



Capital TRUST Securities (Pvt) Ltd.

A Capital TRUST Group Company

Member of the Colombo Stock Exchange. Company Registration No. PV 12905

42, Sir Mohammed Macan Markar Mawatha, Colombo 03, Sri Lanka.

Telephone: +94 11 2174174 Facsimile: +94 11 2174173 E-mail: inquiries@capitaltrust.lk

CLIENT REGISTRATION FORM (FOR COMPANIES)

BASIC ACCOUNT INFORMATION :

Nature of the entity, please mark [x]

- Private Limited Liability, Public Limited Company, Global / Regional Fund, Local Fund, Statutory Board, A body establishment under Act of Parliament, Others (Specify)

Status, please mark [x] Local Foreign

If listed, please specify

COMPANY DATA

Grid for company details: NAME OF COMPANY, ADDRESS, TELEPHONE, FAX, E-MAIL, BUSINESS REG. NO., DATE OF INCORP.

DECLARATION (For Companies)

Dear Sir / Madam,

OPENING OF SECURITIES ACCOUNT WITH THE CENTRAL DEPOSITORY SYSTEM

We,holder of Business Registration number.....hereby request Capital TRUST Securities (Pvt) Ltd. to open a Securities Account with the Central Depository System and,

- (1) We hereby declare that all particulars and information given in this Declaration and the CDS Application Form for Opening of Securities Account are true and correct...
(2) We further declare that we have read and understood the regulations as amended from time to time issued by the Colombo Stock Exchange...
(3) We agree to pay any security deposit required by Capital TRUST Securities (Pvt) Ltd in relation to our account including without limitation deposits for purchase contracts made/transacted by us and or on our behalf.
(4) We authorize you to sell such securities as may be required to clear our debt position with Capital TRUST Securities (Pvt) Ltd at absolute discretion of Capital TRUST Securities (Pvt) Ltd, including but not limited only to the securities purchased under the defaulted contract but also any other securities fully paid by us lying in my account with the CDS, .

- (5) We declare that all orders made by us over the telephone shall not be revoked or withdrawn by us, after the execution of the order.
- (6) We declare that the funds to be invested for the purchase of shares 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 financing of terrorism or any other illegal activity.
- (7) We state that the irrevocable authority granted hereby shall in no way effect or exempt us from any inability as stated herein towards the Capital TRUST Securities (Pvt) Ltd arising from or consequent upon any such default.
- (8) We agree to any delayed payments being subject to additional interest cost on the consideration and agree to it being debited to our account at a interest rate that will be decided by the Capital TRUST Securities (Pvt) Ltd from time to time, but not exceeding 0.1% per day.
- (9) We declare and agree that Capital TRUST Securities (Pvt) Ltd may at any time and its absolute discretion suspend or close our account provided a reason is given thereof in writing.
- (10) If any un-authorized purchases/sales have been made in our CDS account, //we undertake to complain to the Compliance Officer of Capital TRUST Securities (Pvt) Ltd within fourteen (14) days in writing. We undertake that if no complaint is made within fourteen (14) days of such transaction undertake that no claim would be made against Capital TRUST Securities (Pvt) Ltd
- (11) We declare that in the event of a variation of any information given to the CDS or in this Client's Registration Form We shall inform in writing within fourteen (14) days of such variation.
- (12) 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".

In the event of opening a Securities Account with the Central Depository System through our company, we M/sCapital TRUST Securities (Pvt) Ltd will be subject to the following conditions

- (1) We declare that in the event of any material change of the information related to the company which is important to you, we shall inform you in writing within fourteen (14) days of such change.
- (2) The company provides the following services to the clients to assist them to make accurate investment decisions i) Online Trading ii) Technical and Fundamental Analysis Research and advise iii) Online access to view statements
- (3) Investment decisions can be on a discretionary or non-discretionary basis. Discretionary accounts can only be operated with a written agreement between the client and the company.
- (4) The incentive scheme applicable for Investment Advisors of the company is based on the net brokerage income generated from the transactions.
- (5) No other fees except the net brokerage are applicable for transactions executed by the company.

