



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 Individuals)

Particulars of Depositor/s (i.e. Applicant/s)

Other

TITLE : Mr. Mrs. Miss. Rev. Dr.

LAST NAME :

INITIALS :

NAMES DENOTED BY :

INITIALS :

OCCUPATION :

PERMENANT ADDRESS :

POST CODE :

* NON-RESIDENT / RESIDENT

CORRESPONDENCE :

ADDRESS :

DATE OF BIRTH : NATIONALITY :

Y Y Y Y M M D D

DIVIDEND DISPOSAL :

INSTRUCTIONS :

NAME OF PERSON(S) :

AUTHORIZED TO GIVE :

INSTRUCTIONS :

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

NATIONAL IDENTITY CARD No. (OR SRI LANKAN PASSPORT No. IF N.I.C. No IS NOT AVAILABLE) :

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

NAME OF BANK/ BRANCH :

SIERRA ACCOUNT NO :

1. I/We* hereby request you to open and maintain a Securities Account in my / our* name /s and to act as my / our* depository in relation to the Shares Listed on the Colombo Stock Exchange that may be deposited in my / our* Securities Account from time to time.
2. I/We* have received a copy of the Rules for operation of the Securities Account (Conditions). I/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. I/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. I hereby represent and Warrant that I/We* have good title to such Shares and that the participant making such deposit is lawfully entitled and duly authorized to do so.
4. I/We* hereby confirm that my/our* Participant has full authority to deposit any Shares into the Securities Account, to withdraw any Deposited Securities on my / our* behalf and to accept the delivery of share certificates and other documents from you on my / our* behalf.
5. I/We* undertake to give you and my / our* Participant notice in writing of any change of the particulars given above.

(i) _____ }
 (ii) _____ }
 (iii) _____ }

Signature of Depositor/s

Date : _____

* Delete accordingly

FOR OFFICE USE ONLY

ASSIGNED CLIENT ID NO :

Receiving Officer's Signature

Note: In the case of joint applications, please indicate particulars of the joint applicant/s overleaf.

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

Individuals

Authorized
 Signature
 and
 Stamp of
 Participant

DECLARATION FORM

I/We _____ of _____
 (Full name) (address)
 _____ of _____
 (Full name) (address)
 _____ of _____
 (Full name) (address)

In consideration of the Central Depository Systems (Pvt.) Ltd. (CDS) agreeing to open a Securities Account in my/our name(s), hereby declare as follows:

- * a) The securities to be purchased through the Securities Account to be opened by me/us in the CDS is for my/our benefit only.
- * b) The securities to be purchased through the Securities Account to be opened by me/us is for the benefit of _____ and _____ in my/our capacity as the Trustee.
- * c) I/We being the Trustee, 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 1, this Declaration and other information submitted by me/us along with the application to open a CDS Account, I/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) I/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 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) I/We hereby further declare that I/We am/are person(s) 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) I/We or any persons(s) associated with me/us and/or any entity connected to me/us (as a partner, shareholder, director) have against me/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) I/We declare that my/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) I/We further declare and agree that, should the CSE/CDS determine any statements made by me/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 me/us and recover related costs or other expenses pertaining to this account.

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

 (Signature of the Applicant)

 (Signature of the 1st Joint Applicant)

 (Signature of the 2nd Joint Applicant)

This _____ day of _____ 200—

* Delete whichever is inapplicable

Authorized
Signature and
Stamp of
Participant

**DECLARATION TO BE SUBMITTED BY A NON-RESIDENT SRI LANKAN TO
THE
CENTRAL DEPOSITORY SYSTEMS (PVT) LIMITED (CDS)
(For Individuals)**

I/We

.....

(full name)

Of

.....

(Address)

in consideration of the Central Depository Systems (Pvt) Limited (CDS) agreeing to open a Securities Account in my/our name (s), I/we hereby declare as follows :-

I/We being a non resident/non residents having a CDS account classified as “Foreign Individual Account (FI)” hereby agree that I/we shall comply and continue to comply with the applicable Exchange Control Laws & Regulations and other applicable Laws & Regulations in force from time to time pertaining to the said CDS account and undertake to furnish to CDS all details pertaining to transactions carried out in the FI account at the request of the CDS.

.....

(Signature/s of the Applicant/s)

This Day of 200

Note: To be filled in by the applicant and retained with the Member Firm in Accordance with FIU regulations

Know Your Customer (KYC) Profile

For 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 Primary Applicant only.

