

Application for Opening of Securities Account (For Companies)

Authorized
Signature and
Stamp of
Participant

Assigned Client ID (Office Use Only)

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NAME OF COMPANY :

REGISTERED ADDRESS :

CORRESPONDENCE ADDRESS :

DISTRICT :

NATURE OF THE ENTITY (Please mark placing a ✓)

Private limited liability company <input type="checkbox"/>	Global / regional fund <input type="checkbox"/>
Public limited liability company <input type="checkbox"/>	Statutory board <input type="checkbox"/>
Local fund <input type="checkbox"/>	A body established under an act of parliament <input type="checkbox"/>
If listed please specify:	Other (please specify) :

DATE OF INCORPORATION:

 PLACE OF INCORPORATION:

REGISTRATION NO :

 BROKER'S CODE :

PERSON(S) AUTHORIZED TO GIVE INSTRUCTIONS TO THE CDS
(Please attach a duly certified copy of Power of Attorney/ Board Resolution – if applicable)

NAME/S & DESIGNATION		Signature/s
TELEPHONE		
FAX		
MOBILE/S		
E-MAIL	<p>Please place the signature/s to receive CDS account statements via email. Please state a general corporate e-mail for this purpose. If you require to receive CDS account statements pertaining to your CDS account in printed form, please submit a request in writing to the CDS after subscribing for the e-Statement.</p>	

BANK DETAILS TO REMIT DIVIDENDS & COUPONS (Non Resident Applicants shall state their SIA details)

Bank Code	Branch Code	Account No.
<table border="1" style="width: 100%; height: 15px;"></table>	<table border="1" style="width: 100%; height: 15px;"></table>	<table border="1" style="width: 100%; height: 15px;"></table>

1. We hereby request you to open and maintain a Securities Account and to act as our depository in relation to the Securities Listed on the Colombo Stock Exchange that may be deposited in our Securities Account from time to time.
2. We have received a copy of the Rules for operation of the Securities Account (Conditions). We agree that the Securities transactions will be carried out and Securities Account will be operated in accordance with the Automated Trading Rules of the CSE and CDS Rules in force from time to time. Terms defined in the conditions and used in this Application Form shall have the same meanings.
3. We hereby authorize you to accept delivery of the Securities that may be delivered to you from time to time for deposit into the Securities Account. We hereby represent and warrant that we have good title to such Securities and that the participant making such deposit is lawfully entitled and duly authorized to do so.
4. We hereby confirm that our Participant has full authority to deposit any Securities into the Securities Account, to withdraw any Deposited Securities on our behalf and to accept the delivery of Securities certificates and other documents from you on our behalf.
5. We hereby acknowledge that, in the event we have provided an email address on the Form, the CDS Account Statements pertaining to our CDS Account will be sent to the email address provided therein. We confirm that any change in our e-mail address or any request in writing for discontinuation of this service will be immediately communicated by us in writing to the CDS through our participant.
6. We undertake to give you and our Participant (Stockbroker/ Custodian Bank) notice in writing of any change of the particulars given above. We enclose:
 - i. a copy of our Certificate of Incorporation.
 - ii. a copy of our Articles of Association / Constitutional document.
 - iii. a certified copy of the resolution passed by our Board of Directors, as set out below.

CERTIFICATE OF RESOLUTION

I hereby certify that the following resolution of the Board of Directors of _____
Was passed at a duly convened meeting of the Board held on _____ at which the quorum was present.

"IT WAS RESOLVED that a Securities Account for the Company be opened with the Central Depository Systems (Pvt) Ltd., ('Depository') and be operated in accordance with the Terms and Conditions of the Depository in force from time to time"

Certified true extract of minutes

DIRECTOR / SECRETARY

Continued

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)

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.....

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? Yes No

<i>(Please mark placing a √)</i>	Yes	No
If yes, FATCA declaration has to be submitted along with application form.	<input type="checkbox"/>	<input type="checkbox"/>
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

<i>(Please mark placing a √)</i>	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

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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)

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Continued...

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 deflect 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:
- 11. 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

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.