We hereby declare that the above declaration and Risk Disclosure (clause no. 12) have been duly read and understood by us prior to signing this declaration. We hereby also confirm that the above Risk Disclosure (clause no. 12) statement was explained to us and we were invited to read and ask any question and take independent advice if I so wish.

Applicant's Director Name: **Signature:**
Date: **NIC No.**

Applicant's Director Name: **Signature:**
Date: **NIC No.**

Witness 1. Name: **Signature:**
NIC No.
2. Name: **Signature:**
NIC No.

FOR OFFICE USE ONLY

I hereby confirm that to the best of our knowledge and belief that the information given herein by the applicant/s is true and correct.

I here by confirm that I have clearly explained the Risk Disclosure (clause no. 12) to the applicants and I invited the applicants to read the above Risk Disclosure (clause no. 12) statement, verify and take independent advice if the applicant/s so wishes.

Investment Advisor Name: **Signature:**
Date:

Approved By Name: **Signature:**
Date:

Form 2 A

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

In instances where the Securities Account will be maintained through a Custodian Bank, it is not mandatory to complete this Form 2A.

We declare that the information set out below is true and accurate and our investments will be in accordance with such information.

1. Nature of the Business (Product/ Service provided)

.....

2. Expected value of Investment per annum (Please mark placing a √)		
Less than Rs. 100,000 <input type="checkbox"/>	Rs 1,000,000 to Rs 2,000,000 <input type="checkbox"/>	Rs 4,000,000 to Rs 5,000,000 <input type="checkbox"/>
Rs 100,000 to Rs 500,000 <input type="checkbox"/>	Rs 2,000,000 to Rs 3,000,000 <input type="checkbox"/>	Rs 5,000,000 to Rs 10,000,000 <input type="checkbox"/>
Rs 500,000 to Rs 1,000,000 <input type="checkbox"/>	Rs 3,000,000 to Rs 4,000,000 <input type="checkbox"/>	Over Rs 10,000,000 <input type="checkbox"/>

3. Source of funds (Please mark placing a √)		
Business Ownership <input type="checkbox"/>	Investment Proceeds/ Savings <input type="checkbox"/>	Commission Income <input type="checkbox"/>
Business Turnover <input type="checkbox"/>	Sale of Property/ Assets <input type="checkbox"/>	Export proceeds <input type="checkbox"/>
Investments <input type="checkbox"/>	Gifts <input type="checkbox"/>	Profits <input type="checkbox"/>
Contract Proceeds <input type="checkbox"/>	Donations / Charities (Local / Foreign) <input type="checkbox"/>	Others (Specify)

4. Are you a US Person in terms of the Foreign Account Tax Compliance Act (FATCA) of the US? (Please mark placing a √)	Yes	No
If yes, FATCA declaration has to be submitted along with application form. If 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"/>

5. Politically Exposed Persons (PEPs) (Please mark placing a √)	Yes	No
Do you have persons who are or have been entrusted domestically/ Internationally with a prominent public function (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.), as members of senior management or individuals who have been entrusted with equivalent functions, i.e. directors, deputy directors and members of the board or equivalent functions.	<input type="checkbox"/>	<input type="checkbox"/>
If "Yes" please clarify		

6. Any other connected Businesses/ Professional activities

7. Person(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank)												
NAME/S & DESIGNATION												
TELEPHONE												
FAX												
MOBILE/S												
E-MAIL												

8. Other remarks / notes (if any)

Form 2 B

Authorized
Signature and
Stamp of
Participant

NOTE: This application should be submitted through your Participant

To: The Central Depository Systems (Pvt.) Ltd.,
04-01, West Block, World Trade Centre, Echelon Square, Colombo 01.

DECLARATION

We _____
(Name of Corporate Body)

_____ incorporated / established under _____

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

1. (i) The Securities Account to be opened by us in the CDS shall be maintained for our benefit only.

Or;

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

(ii) The Securities Account to be opened by us in the CDS shall be maintained for the benefit of the following persons in our capacity as Custodian / Trustee / Fund Manager / Unit Trust Manager.

