? போன்றன சரியாக கொடுக்கப்படும் சமூதி கூடிய இலக்கம்? போன்றன சரியாக அனுப்பிவைக்கப்படும். வங்கிக்கணக்குக்கு நேரடியாக அனுப்பிவைக்கப்படும். 10. பிறப்பு அத்தாட்சிப்பத்திரத்தில் உள்ளவாறான பிறந்த திகதி குறிப்பிடப்படுதல் வேண்டும். வெணக்களக்கினால் வழங்கப்பட்ட தேசிய அடையாள அட்டையில் 10. பறப்பு அதாட்சப்பத்தரத்தில் உள்ளவாறான பறந்த தக்த குறப்படப்படுதல் வேண்டும்.
  11. ஆட்பதிவுத் திணைக்களத்தினால் வழங்கப்பட்ட தேசிய அடையாள அட்டையில் உள்ளவாறான அடையாள அட்டை இலக்கம். அல்லது குடிவரவு மற்றும் குடிஅகல்வு திணைக்களத்தினால் வழங்கப்பட்ட கடவுச்சீட்டில் உள்ளவாறான இலக்கத்தினைக் குறிப்பிடவும். (மேலதிக தகவல்களுக்கு மத்திய வைப்புத்திட்ட வழிகாட்டியைப்பார்க்கவும்).
  12. விண்ணப்பதாரர் வதிவுள்ளவரா அல்லது வதிவற்றவரா என குறிப்பிடுதல் வேண்டும்.
  13. தேசிய இனத்தினைக் குறிப்பிடுதல் வேண்டும்.
  14. விண்ணப்பதாரரின் தொழில் குறிப்பிடப்படுதல் வேண்டும். இந்த இடத்தினை
- வெறுமையாக விடவேண்டாம்.
- 15. விண்ணப்பதாரரியுடன் தொடர்பு கொள்ளக்கூடிய வதிவிட, காரியாலய மற்றும் தொலைநகல் இலக்ககங்களை குறிப்பிடவும்.
- (a) உங்கள் மத்திய வைப்பக முறைமைக் கணக்கினூடாக இடம்பெறுகின்ற பரிமாற்றல்கள் தொடர்பான SMS அறிவுறுத்தல்களைப் பெற்றுக் கொள்வதற்கு இந்தக் கட்டத்துக்குள் 🗸 அடையாளமிடவும். ஏற்புடைய நியதிகள் மற்றும் நியந்தனைகளுக்கு மத்திய வைப்பக முறைமை படிவத்தின் 27அ பந்தியைப் பார்க்கவும். மாதாந்தக் கட்டணம் 60/- ரூபாய் அறவிடப்படும்.
- மத்திய வைப்பக முறைமைக் கணக்குக் கூற்றுக்களை மின்னஞ்சலினூடாகப் பெற்றுக் மத்திய வைப்பக முறைமைக் கைக்குக் சூற்றுக்கைப் மன்றைக்கு கொள்வதற்கு கையோப்பமிடவும். உங்கள் மத்திய வைப்பக முறைமை கணக்கு தொடர்பான கூற்றுக்களை அச்சுப் பிரதி வடிவில் பெற்றுக் கொள்வதற்கு இலத்திரனியல் கூற்றுக்கு அங்கத்துவத்தைப் பெற்றுக் கொண்ட பின்னர் எழுத்து மூலம் மத்திய வைப்பக முறைமைக்கு வேண்டுகோள் விடுக்கவும்.
- 16. பங்குபற்றுநருக்கு அறிவுத்தல்களை வழங்குவதற்கு அதிகாரமளிக்கப்பட்ட நபர்/ நபாகளின் பெயா் / பெயாகளை குறிப்பிடவும். விண்ணப்பதாரா் தவிா்ந்த வேறு எவரேனும் நபர்/நபர்கள் கையொப்பம் இடுவதாயின் அற்ரோணித் தத்துவத்தின் உறுதிப்படுத்தப்பட்ட பிரதி இணைக்கப்படுதல் வேண்டும். வதிவற்றவர்களுக்குரிய பிணையங்கள் முதலீட்டுக் கணக்கு விபரங்கள் வெளிப்படுத்தப்படுதல் வேண்டும்.

- (II) கூட்டு விண்ணப்புதாரா்/கள் தொடர்பிலான அறிவுறுத்துதல்கள்
  01. தலைப்பு குறிப்பிடப்படுதல் வேண்டும். 01.திரு 02.திருமதி
  03.செல்வி 04.வண 05.கலாநிதி 06.பொருத்தமான வேறு.
  ஒதுக்கப்பட்ட கூட்டில் தயவுசெய்து குறிப்பிடவும்
  02. விண்ணப்பதாரரின் கடைசிப்பெயர் குறிப்பிடப்படுதல் வேண்டும்.
  03. விண்ணப்பதாரரின் முதலெழுத்துகள் குறிப்பிடப்படுதல்
  வேண்டும். (இல 01 இல் குறிப்பிட்ட கடைசிப் பெயரின் முதலெழுத்தை எடுக்கவேண்டாம்)
  04. முதலெழுத்துக்கள் குறித்து நிற்கும் பெயர்களை குறிப்பிடவும்.
  05. தபால் முகவரியினைக் குறிப்பிடுதல் வேண்டும்.
  06. நீங்கள் தற்போது வசிக்கும் மாவட்டத்தினைக் குறிப்பிட வேண்டும்.
  07. தபால் முகவரிக்குரிய தபால் குறியீட்டினை குறிப்பிடவும்.
  08. விண்ணப்பதாரரின் நிரந்தர முகவரியினைக் குறிப்பிடுதல்
  வேண்டும்.

