

APPLICATION OF OPENING SECURITIES ACCOUNT (FOR COMPANIES)

PERSONAL DATA											
Name of Company											
Address											
Tel No											
Fax											
	Public Private										
Company Registration No	Fill Fill Fill Fill Fill Fill Fill Fill										
Date of Registration	E - mail										
Nature of Business											
	BANK ACCOUNT										
Bank	Branch										
Type of Account	Account No										
	PRESENT BROKERS (if any)										
	MAILING INSTRUCTIONS (Please tick)										
Please post our correspondence to our office Cheques to be kept at your office Posted to our office INTRODUCED BY											
We hereby declare that	the information given above is true and correct.										
Director	Director (Company Seal)										
Authorized Signature											
Date	Date										
Application handed over	ron										



CLIENT AGREEMENT – COMPANY

THIS	AGREEMENT is made and entered into at	on this	day of	20,
by ar	nd between; ASIA SECURITIES (PVT) LTD. a Compa	any registered under th	ne Companies act No. 7 of	2007, bearing
Regis	stration No. PV 1924 and having its Registered	Office or Principal	Place of Business at N	o. 176/1-2/1,
Thim	birigasyaya Road, Colombo 05, Sri Lanka in the said l	Republic (hereinafter re	eferred to as the 'BROKER'	which term or
expre	ession shall where the context so require or admit n	nean and include the	said ASIA SECURITIES (PVT) LTD, its
succe	essors and permitted assigns of the FIRST PART			
	a	Company Registered	in Sri lanka hearing Rec	nistration No
	having its Registered Offic		170	7.0
	(hereinafter referred to as the			
NOW	/THIS AGREEMENT WITNESSETH			
1)	Both Parties agree and undertakeis to notify the	e other in writing in the	ne event of any material of	hange to the
8	information provided by either PARTY to each other	er at the time of entering	into this agreement.	ēs .
2)	The CLIENT hereby undertake/s to comply with	the Rules that are rele	vant to the CLIENT in the	Stock Broker
	Rules of the Colombo Stock Exchange (CSE) and	the relevant Rules of	the Central Depository Sys	stem (Pvt) Ltd
	(CDS).			
3)	This agreement shall be governed by, and constru	ed in accordance with t	he laws of Sri Lanka.	
Serv	ices			
	The broker is a member of the CSE and licensed	by the Security Excha	ange Commission of Sri La	anka (SEC) to
	operate as a Stock Broker and provide Investment	advice to its clients.		
	nature/s of Directors		Signature of the A	dvisor
	operate as a Stock Broker and provide Investment	. Ita	,	

The Brokerage / other Fees / Charges / Incentive Scheme payable and / or charged to the Client.

- Brokerage applicable at 0.64% (i)
- Statutory return charge 0.48%. (ii)
 - $\label{lem:charge-Varies} Cheque \, return \, Charge-Varies \, according \, to \, the \, respective \, banks.$
- (iii) All Investment Advisors are eligible for an incentive scheme as stipulated by the Company.

Risk D	Disclosure Statement
i)	The price 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.
ii)	This risk Disclosure Statement was explained to me/ us and I / we having read the risk disclosure statement accept that such risk and sign hereto.
iii)	I hereby declare and state that I have clearly explained the risk disclosure statement to the client.
	ture/s of the Director/s sany seal) Signature of the Advisor
Other	services
i)	Research – applicable / not applicable
BUYE	R IN DEFAULT:
i)	When the buyer fails to make payment by 0900 hours on the settlement date, which is T + 3 $$
ii)	The broker Firm may, at its absolute discretion, recover interest commencing from the day after the settlement date up to the date of final settlement. An Interest charged should not exceed 0.1% per day.
iii)	The buying Stockbroker Firm may set off any amounts due from the buyer, against sales proceeds due to the buyer.
iv)	The BROKER at their absolute discretion and at my / our risk may sell and / or transfer any or all of the shares of securities in any Company whatsoever from time or at any time registered in my / our Securities Account to be opened and maintained by the BROKER at the central Depository System (Pvt) Limited in order to make good and compensate for any loss or damages incurred or sustained by the BROKER as a result of my / our default (for whatsoever reason) in making any payment lawfully due to the BROKER (on account of any transaction pertaining to the said Securities Account) on the settlement date.
respec	uthority is given to the Stockbroker by me/ us in addition to the right of BROKER to sell the specific securities in to of which I / we am / are in default and generally to other rights, powers and remedies available to the BROKER the prevailing laws, rules and regulations of Sri Lanka
	IT COMPLAINTS aints relating to a particular transaction/s, shall be first referred by the client to the Compliance Officer in writing.

within a period of three (3) months from the date of the transaction/s.

Signature/s of the Director/s (Company seal)	Signature of the Authorised Representatives of the BROKER

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.

