

TO: THE SECURITIES AND EXCHANGE COMMISSION OF SRI LANKA

APPLICATION FOR THE TRANSFER OF SECURITIES OF A PUBLIC COMPANY LISTED WITH THE COLOMBO STOCK EXCHANGE OUTSIDE THE TRADING SYSTEM

Please grant approval to effect the under mentioned transfer outside the trading system of the Exchange

1. NAME (IN FULL), ADDRESS, CDS A/C NO. OF TRANSFEROR/SELLER :
2. NAME (IN FULL), ADDRESS, CDS A/C NO. OF TRANSFEREE/BUYER :
3. NAME OF THE PUBLIC LISTED COMPANY/IES IN WHICH SECURITIES ARE TO BE TRANSACTED, SECURITIES CODES & QUANTITIES : (Please attach a separate schedule if space is inadequate)

Name of Listed Company	Securities Code	Quantity
1.		
2.		
3.		
4.		
5.		

4. NATURE OF TRANSACTION (GIFT OR EXCEPTIONAL CIRCUMSTANCES):
5. RELATIONSHIP BETWEEN THE TRANSFEROR AND TRANSFEREE:
6. EXCEPTIONAL CIRCUMSTANCES RELATING TO THE PROPOSED TRANSACTION (IF ANY):
7. CONSIDERATION (IF ANY):
8. HAVE YOU PREVIOUSLY APPLIED FOR THE TRANSFER OF ABOVE SECURITIES? YES/NO
IF YES
 - a. DATE ON WHICH YOU APPLIED
 - b. REASONS IF YOU KNOW FOR REFUSING THE APPLICATION
9. NAME AND ADDRESS OF THE BROKER (IF ANY): Capital Trust Securities (pvt) Ltd No 42, Sir Mohamed Macan Marker Mw, Colombo 03

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SIGNATURE OF THE
TRANSFEREE/ BUYER
DATE:

.....
SIGNATURE OF THE
TRANSFEROR/ SELLER
DATE:

NOTE : PLEASE SEE OVERLEAF FOR GUIDELINES BEFORE COMPLETING THIS FORM TO BE MADE IN DUPLICATE

FOR OFFICE USE ONLY: APPROVED/ NOTED BY THE SECURITIES AND EXCHANGE COMMISSION OF SRI LANKA

GUIDELINES

1. In terms of section 15(1)(b) of the Securities Exchange Commission (SEC) Amendment Act No 18 of 2003 the approval of the SEC is not required to transfer shares pertaining to a conveyance of securities from an Administrator/Executor of an estate of a deceased person.
2. If the transaction pertains to a gifting of securities to a relation please attach necessary documents to certify the relationship (e.g. Birth Certificate, Marriage Certificate etc. or an affidavit to that effect). For this purpose “relation” has been defined in the SEC Act as a parent, spouse, child or spouse of a child of that person. Under exceptional circumstances, the transferor may gift shares to a person who does not fall within the definition of “relation” provided the transferor can swear/affirm by way of an affidavit that the transferor does not have any other person other than the beneficiary/ies to transfer the said securities and the transferor is dependent on the transferee.

All those copies have to be certified copy – or certified as a ‘true copy’ by an Attorney – at –Law, Notary Public or a Justice of Peace. In the case of the latter it may be done by any officer authorized in that respect, provided that the SEC is officially informed of such authorization and the name and designation of such person.

3. In the case of a transfer of securities from pledgor to a pledge the request for the transfer must be supported with necessary documents to evidence the pledge agreement. The SEC also requires a letter of indemnity from the applicant indemnifying against any loss, damage, claim or action that may arise.
4. In the case of data entry errors the SEC shall insist on the production of sufficient evidence to show that a data entry error has occurred. The evidence necessary will include the copies of contract notes and the order slips pertaining to the transaction.
5. In cases where there has been a change of custodian sufficient documentation must be furnished to the SEC to establish that there is no change in the beneficial ownership.
6. In cases where the transfer of securities is required to restructure a business or in the case of a proposed takeover of a company, the SEC shall be consulted prior to submission of forms for approval of securities outside the trading system.
7. In case of a takeover offer or transfer of shares under an employee share trust please forward a letter of indemnity issued by the managers to the takeover offer or by the trustees indemnifying the CSE and SEC of any claims.
8. In the case of applications made under Power of Attorney a photocopy of the same certified by an Attorney-at-Law, a Notary Public or a Justice of Peace should accompany such applications.
9. In cases where transferor and / or transferee is a corporate entity, the common seal of the company should be affixed and attested as required by its Article of Association.
10. In any other event not mentioned above, copies of the relevant supporting documents to substantiate the exceptional circumstances should be attached to the application.
11. Administrative levy - Please send a cheque drawn in favour of “Securities & Exchange Commission of Sri Lanka”.