

MARKET INTERMEDIARIES
REGISTERED AS AT 30th June 2018

UNDER

THE SECURITIES AND EXCHANGE COMMISSION OF SRI LANKA ACT NO. 36 OF 1987

(Amended by Act No. 26 of 1991, Act No. 18 of 2003 and Act No. 47 of 2009)

Market Intermediaries under the categories of Margin Provider, Investment Manager, Underwriter, Clearing House and Credit Rating Agency registered with the SEC are set out below:

Registered Market Intermediaries under the Category of Margin Provider:

1. Acuity Partners (Private) Limited
2. ADL Equities Ltd
3. Asha Financial Services Limited
4. Assetline Leasing Company Limited
5. Bansei Securities Capital (Pvt) Ltd
6. Colombo Trust Finance PLC
7. Capital Trust Credit (Private) Limited
8. Citizen Development Business Finance PLC
9. Commercial Bank of Ceylon PLC
10. DFCC Bank PLC
11. First Capital Markets Limited
12. Hatton National Bank PLC
13. J B Credit (Pvt) Ltd
14. L B Finance PLC
15. LOLC Finance PLC
16. Merchant Bank of Sri Lanka & Finance PLC
17. Nation Lanka Capital Ltd
18. National Development Bank PLC
19. Pan Asia Banking Corporation PLC
20. People's Leasing and Finance PLC
21. People's Merchant Finance PLC
22. Richard Peiris Financial Services (Pvt) Ltd
23. Sampath Bank PLC
24. Seylan Bank PLC
25. Union Bank of Colombo PLC
26. Waldock Mackenzie Limited

Registered Market Intermediaries under the Category of Investment Manager:

1. Amana Asset Limited
2. Asset Trust Management (Pvt) Ltd
3. Assetline Capital (Pvt) Ltd
4. Bank of Ceylon
5. Bartleet Asset Management (Pvt) Ltd
6. Candor Asset Management (Private) Limited
7. Capital Alliance Investments Limited
8. Ceybank Asset Management Ltd
9. Comtrust Asset Management (Pvt) Ltd
10. First Capital Asset Management Limited
11. Guardian Acuity Asset Management Limited
12. Guardian Fund Management Limited
13. Innovest Investments (Pvt) Ltd
14. J.B. Financial (Private) Limited
15. Lynear Wealth Management (Pvt) Ltd
16. Merchant Bank of Sri Lanka & Finance PLC
17. National Asset Management Ltd
18. National Wealth Corporation Limited
19. NDB Wealth Management Ltd
20. Orion Fund Management (Private) Limited
21. Softlogic Capital PLC
22. Waldock Mackenzie Limited
23. Investrust Wealth Management Ltd

Registered Market Intermediaries under the Category of Underwriter:

1. Bank of Ceylon
2. Ceylon Guardian Investment Trust PLC
3. Ceylon Investment PLC
4. Commercial Bank of Ceylon PLC
5. Hatton National Bank PLC
6. Merchant Bank of Sri Lanka & Finance PLC
7. NDB Capital Holdings Limited
8. Sampath Bank PLC
9. DFCC Bank PLC

Registered Market Intermediary under the Category of a Clearing House :

1. Central Depository Systems (Private) Limited

Registered Market Intermediaries under the Category of Credit Rating Agency:

1. Fitch Ratings Lanka Limited
2. ICRA Lanka Limited

STOCK BROKERS AND STOCK DEALERS
LICENCED AS AT 30th June 2018

UNDER

THE SECURITIES AND EXCHANGE COMMISSION OF SRI LANKA ACT NO. 36 OF 1987
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Stock Brokers licenced by the SEC are set out below:

1. Acuity Stockbrokers (Private) Limited
2. Softlogic Stockbrokers(Pvt) Ltd
3. Asha Phillip Securities Limited
4. Asia Securities (Private) Limited
5. Assetline Securities (Private) Limited
6. Bartleet Religare Securities (Private) Limited
7. Capital Alliance Securities (Private) Limited
8. Capital Trust Securities (Private) Limited
9. Nation Lanka Equities (Private) Limited
10. Claridge Stockbrokers (Private) Limited
11. CT CLSA Securities (Private) Limited
12. First Capital Equities (Private) Limited
13. First Guardian Equities (Private) Limited
14. Candor Equities Limited
15. Enterprise Ceylon Capital (Pvt) Ltd
16. JB Securities (Private) Limited
17. John Keells Stock Brokers (Private) Limited
18. Lanka Securities (Private) Limited
19. LOLC Securities Limited
20. Navara Securities (Pvt) Ltd
21. NDB Securities (Private) Limited
22. Richard Pieris Securities (Private) Limited
23. SC Securities (Private) Limited
24. SMB Securities (Private) Limited
25. Somerville Stock Brokers (Private) Limited
26. Taprobane Securities (Private) Limited
27. TKS Securities (Private) Limited
28. First Capital Markets Limited- (Debt securities)
29. Capital Alliance Limited (Debt Securities)
30. Wealth Trust Securities Ltd (Debt Securities)
31. NSB Fund Management Co. Ltd (Debt Securities)
32. Acuity Securities Ltd (Debt Securities)

Stock Dealers licenced by the SEC are set out below:

1. Acuity Securities Ltd- (Debt Securities)
2. Bartleet Religare Securities (Private) Limited- (Debt Securities)
3. Capital Alliance Limited - (Debt Securities)
4. Enterprise Ceylon Capital (Pvt) Ltd
5. First Capital Markets Limited- (Debt Securities)
6. JB Securities (Private) Limited
7. NSB Fund Management Co. Ltd -(Debt Securities)
8. Seylan Bank PLC- (Debt Securities)
9. SMB Securities (Private) Limited- (Debt Securities)
10. Softlogic Stockbrokers(Pvt) Ltd
11. Wealth Trust Securities Ltd - (Debt Securities)
12. NDB Securities (Private) Limited
13. Asia Securities (Private) Limited

MANAGING COMPANIES OF UNIT TRUSTS

LICENCED AS AT 30th June 2018

- 1 Ceylon Asset Management Company Limited
- 2 Com Trust Asset Management (Private) Limited
- 3 NDB Wealth Management Limited
- 4 Ceybank Asset Management (Pvt) Limited
- 5 National Asset Management Limited
- 6 First Capital Asset Management Limited
- 7 J B Financial (Pvt) Ltd
- 8 Guardian Acuity Asset Management Ltd
- 9 Candor Asset Management (Pvt) Ltd
- 10 Asset Trust Management (Pvt) Ltd
- 11 Capital Alliance Investments Ltd
- 12 Arpico Ataraxia Asset Management (Private) Limited
- 13 Investrust Wealth Management Ltd
- 14 Assetline Capital (Pvt) Ltd