Name	Address	Nationality
1.		
2.		
3.		

Or;

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

(iii) We, in our capacity as Custodian / Trustee / Fund Manager / Unit Trust 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/ # Participant.

2. 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 defect true facts.

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

4. 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. 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:

- 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;
- 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
- 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. We hereby further declare that we are persons 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. We or any persons(s) associated with us and/or any entity connected to us (as a partner, shareholder, director) do not have against 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. We declare that 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.

9. We further declare and agree that, should the CSE/CDS determine any statements made by 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 us and recover related costs or other expenses pertaining to this account.

10. We declare that the information set out below is true and accurate and our investments will be in accordance with such information:

We hereby confirm that;

- contents of Form 2, along with the KYC Profile {Form 2 A} and the Declaration {Form 2 B} have been duly read over and understood by us prior to signing.
- the information provided by us in the said Form 2, along with the KYC Profile {Form 2 A} and the Declaration {Form 2 B} is accurate.

We further agree that, we shall be bound by terms and conditions contained in Form 2, along with the KYC Profile {Form 2 A} and the Declaration {Form 2 B}.

(Place the Company Seal and signature/s of Director/s
as required by the Articles of Association)

***Strike out whichever is inapplicable.**

This _____day of _____20__

Participant means, your Stockbroker or Custodian Bank.

..... 2017

Mr/Mrs/Ms.....

.....

.....

.....

(Name and address of the Account Holder)

Accountant-Payables
Capital Trust Securities (Pvt) Ltd
42, Sir Mohammed MacanMarkarMawatha,
Colombo 3,

Dear Madam,

AUTHORITY TO HOLD SALES PROCEEDS OF CDS ACCOUNT DSA-.....

With reference to the rule 2.7.1 (2) (b) of CSE Stock Broker Rules, I hereby provide the authority to Capital Trust Securities (Pvt) Ltd to hold the credit balances in my above mentioned CDS account on permanent basis, until I give specific written or verbal instructions to prepare the sales proceeds cheque.

Thanking you,

Yours faithfully,

.....

(Signature)

.....

(Name)

.....

(NIC No.)

Capital TRUST Securities (Private) Limited,
No. 42, Sir Mohammed Macan Marker Mawatha,
Colombo 03

Dear Sirs,

I/We of
..... request you to allow me the use of Capital TRUST Securities (Private) Limited ('Capital Trust')
Internet Trading Service ('Online Service') and hereby agree to be bound by the terms and conditions hereinafter mentioned governing such service:

