

NOTE: This application should be submitted through your Participant

CDS 2

TO: The Central Depository Systems (Pvt) Ltd.
04-01, West Block, World Trade Centre,
Echelon Square, Colombo 1.

Authorized
Signature and
Stamp of
Participant

Application for Opening of Securities Account (For Companies)

Particulars of Depositor (i.e Applicant)

NAME OF COMPANY : [Grid]

ADDRESS : [Grid]

CORRESPONDENCE ADDRESS : [Grid]

DATE OF INCORPORATION : [Grid] PLACE OF INCORPORATION: [Grid]

REGISTRATION NO : [Grid]

BROKER'S CODE : [Grid]

NAME OF PERSON(S) AUTHORIZED TO GIVE INSTRUCTIONS : [Grid]

(please attach a copy of power of attorney - if applicable)

DETAILS OF SIERRA ACCOUNT (to be completed by Non Resident Applicants)

NAME OF BANK/BRANCH : [Grid]

SIERRA ACCOUNT NO : [Grid]

- 1. We hereby request you to open and maintain a Securities Account and to act as our depository in relation to the Shares 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 Account will be operated in accordance with the conditions 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 Shares 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 Shares 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 Shares into the Securities Account, to withdraw any Deposited Securities on our behalf and to accept the delivery of share certificates and other documents from you on our behalf.
5. We undertake to give you and our Participant 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 Memorandum & Articles of Association.
iii. a certified copy of the resolution passed by our Board of Directors, as set out below.

for and on behalf of Depositor

Date : _____

AUTHORISED SIGNATORY / SIGNATORIES

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

FOR OFFICE USE ONLY

ASSIGNED CLIENT ID NO : [Grid]

Receiving Officer's Signature

Authorized Signature and Stamp of Participant

TO : The Central Depository Systems (Pvt) Ltd.
04-01, West Block, World Trade Centre,
Echelon Square, Colombo 1.

DECLARATION FORM

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 in our name, hereby declare as follows:

- * a) The securities to be purchased through the Securities Account to be opened by us in the CDS is for our benefit only.
- * b) The securities to be purchased through the Securities Account to be opened by us is for the benefit of _____ and _____ in our capacity as Custodian / Trustee / Fund Manager / Unit Trust manager / Foreign Broker / Foreign Dealer.
- * c) We the Custodian / Trustee / Fund Manager / Unit Trust management Company / Foreign Broker / Foreign Dealer, opening the Securities Account for the benefit of the respective beneficiaries, maintain all information pertaining to the ultimate beneficiaries of the account and undertake to promptly release such information, pertaining to the beneficiaries, to CDS at any time, if required by the CDS.
- d) 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.
- e) In the event of a variation of any information given in the CDS Form 2, this Declaration and other information submitted by us along with the application to open a CDS Account, we undertake to inform the CDS in writing within fourteen (14) days of such variation.
- f) 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.
- g) 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:
 1. 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;
 2. 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
 3. 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.
- h) 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.
- i) We or any persons(s) associated with us and/or any entity connected to us (as a partner, shareholder, director) 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);
 1. _____
 2. _____
 3. _____
 4. _____
- j) 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.
- k) 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.

We hereby confirm that the paragraphs "a" to "k" above have been duly read over and understood by us prior to signing this Declaration.

(Place the Company seal and signature/s of Director/s
as required by the Articles of Association)

This _____ day of _____ 20____

* Delete whichever is inapplicable

John Keells Stock Brokers (Pvt) Ltd.