Name of Participant	John Keells Stock Brokers (Pvt) Ltd
Name of the Applicant	
Client NIC/Passport Number	
Date	

Section A - Basic Account Information:

Client Type: Please tick (✓)

Individual

Joint

Section B - Address & Contract Details of the Applicant:

1. Proof of Residency documents provided by the Applicant:

(Please submit any one of the following documents and tick (✓) against the Document attached.)

*Telephone Bill

*Electricity Bill

*Bank Account Statement/Credit Card Statement

*Mobile Phone Bill

Valid Tenancy Agreement

*Income Tax Receipt/Assessment Notice

Registered Lease or Sale Agreement of Residency

*Grama Sewake Certificate

*Letter issued by the superintendent of a plantation estate in respect of Estate workers who have no other documentary proof.

*Other notices/letters issued by Government authorities and institutions which will be deemed as acceptable to the CDS.

(Please specify):... ..

*These documents should be within three months as on the date of submission of the CDS Account opening forms.

2. Status of Residency Address: (Premises)

Owner

Lease/Rent

Friends/Relatives

Parent's

Official

Board/Lodging

Other Place - Please Specify

3. Contact Details:

Telephone No. (Office) :

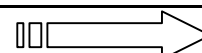
Mobile Number :

Telephone No. (Residence) :

Fax Number :

E-mail Address :

Continued Overleaf



Section C - Other Details

1. Employment Details:

Occupation :
Name of the Organisation :
Address of the Organisation :

2. Self Employment/Professionals:

Nature of Business/Profession:
Registered Address :

3. 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 |

4. Source of Funds: Please tick(✓)

- | | | |
|---|---|--|
| <input type="checkbox"/> Sale and Business turnover | <input type="checkbox"/> Contact Proceeds | <input type="checkbox"/> Investment Proceeds/Savings |
| <input type="checkbox"/> Sale of Property/Assets | <input type="checkbox"/> Gift | <input type="checkbox"/> Membership Contributions |
| <input type="checkbox"/> Commission income | <input type="checkbox"/> Family remittances | <input type="checkbox"/> Export Proceeds |
| <input type="checkbox"/> Salary/Profit Income | <input type="checkbox"/> Donations/Charities(Local/Foreign) | |
| <input type="checkbox"/> Others (Specify) | | |

5. Other Connected Business/Professional activities & Business interests

.....
.....
.....

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

.....
.....
.....

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

INFORMATION TO BE SUBMITTED BY APPLICANTS TO OPEN A CDS ACCOUNT

- a) Full Name. (**CDS1** Should be completed in full, according to the applicant's **National Identity Card** or **Valid Passport**)
- b) Nationality.
- c) Residency. (**CDS1** Delete Accordingly)
- d) Occupation. (**CDS1 B**)
- e) Residential Address. (**CDS1**)
- f) Proof of residency – copy of any utility bill (eg: Electricity, Water, Telephone Bill etc..) or Bank Statement or such other proof received within the last 3 months.
- g) Address for correspondence (if different from Residential Address.)
- h) SIERA Account details (where the applicant is a Non Resident.)
 - i) Resident individuals - Copy of National Identity Card (NIC) or Passport (in the event NIC is not available.) If both NIC/Passport is not available a copy of the Driving License should be submitted, together with an Affidavit confirming the fact that both NIC and Passport are not available. Non Resident individuals - Copy of Passport.
 - j) Name & address of person/s authorized to give instructions if any, on behalf of the Applicant (Please attach a copy of the Power of Attorney, if applicable).
- k) Complete the attached Know Your Client form (KYC) submitting details that are true and accurate.
 - l) 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 is acting in the capacity of a Trustee, a declaration that the account is opened for the benefit of beneficiaries and declare 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. [CDS 1A]
- m) 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. [CDS 1(A)]
- n) 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 1(A)]
- o) 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. [CDS 1(A)]

INSTRUCTIONS / GUIDELINES TO FILL THE FORMS

- i. Necessary signatures of the applicant/applicants' (only for joint accounts) should be placed where indicated **"X"** or **Highlighted**.
- ii. **Two (2) clear copies of National Identity Card** or **Passport** (page pertinent of renewal) should be attached.(If applying for a joint account, clear NIC/Passport copies of all applicants' should be attached.
- iii. If the NIC / Passport gives maiden name and you wish to open the CDS account under married name, a copy of the marriage certificate should be attached.
- iv. If you have share certificates to be lodged, Name and NIC/Passport number should be the same as your CDS Account.
- v. Dividend Disposal Instructions, please give Bank Name, Branch, Branch full address and Bank Account Number.



John Keells Stock Brokers (Pvt) Ltd.

Company Registration No. PV 89

130, Glennie Street, Colombo 2, Sri Lanka.

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