



# DECLARATION

Dear Sir / Madam,

## OPENING OF SECURITIES ACCOUNT WITH CENTRAL DEPOSITORY SYSTEM

We hereby request you to open & maintain a Securities Account in our name/s and We,

- Declare that all particulars and information given in this registration form and the CDS application form are true and correct and I have read and understood the Conditions of Sale stipulated by the Colombo Stock Exchanges governing the share transactions, which I will be entering into with CAPITAL ALLIANCE SECURITIES (Pvt) Ltd.
- I /We further Declare that I/We have read and understood the regulations as amended from time to time and issued by the CSE to its member companies with regard to the default contracts governing the share transactions and in the event I fail to make payments for stocks purchased on my behalf , on or before settlement, I /We hereby authorize CAPITAL ALLIANCE SECURITIES (Pvt) Ltd to recover the monies due to them fully or part from the sales proceeds arising from the sale of shares or to sell at its absolute discretion not only the stocks pertaining to the defaulted contracts but also any other stocks fully paid by me lying in my accounts with the CDS, in order to enable CAPITAL ALLIANCE SECURITIES (Pvt) Ltd to recover the monies due to them including interest and other charges. I/We further authorise CAPITAL ALLIANCE SECURITIES (Pvt) Ltd to hold any credit balances in my account with them, and to recover future payments for stocks purchased on my behalf from such credit balances, unless otherwise specific instructions are given by me.
- This authority is given to CAPITAL ALLIANCE SECURITIES (Pvt) Ltd by me in addition to the right of CAPITAL ALLIANCE SECURITIES (Pvt) Ltd to sell the specific securities in respect of which I am in default and generally to other rights, powers and remedies available to CAPITAL ALLIANCE SECURITIES (Pvt) Ltd under the prevailing laws, rules & regulations of Sri Lanka. The authority granted hereby shall in no way affect or exempt me from any liability towards CAPITAL ALLIANCE SECURITIES (Pvt) Ltd arising from or consequent upon any such default.

### Applicant

1. Name .....	Signature .....
2. Name .....	Signature .....
3. Name .....	Signature .....

### Witnesses

1. Name .....	Signature .....
2. Name .....	Signature .....

### FOR OFFICE USE ONLY

*I hereby confirm that to the best of my knowledge and belief the information given herein by the applicant is true & correct, the applicant is financially stable to maintain a CDS Account.*

Investment Advisor ..... Signature .....

Date ..... Authorized by .....



NOTE: This application should be submitted through your Participant

CDS 2 (A)

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

Companies

Authorized  
Signature  
and  
Stamp of  
Participant

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:

- \* 1. The securities to be purchased through the Securities Account to be opened by us in the CDS is for our benefit only.
- \* 2. 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.

- \* 3. 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.

4. 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.

5. 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 the CDS Account, we undertake to inform the CDS in writing within fourteen (14) days of such variation.

6. 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.

7. 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.

8. 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.

9. 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);

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

10. 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.

11. 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 "1" to "11" 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 \_\_\_\_\_ 200\_\_

\* Delete whichever is inapplicable.