Company Registration No. PV 89
 130 Glennie Street, Colombo 02, SRI LANKA
 Tel. +94 11 2439047/8, 2446694/5, 2338066, 2342066/7, 4 710721-4, FAX: +94 11 2342068/ 2326863
 e-Mail : jkstock@keells.com ; web : www.jksb.keells.lk , www.jksb.com

Opening of Securities Account for Companies

Company Details (Applicable only for Company / Institutional account openings)

Company Name :

Date and Place of Incorporation :

Company Registration Number :

Mailing / Contact Details

Registered Address :

 Post Code :

Address for Correspondence (where different from the address above) :
 Post Code :

Telephone Number(s) :

e-Mail :

Bank Account Details (Non Resident Applicants should complete with SIERA Account Details)

Name of Bank :

Name of Branch :

Address of Bank :

Account Number :

Name & Address of Person(s)/Institution authorized to give instructions on behalf of the Applicant (Please attach a copy of the Power of Attorney /Board Resolution)

Name of Institution :

Contact Person's Name :

Address :

Authorised Signatures

(Place the Company Emboss Seal and signature/s of Director/s as required by the Articles of Association)

For Office Use Only

Investment Advisor's Name	Investment Advisor's Signature	Data Processing Unit	Date

DECLARATION FORM

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 in our name, hereby declare as follows:

- *a) The securities to be purchased through the Securities Account to be opened by us in the CDS is for our benefit only.
- *b) The securities to be purchased through the Securities Account to be opened by us is for the benefit of And in our capacity as Custodian / Trustee / Fund Manager/ Unit Trust Manager / foreign Broker / foreign Dealer.
- *c) We the Custodian/Trustee/Fund Manager/Unit Trust Management Company/foreign Broker/foreign Dealer, opening the Securities Account for the benefit of the respective beneficiaries, maintain all information pertaining to the ultimate beneficiaries of the account and undertake to promptly release such information, pertaining to the beneficiaries to CDS at any time, if required by the CDS.
- d) 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.
- e) 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 reflect true facts.
- f) In the event of a variation of any information given in the CDS Form 2, Addendum to CDS Form 2, this Declaration and other information submitted by us along with the application to open the CDS Account, we undertake to inform the CDS in writing within fourteen (14) days of such variation.
- g) 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:
 - i.) 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;
 - ii.) 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
 - iii.) 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.
- h) 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.
- i) We or any persons(s) associated with us and/or any entity connected to us (as a partner, shareholder, director) 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);
- j) 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.
- k) 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.
- l) We hereby request JKSB to open and maintain a Securities Account in our name and to act as our **Stock Broker** in relation to the shares listed on the Colombo Stock Exchange (**CSE**).
- h) We agree that the Securities Account will be operated in accordance with the Conditions in force from time to time and terms defined by the company in order to confirm and comply with the rules and regulations of the CSE and the Securities and Exchange Commission of Sri Lanka (**SEC**)
- m) We hereby authorize JKSB to accept instructions pertaining to my Securities Account, via Telephone, Email and Fax.
- n) We hereby authorize JKSB to accept the shares that may be delivered to JKSB from time to time for deposit into the Securities Account at the Central Depository Systems (Pvt) Ltd (**CDS**).
- o) We hereby represent and warrant that, We have good title to such shares and that JKSB making such deposit is lawfully entitled and duly authorized to do so.
- p) We hereby confirm that JKSB has full authority to dispose any shares held in our securities account to recover unsettled debts that may arise in the process of share transactions.

We hereby confirm that the paragraphs "a" to "p" above have been duly read over and understood by us prior to signing this declaration.

* Delete whichever is inapplicable.

Signature:
(Please place two Directors signatures on company emboss seal and rubber stamp.)

This.....day of..... 20.....

Note: This form should be completed and retained by the Member Firm in accordance with FIU regulations

Know Your Customer (KYC) Form For Non Individuals Only

This information is sought under the Prevention of Money Laundering Act No: 6 of 2005, Financial Transaction Reporting Act No. 6 of 2006 and the Rules for the Securities Industry issued by the Financial Intelligence Unit of the Central Bank of Sri Lanka.

All the information as applicable in sections A,B, and C below is mandatory for the Applicant and section D should be completed by the authorised person(s) if applicable.

