

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)

.....

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? (Please mark placing a √)	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	<input type="checkbox"/>	<input type="checkbox"/>

5. Politically Exposed Persons (PEPs) (Please mark placing a √)	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

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)

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.