- வேண்டும்.
- 09. பிறப்பு அத்தாட்சிப்பத்திரத்தில் உள்ளவாறான பிறந்த திகதி
- குறிப்பிடப்படுதல் வேண்டும்.
- 10.ஆட்பதிவுத் திணைக்களத்தினால் வழங்கப்பட்ட தேசிய அடையாள அட்டையில் படத்து தலைகள்ததனால் வழங்கப்பட்ட ஒல்லது குடிவரவு மற்றும் குடிஅகல்வு திணைக்களத்தினால் வழங்கப்பட்ட கடவுச்சீட்டில் உள்ளவாறான இலக்கத்தினைக் குறிப்பிடவும். (மேலதிக தகவல்களுக்கு மத்திய வைப்புத்திட்ட வழிகாட்டியைப்பார்க்கவும்). 11. விண்ணப்புதாரர் வதிவுள்ளவரா அல்லது வதிவற்றவரா என
- குறிப்பிடுதல் வேண்டும்.
- 12. தேசிப இனத்தினைக் குறிப்பிடுதல் வேண்டும். 13 விண்ணப்பதாரரின் தொழில் குறிப்பிடப்படு வெறுமையாக விடவேண்டாம். குறிப்பிடப்படுதல் வேண்டும். இந்த
- ்கூறுக்கப்படு கட்டுக்கும் கொடர்பு கொள்ளக்கூடிய வதிவிட, காரியாலய, கையடக்கத் தொலைபேசி மற்றும் தொலைநகல் இலக்ககங்கள் மற்றும் மின்னஞ்சல் முகவரி என்பவற்றைக் குறிப்பிடவும்.



#### 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)
	(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 as	signs 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:

- 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

7. REMEDIES AND WAIVERS		
info@senfinsecurities.com		
To the Company:	To the Client:	
•	herein above and/or following email addresses;	uie
Any notice or other communication to	be given under this Agreement shall deem to be accepted by	+hc

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	Name:		
Date:	Date:		

## **CLIENT AGREEMENT**

This	s Agreem	ent is made	and entered	d into on	this	d	ay of		Two
Tho	usand and	t	(	) at					
				By and	d Bet	ween			
` '							•		-
	Passport	No	of						
(2)							bearing	National	Identity Card /
	Passport	No	of						
(he	reinafter s	ometimes joir	tly and sever	ally referre	ed to a	s the " <b>Client/s</b> "	) of the <b>O</b>	ne 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 saidStockbroker 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, <a href="https://www.cse.lk">www.cse.lk</a>).

- 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 facilitates 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 Firmby way of a written agreement for extension of such facilities.

ANNEXURE

- 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.
- 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
<ol> <li>1</li> <li>2</li> </ol>	
Witness:	Witness:

## SCHEDULE 1

## **DECLARATION**

I,		, an employee of SENFIN					
SECURITIES	LIMITED ('Stockbro	ker Firm'), who is duly authorized by the Board of Directors of the					
Stockbroker F	irm to make declara	tions on its behalf hereby confirm that the following risks involved in					
investing/tradi	ng in securities listed	on the Colombo Stock Exchange ('Risk Disclosure Statements') were					
clearly explai	ned by me to	('the Client/s') and					
invited the Cli	ent/s to read the be	low mentioned Risk Disclosure Statements, ask questions and take					
independent a	advice if the Client/s w	vish/es to:					
a) The	e prices of securities	s fluctuate, sometimes drastically and the price of a security may					
dep	preciate in value and	may even become valueless.					
b) It is	s possible that losses	may be incurred rather than profits made as a result of transacting in					
securities.							
c) It is	s advisable to invest	funds that are not required in the short term to reduce the risk of					
inv	esting.						
Signed on beh	alf of the Stockbroker	Firm by					
Signati	ure :						
Name	:						
Design	nation :	Investment Advisor					
Date	:						
NIC No	). :						

## **SCHEDULE 2**

## **ACKNOWLEDGEMENT**

I/We, (1)	bearing National Identity Card /
Passport Noof	
(2) beari	ng National Identity Card /
Passport Noof	
agree and acknowledge that the following risks involved in investing/tra-	ding in securities listed on the
Colombo Stock Exchange ('Risk Disclosure Statements') were, an employee of SE	
('Stockbroker Firm'), and I/we was/were invited to read the below mentioned	ed 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 Disc	losure Statements;
a) The prices of securities fluctuate, sometimes drastically and	the price of a security may
depreciate in value and may even become valueless.	
<ul> <li>b) It is possible that losses may be incurred rather than profits ma securities.</li> </ul>	de as a result of transacting in
c) It is advisable to invest funds that are not required in the sh investing.	ort term to reduce the risk of
(1)(2)(3)	
Signature/s of the Client/s	
Date	