Name of Participant	John Keells Stock Brokers (Pvt) Ltd
Name of the Applicant	
Company Registration No.	
Date	

Section A - Basic Account Information

1. Nature of the entity: Please tick (✓)

<input type="checkbox"/> Limited Liability Company	<input type="checkbox"/> Public Limited Company
<input type="checkbox"/> Global & Regional Fund	<input type="checkbox"/> Local Fund
<input type="checkbox"/> Statutory Body	<input type="checkbox"/> A Body established under An Act of Parliament
<input type="checkbox"/> A Body establishment under An Act of Parliament	<input type="checkbox"/> Other (Please specify)

2. Status: Please tick (✓)

<input type="checkbox"/> Local	<input type="checkbox"/> Foreign
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3. a) Whether Listed in on CSE : Please tick (✓) Yes No

b) Whether Listed on other Stock Exchange : Please tick (✓) Yes No

If Listed Please specify:

Section B - Address & Contract Details of the Applicant:

Contact Details

- a) Name of the Key Contact Person
- b) Telephone No. (Office)
- c) Telephone No (Residence)
- d) Mobile Number
- e) Fax Number
- f) E-mail address

Continued Overleaf

Section C - Other Details

1. Nature of Business (Products / Service Provide):

2. Expected Value of Investment per annum: Please tick(✓)

- | | | |
|---|---|---|
| <input type="checkbox"/> Less than Rs. 100,000 | <input type="checkbox"/> Rs. 100,000 to Rs. 500,000 | <input type="checkbox"/> Rs. 500,000 to Rs. 1,000,000 |
| <input type="checkbox"/> Rs. 1,000,000 to Rs. 2,000,000 | <input type="checkbox"/> Rs. 2,000,000 to Rs. 3,000,000 | <input type="checkbox"/> Rs. 3,000,000 to Rs. 4,000,000 |
| <input type="checkbox"/> Rs. 4,000,000 to Rs. 5,000,000 | <input type="checkbox"/> Rs. 5,000,000 to Rs.10,000,000 | <input type="checkbox"/> Over Rs. 10,000,000 |

3. Source of Funds: Please tick(✓)

- | | |
|--|---|
| <input type="checkbox"/> Business Ownership | <input type="checkbox"/> Investment |
| <input type="checkbox"/> Sales and business turnover | <input type="checkbox"/> Contact Proceeds |
| <input type="checkbox"/> Sale of Property/Assets | <input type="checkbox"/> Gift |
| <input type="checkbox"/> Commission Income | <input type="checkbox"/> Export Proceeds |
| <input type="checkbox"/> Investment Proceeds/Savings | <input type="checkbox"/> Profits/Revenue |
| <input type="checkbox"/> Donations/Charities (Local/Foreign) | |
| <input type="checkbox"/> Others (Specify) | |

4. Other Connected Business/Professional activities & Business interests

.....

5. Other Details/Remarks/Notes: (if any)

.....

Section D - Authorised Signatories Details

of The Person	Capacity
1.	
2.	
3.	

.....
 Signature of the Applicant/Authorised Person

INFORMATION TO BE SUBMITTED BY APPLICANTS TO OPEN A CDS ACCOUNT

Corporate Bodies

- a) Full name of the Corporate Body (Company/Statutory Body/a Body established under an Act of Parliament/Society.)
- b) Registered Address.
- c) Address for correspondence (if different from Registered Address.)
- d) Place of Incorporation / place where established.
- e) SIERA Account details (where the applicant is a Non Resident.)
- f) Names, addresses, National Identity Card/Passport number/s and occupations of Directors. (If the company is listed in a Stock Exchange only the names should be given. Proof of such listing should be submitted in that event)

If the Director/s is/are also a company, the following information on such Director company should be given:

- i) Name of the company.
- ii) Date of Incorporation.
- iii) Place of Incorporation.
- iv) Registered Address.

If an authorized person is signing the CDS application form on behalf of the applicant company, a copy of the Board Resolution/Power of Attorney authorizing such person to sign on behalf of the Company and a copy of National Identity Card/Passport of such person should be submitted.