1. I/we hereby authorize Capital Trust to accept and act upon all instructions or messages which purport to come from me/us and are received through the Online Trading Service and authenticated in the manner described by Capital Trust under the usage of password issued to me/us by Capital Trust;
2. I/we fully understand that all transactions shall be subject to the rules of the Securities and Exchange Commission, Colombo Stock Exchange and other prevailing laws and regulations of Sri Lanka and in particular to the authority hereinafter granted by the me to Capital Trust;
3. I/we hereby permit and authorize Capital trust, at their absolute discretion and my risk, to sell and transfer any and/or all of the shares or securities in my securities account opened by me and maintained by Capital Trust at the Central Depository System (Private) Limited in order to make good and compensate for any loss or damages incurred or sustained by Capital Trust as a result of my default in making any payments lawfully due to Capital Trust after the settlement date;
4. The above authority of the right to sell shares or securities given to Capital Trust by me, shall be in addition to all the other rights, powers and remedies available to Capital Trust in terms of the laws of Sri Lanka. The authority granted hereby shall in no way affect or exempt me from any liability towards Capital Trust arising out of or consequent to any such default;
5. I/we acknowledge that the market data provided to me are obtained from Colombo Stock Exchange Sources believed to be reliable, are provided solely on a **As It IS** basis and **As Available** basis and that no guarantees are made by Capital Trust as to their accuracy, completeness, timeliness or correct sequencing. I/we agree that Capital Trust 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 Capital Trust do not have direct/indirect control, including the failure of computer software/hardware or 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 I/we may incur in connection with my use of the services provided by Capital Trust in terms of this Agreement;
6. I/we hereby agree that Capital Trust shall not be responsible for any delay or failure to comply with any part of these terms and conditions resulting from causes beyond the Capital Trust's control, including but not being restricted to investment decisions made by me, acts of God, fires, explosions, floods, earthquakes, wind storms, national strikes, national riots, national work outs, national boycotts, wars, laws, regulations or acts of any government or from other causes beyond the control of Capital Trust which Capital Trust is unable to prevent;
7. I/we shall not attempt to effect transactions through Online Service unless sufficient funds (for purchases of securities) inclusive of other charges associated with the transaction, are available with me/us. For the purpose of this Agreement "Sufficient Funds" shall mean , in case of a cash deposit, up to 100% of the value of the proposed transactions to be effected by me/us through internet trading or otherwise and in case of the securities portfolio such percentage made available to us by Capital Trust from time to time;
8. If my/our securities account with Capital Trust is a jointly held account, every holder shall be jointly and severally liable for all transactions arising from the use of Online Trading;
9. I/we shall accept Capital Trust's records and statements of all transactions processed through the Online Service through my/our account as conclusive and binding on me / us for all purposes
10. I/we shall not hold Capital Trust responsible for any loss, damage or liability incurred or suffered by me/us as a result of non acceptance of and/or non adherence to any instructions given through the Online Service for any reason whatsoever
11. I/we agree that in the transactions effected by me/us through the Online Service with third parties, I/we shall not hold Capital Trust responsible in any manner whatsoever for any lapses on the part of the transacting parties (including other brokers) failing to meet their respective obligations.
12. I/we hereby acknowledge that I am/we are permitted to enter into this agreement in terms of the Capital Trust member application signed by me whereby I /we have opened a CDS account/s with Capital Trust and that the terms and conditions contained herein are in addition to the other documents and agreements that I have signed with Capital Trust;
13. I / we agree to use the Online Service provided to me / us solely for the purpose of trading in securities in my / our CDS account and / or the CDS account of our spouses where specific consent of our spouses have been submitted in writing subject to annual renewal of such consent.
14. I / we agree not to use the Online Service provided to me / us for any other purpose other than trading and in any case will not be used for trading securities in the CDS account of other parties unless I / we have obtained an investment manager license from the SEC authorizing my / our involvement in such activities.
15. I/we confirm and agree that Capital Trust shall at any time be entitled to amend, supplement or vary any of these terms and conditions, at its absolute discretion with or without notice to me/us and such amendment , supplement or variation shall be binding on me / us
16. I hereby undertake to give you notice in writing of any changes of particulars given overleaf;
17. This agreement shall be governed by and construed in accordance with the Laws of the Democratic Socialist Republic of Sri Lanka and I/we shall submit to the non-exclusive jurisdiction of the courts of the Democratic Socialist Republic of Sri Lanka.

I / We have read and understood the foregoing and agree to be bound by the above terms and conditions as contained in this Agreement.

Name & Signature :

Date:

For Capital Trust:

DOCUMENTS REQUIRED TO OPEN A COMPANY CDS ACCOUNT

1. CDS form 2 (Application for Opening of Securities Account)
2. CDS form 2A (KYC)
3. CDS form 2B (Declaration Form)
4. Memorandum & Articles of Association
5. Certificate of Incorporation (If the company Incorporated before the 7 of 2007 Act, please attach a copy of 17 of 1982 Act and 7 of 2007 Registration)
6. Certified extract of Board Resolution to open the CDS Account (in the alternative, the Resolution may be certified in the CDS 2 form itself)
7. List of Names, Addresses and Number of shares held by the top 10 shareholders (as at date) – certified by the Company Secretary on a letter head
8. List of Names, Addresses, Occupation and NIC or Passport numbers of Directors – certified by the Company Secretary on a letter head
9. Name of Person/s authorized to give instructions with a copy of the Power of Attorney/Board Resolution (Board Resolution is required only in the event the person authorized to give instructions is not a Director of the Board).