2. Expected value of Investment per annum (Please mark placing a \$\sqrt{\gamma}\$) Less than Rs. 100,000	Less than Rs. 100,000						••••	•••••		•••••	• • • • •		••••				• • • • •
Less than Rs. 100,000	Less than Rs. 100,000			•••••	•••••		••••			••••			••••		••••	•••••	••••
Rs 100,000 to Rs 500,000	Rs 100,000 to Rs 500,000	2. Expected value of In	vestment	per annu	ım (Plea	se mark	plac	ing a	ı√)								
Rs 500,000 to Rs 1,000,000	Rs 500,000 to Rs 1,000,000 Rs 3,000,000 to Rs 4,000,000 Over Rs 10,000,000	Less than Rs. 100,000		Rs 1,000,00	00 to Rs 2	,000,000			R	s 4,000	0,000	to Rs	5,00	0,00	0		
3. Source of funds (Please mark placing a 1) Business Ownership	3. Source of funds (Please mark placing a 1) Business Ownership	Rs 100,000 to Rs 500,000		Rs 2,000,00	00 to Rs 3	,000,000			R	s 5,000	0,000	to Rs	10,0	00,0	00		
Business Ownership	Business Ownership Investment Proceeds/ Savings Commission Income Business Turnover Sale of Property/ Assets Export proceeds Investments Gifts Profits Contract Proceeds Donations / Charities (Local / Others (Specify) Ves Are you a US Person in terms of the Foreign Account Tax Compliance Act (FATCA) of the US? (Please mark placing a v) 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 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.), 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. If "Yes" please clarify Teys" please clarify Professional activities Participant (Stockbroker/Custodian Bank) NAME/S & DESIGNATION Preson(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank) NAME/S & DESIGNATION Preson(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank) Preson(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank) Preson(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank) Preson(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank) Preson(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank) Preson(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank) Preson(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank) Preson(s) authorized to give instructions to the Participant (Stockbroker/Custodian Bank) Preson(s) authorized to give ins	Rs 500,000 to Rs 1,000,000		Rs 3,000,00	00 to Rs 4	,000,000			O	ver Rs	10,0	00,00	0				
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Business Turnover Sale of Property/ Assets Export proceeds Investments Gifts Profits Contract Proceeds Donations / Charities (Local / Others (Specify) Foreign) 4. Are you a US Person in terms of the Foreign Account Tax Compliance Act (FATCA) of the US? (Please mark placing a \(\sqrt{y} \) 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 undertake to inform the said fact to the Participant immediately 5. Politically Exposed Persons (PEPs) (Please mark placing a \(\sqrt{y} \) 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. 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	Business Turnover Sale of Property/ Assets Export proceeds		se тагк ріа		. D	1 / 0 .				~		·					
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8 Other remarks / notes (if any)	8. Other remarks / notes (if any)	E-MAIL															
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Authorized **Application for Opening of Securities Account (For Companies)** Signature and Stamp of **Assigned Client ID (Office Use Only)** Participant NAME OF COMPANY REGISTERED ADDRESS CORRESPONDENCE: ADDRESS **DISTRICT:** NATURE OF THE ENTITY (Please mark placing a $\sqrt{}$) Private limited liability company Global / regional fund Public limited liability company Statutory board Local fund A body established under an act of parliament If listed please specify: Other (please specify): PLACE OF INCORPORATION: DATE OF INCORPORATION: D/MM/**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 TELEPHONE FAX MOBILE/S E-MAIL 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. Signature/s BANK DETAILS TO REMIT DIVIDENDS & COUPONS (Non Resident Applicants shall state their SIA details) Bank Code Branch Code Account No. 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. 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. 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. 3. 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. 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: a copy of our Certificate of Incorporation. a copy of our Articles of Association / Constitutional document. ii 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

"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

Was passed at a duly convened meeting of the Board held on

the Terms and Conditions of the Depository in force from time to time

DIRECTOR / SECRETARY

Certified true extract of minutes

at which the quorum was present.