- g) Names and addresses of top 10 shareholders/members. (Not applicable if the Company is listed in a Stock Exchange.)
- h) Name of person/s authorized to give instructions with a copy of the Power of Attorney/Board Resolution.
- i) Copies of following documents:
 - i) Memorandum & Articles of Association or corresponding document.
 - ii) Certificate of Incorporation or corresponding document.
 - iii) Where the applicant is a Non-Resident, a copy of the Certificate of Good Standing issued by the Registrar of Companies/applicable authority where the Company is incorporated.
 - iv) Certified extract of the resolution to open the CDS account (in the alternative, the resolution may be certified in the CDS Account Opening Application itself). Where the application is titled in the names of the 'Registered Holder/Global Custodian/Beneficiary' and forwarded through a Custodian Bank, a copy of the SWIFT message or similar document issued by the Global Custodian instructing the local Custodian Bank to open the account on behalf of the beneficiary Company should be submitted together with a declaration from the Global Custodian that a Custody arrangement or agreement exists between the Global Custodian and the beneficiary.
 - v) Certificate to commence business. (where relevant.)
- j) Complete the attached Know Your Client form (KYC) submitting details that are true and accurate.
- k) A declaration that the securities to be purchased through the CDS Account to be opened would be for the benefit of the applicant only and for no other beneficial owner/s. In the alternative, if the applicant (Corporate Body) is a fund management company, Unit Trust, foreign Broker/Dealer or a Corporate Body acting in the capacity of a Trustee, a declaration that the account is opened for the benefit of beneficiaries, and declares the names, addresses and the nationalities, where the number of beneficiaries is up to three (3) only. If above such number, a declaration that information such as names, addresses & nationality pertaining to the ultimate beneficiaries of the account are maintained with the applicant and an undertaking to release such information to CDS at any time upon request by the CDS. (The said declaration may be given by the beneficiary Company, the Global Custodian or the local Custodian Bank.) [CDS 2(A)]
- l) A declaration that the funds to be invested through the CDS will not be funds generated from any money laundering activity nor funds generated through the financing of terrorist or any other illegal activity. (The said declaration may be given by the beneficiary Company, the Global Custodian or the local Custodian Bank.) [CDS 2(A)]
- m) A declaration that all the information given are true and accurate, and that no alteration, modification was made to the said information to hide or reflect true facts. [CDS 2(A)]
- n) A declaration that in the event of a variation of the information submitted to CDS, the applicant would inform the CDS, in writing, within 14 days of such change. (The said declaration may be given by the beneficiary Company, the Global Custodian or the local Custodian Bank.) [CDS 2(A)]

INFORMATION TO BE SUBMITTED BY APPLICANTS TO OPEN A CDS ACCOUNT(Continuation)

Funds approved by SEC

- a) A copy of the approval granted by the SEC.
- b) Duly completed Declaration Form [CDS 2(A)] and Addendum to CDS Form 2 [CDS 2(B)]

Certification

All supporting documents to be submitted to the CDS should be certified or attested or authenticated for purposes of

a) **Certification for Non Resident Applicants**

- 1) By the Company Registry where the documents were originally issued (applicable for Corporate Bodies), or
- 2) By a Sri Lankan diplomatic officer or Sri Lankan consular officer in the country where the documents were originally issued, or
- 3) By a Solicitor, Attorney-at-Law, Notary Public, practicing in the country where the applicant resides, or
- 4) Custodian Bank, or
- 5) Global Custodian – The Custodian Bank should certify the authenticity of the signature of the Global Custodian or
- 6) Broker. (Applicable only in respect of Individuals.)

b) **Certification for Resident Applicants**

- 1) Registrar of Companies or the Company Secretary (applicable in respect of Corporate Bodies), or
- 2) Attorney-at-Law / Notary Public, or
- 3) Broker, or
- 4) Custodian Bank.

NOTE:

The person certifying should place the signature, full name, address, contact telephone numbers and the official seal. (Not applicable for Brokers, Custodian Banks and Global Custodians).



John Keells Stock Brokers (Pvt) Ltd.

Company Registration No. PV 89

130, Glennie Street, Colombo 2, Sri Lanka.

Tel: (+ 94 11) 244 6694/5, (+ 94 11) 234 2066/7 Fax: (+ 94 11) 234 2068