



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 [checked]

- 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 [checked] Local [ ] Foreign [ ]

If listed, please specify .....

COMPANY DATA

NAME OF COMPANY [Grid]

ADDRESS [Grid]

TELEPHONE [Grid] FAX [Grid]

E-MAIL [Grid]

DAILY TRADE CONFIRMATION TO BE SENT BY POST [ ] BY E-MAIL [ ] Please note that Trade Cofirmations will be e-mailed to the above mentioned e-mail address.

BUSINESS REG. NO. [Grid] DATE OF INCORP. [Grid]

(Please attach a photocopy of Certificate of Incorporation)

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 and that we read and understood the Conditions of Sale stipulated by the Colombo Stock Exchange governing the share transactions, which we will be entering into with Capital TRUST Securities (Pvt) Ltd. We hereby agree to abide by the said conditions of sale.
(2) We further declare that we have read and understood the regulations as amended from time to time issued by the Colombo Stock Exchange to its member companies with regard to the default contracts pertaining to the securities transactions and in the event we fail to make payment for securities purchased on my/our behalf, after the due date of settlement, We hereby authorize Capital TRUST Securities (Pvt) Ltd. to recover the monies due to them fully or part from the sales proceeds arising from the sales of shares 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. in order to enable Capital TRUST Securities (Pvt) Ltd. to recover the monies due to them including interest and other charges.
(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 contacts 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, I/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.** .....

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**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:** .....