Form 2 B

NOTE: This application should be submitted through your Participant

Authorized
ignature and
Stamp of
Participant

		ository Systems (Pvt.) Ltd., World Trade Centre, Echelon Squa	are, Colombo 01.	
We _			DECLARATION	
		(Name of Corporate Body)	
incorp	oorated / esta	ablished under		
having in con	g its registere	ed office at the Central Depository System	ns (Pvt.) Ltd. (CDS) agreeing to open a Se	curities Account, hereby declare as follows:
1. (i)			us in the CDS shall be maintained for our b	•
(.)			Or;	
(In (ii)	The S			e clause 1(ii) below.) or the benefit of the following persons in our capacity
	1.	Name	Address	Nationality
	2.			
	3			
(iii)	We, in ou addresses	r capacity as Custodian / Tru and nationalities pertaining to		ager shall maintain all information such as names and undertake to promptly release to the CDS & the
2.		ation and the documents attac to them to hide or deflect true		on and no alteration, modification or falsification was
3.				on and other information submitted by us along with Participant in writing within fourteen (14) days of such
4.			se of securities through the Securities Acty or funds generated through the financing	count to be opened with the CDS will not be funds g of terrorist or any other illegal activity.
5.	 e Engagin unlawful e Receivir any other any unlawful e Any other any unlawful 	country in connection with the fig directly or indirectly in any transition and the proceeds of the proceeds of the proceeds of the proceeds of the proceeding, dispersion and the proceeding, dispersion and the proceeding of the	ollowing offences: cansaction in relation to any property which of any unlawful activity as defined by the Fil eposing, of or bringing into Sri Lanka or into is derived or realized, directly or indirectly or	tribunal or administrative authority in Sri Lanka or in a service of realized directly or indirectly, from any nancial Transactions Reporting Act No. 6 of 2006; any other country, or for investing in Sri Lanka or in any unlawful activity or from the proceeds of the Money Laundering Act No.5 of 2006 and any
6.		v further declare that we are pe Bri Lanka or in any other countr		criminal convictions in relation to the offences stated
7.	or persons	connected and/or associated		rartner, shareholder, director) do not have against us nal proceeding in Sri Lanka or in any other part of the
	•			
	•			
	•			
8.			her relevant documentation to open a CI usly by any other Participant of the CDS.	OS account has not been refused or any business
9.	matter thro institution l such accor	ough publicly available informathaving to comply with the laws/	tion or otherwise) which would in the opinion fregulations of Sri Lanka pertaining to trans a authorized to unilaterally terminate all dep	ats made by us herein to the contrary, (or any suction of the CSE/CDS be detrimental to the CDS as an actions of its account holders or parties connected to existery and such other services connected to us and
10.	We declare	e that the information set out be	elow is true and accurate and our investme	nts will be in accordance with such information:
We he	reby confirm		KVC Profile /Form 2 A\ and the Declaration /	Form 2 B} have been duly read over and understood by
We fur B}.	us - the	prior to signing. information provided by us in th	e said Form 2, along with the KYC Profile {Fo	rm 2 A} and the Declaration {Form 2 B} is accurate. In the KYC Profile {Form 2 A} and the Declaration {Form 2
		Seal and signature/s of Director/s rticles of Association)	*Strik	e out whichever is inapplicable.
This _	day	of20	# Pai	rticipant means, your Stockbroker or Custodian Bank.

APPENDIX I – Beneficial Ownership Form

This form has been issued under the Customer Due Diligence Rue No 1 of 2016 issued in terms of	
Section 2(3) of the Financial Transactions Reporting Act of 2006. This form, or an approved equivalent	
required to be completed by all customers of financial institutions designated under the Acts to the b	
their knowledge. The original completed and signed and witnessed version of this form must be retained the financial institution and available to the competent authorities upon request.	inea by
Customer Identification:	
Customer ruentmeation.	
Name and Designation of Natural	
Person Opening Account	
Name, Reg. No. and Address of	
Legal person for Which the	
Account is Being Opened	
Name, Deed No., Trustee and	
Address of Legal arrangement for	
Which the Account is Being	
Opened	
I declare that I:	
\square am the beneficial owner ² of the customer for this account.	
am not the beneficial owner* of the customer of this account. Complete identifying information	for
am not the beneficial owner* of the customer of this account. Complete identifying information all beneficial owners that own or control 10% or more of the customer's equity, beneficial owners.	
	ers on
all beneficial owners that own or control 10% or more of the customer's equity, beneficial own	ers on
all beneficial owners that own or control 10% or more of the customer's equity, beneficial own whose behalf the account is being operated, and at least one person who exercises effective con	ers on
all beneficial owners that own or control 10% or more of the customer's equity, beneficial own whose behalf the account is being operated, and at least one person who exercises effective con	ers on
all beneficial owners that own or control 10% or more of the customer's equity, beneficial own whose behalf the account is being operated, and at least one person who exercises effective con	ers on
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all beneficial owners that own or control 10% or more of the customer's equity, beneficial own whose behalf the account is being operated, and at least one person who exercises effective con	ers on

Declaration of Beneficial Ownership

² beneficial owner as "a natural person who ultimately owns or controls a customer or the person on whose behalf a transaction is being conducted and includes the person who exercises ultimate effective control over a person or a legal arrangement."

	Name	NIC or	DOB	Current Address	Source of Beneficial	Check if				
		Passport #			Ownership	Politically				
		/Country of			(1=Equity (indicate %),	Exposed				
		Issue/Country			2=Effective Control, 3=Person on Whose Behalf	Person				
		of Citizenship				(PEP) ³				
					Account is Operated)					
Detai	ls of the Customer A	uthorized to A	Act on	Behalf of Entity		-				
Name	:									
NIC/F	Passport :									
Date of	of Birth :									
Signature:										
(By si	(By signing you attest to the veracity of all information contained herein and you acknowledge and understand the above warning)									
Verification of Beneficial Ownership										
Vermention of Denement Ownership										
Autho	orized Financial Inst	titution Officia	ıl							
Name	:									
Title:										
Date:										
Signature and Seal:										
	(by signing, you attest that you have identified the Customer whose signature is on this form and have witnessed said signature)									

³ politically exposed person" means an individual who is entrusted with prominent public functions either domestically or by a foreign country, or in an international organization and includes a Head of a State or a Government, a politician, a senior government officer, judicial officer or military officer, a senior executive of a State owned Corporation, Government or autonomous body but does not include middle rank or junior rank individuals