



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 ACCOUNT OPENING FORM (FOR INDIVIDUALS)

PERSONAL DATA

Form fields for personal data including Title, Last Name, Names Denoted by Initials, Address, Telephone, Mobile, Fax, E-mail, Daily Trade Confirmation, NIC/Passport No., and Nationality.

DECLARATION (For Individual Clients)

Dear Sir / Madam,

OPENING OF SECURITIES ACCOUNT WITH THE CENTRAL DEPOSITORY SYSTEM

I/ We,holder of National Identity Card(s) bearing number(s).....hereby request Capital TRUST Securities (Pvt) Ltd. to open a Securities Account with the Central Depository System and,

- (1) I/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) I/We further declare that I/we have read and understood the regulations as amended from time to time issued by the Colombo Stock Exchange...
(3) I/We agree to pay any security deposit required by Capital TRUST Securities (Pvt) Ltd in relation to my/our account including without limitation deposits for purchase contracts made/transacted by me/us and or on my/our behalf.
(4) I/We authorize you to sell such securities as may be required to clear my/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 me/us lying in my account with the CDS.

- (5) I/We declare that all orders made by me/us over the telephone shall not be revoked or withdrawn by me/us, after the execution of the order.
- (6) I/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) I/We state that the irrevocable authority granted hereby shall in no way effect or exempt me/us from any inability as stated herein towards the Capital TRUST Securities (Pvt) Ltd arising from or consequent upon any such default.
- (8) I/we agree to any delayed payments being subject to additional interest cost on the consideration and agree to it being debited to my/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) I/We declare and agree that Capital TRUST Securities (Pvt) Ltd may at any time and its absolute discretion suspend or close my/our account provided a reason is given thereof in writing.
- (10) If any un-authorized purchases/sales have been made in my/our CDS account, I/we undertake to complain to the Compliance Officer of Capital TRUST Securities (Pvt) Ltd within fourteen (14) days in writing. I/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) I/We declare that in the event of a variation of any information given to the CDS or in this Client's Registration Form I/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.

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

Applicant **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 true and correct.

I here by confirm that I have clearly explained the Risk Disclosure (clause no. 12) to the applicant/s and I invited the applicant/s 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: