

CLIENT INFORMATION

MR./ MRS./ MISS./ OTHER (Please Specify):

FULL NAME (In Capital) Surname:

Other Names:

ADDRESS Home:

Office:

DESIGNATION:

TELEPHONE NUMBERS:

E-MAIL ADDRESS:

NIC / PASSPORT NO.:

INVESTMENT DECISION (Please tick as appropriate)

- a. Discretionary basis
- b. Non-discretionary basis

IDENTITY CARDS OR PASSPORT CARDS

- a. All accounts have to be opened with a copy of identity card or passport.
- b. Originals of identity cards or passport have to be tendered to us for inspection.
- c. If originals are not tendered to us, the photocopy if the relevant document has to be certified by a Registered Justice of Peace (J.P.), as being a True and Certified copy.
- d. If (c) above is applicable, a Copy of the J.P.s' letter of appointment, duly certified is also required.

UTILITY BASIS

An Original Utility Bill or Certified Copy has to be submitted to us, as proofs of Residency, in order to open a Securities Account.

CERTIFICATES LODGED FOR SALE

- a. To be submitted with the appropriate Documentation to our office
- b. If sent by a 3rd party, all letters of Authority are required

PAYMENT IN THE EVENT OF PURCHASE

- a. A 50% Deposit of the Value of Shares to be purchased has to be paid to us in the Date of Sale

- b. For subsequent Purchase Transactions, the Value of Shares purchased each time cannot exceed 50% of the total value of shares in your account.
- c. All purchases have to be settled no later than 3rd market day after the said purchases i.e. T+3
- d. In the event of the purchases remaining unsettled after T+3, the broker has the discretion to sell the said purchased shares from your account, in order to recover monies due, as per the Rules & Regulations of the Colombo Stock Exchange.
- e. In the event of (d) above, any shortfall arising out of the sale of shares not paid for by you, will be met by the sale of other shares from your account.

PAYMENT IN THE EVENT OF SALE (tick as appropriate)

- a. Collection of Sales Proceeds to be made by client
- b. To be posted
- c. Collection by a 3rd party

In the event of (c) above, a letter of Authority is required from the client.

APPLICABLE CHARGES

The charges applicable on a purchase and / sales transactions, are that which appear on the Contract Notes ONLY. i.e.

- A. Full Face Value of Transaction (No. Of Shares * Price Per Share)
- B. SEC Fees
- C. CSE Fees
- D. CDS Fees
- E. STL Fees (Special Transaction Levy)
- F. BROKERAGE (Standard rates apply)

In the event of a Purchase Transaction, the Total cost applicable is,

RISK DISCLOSURE STATEMENT

The prices of securities fluctuate, sometimes drastically. The price of a security may move up or down, and may even be come valueless. It is likely that losses may be incurred rather than profits made as a result of buying and selling securities.

DECLARATION BY THE STAFF

I hereby confirm, the risk disclosure statement has clearly explained to the client and invited the client to read the risk disclosure statement, ask questions and take independent advice if the client wishes.

.....
Signature (Investment Advisor)

.....
Date

I hereby confirmed, the risk disclosure statement has clearly explained to me by
(Investment Advisor) and I was invited to read the risk disclosure statement, to ask questions and take independent
if I wishes.

.....
Signature (Client)

.....
Date

INTRODUCED BY :

Date

N.B. ALL INFORMATION CONTAINED IN THIS FORM, AND INFORMATION REQUIRED IN THIS
FORM ARE AS PER RULES AND REGULATIONS OF THE COLOMBO STOCK EXCHANGE AND
SECURITIES & EXCHANGE COMMISSION OF SRI LANKA