

**MARKET INTERMEDIARIES**  
**REGISTERED AS AT 31<sup>st</sup> December 2016**

**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. Orient Finance PLC
7. Candor Capital (Private) Limited
8. Colombo Trust Finance PLC
9. Capital Trust Credit (Private) Limited
10. Citizen Development Business Finance PLC
11. Commercial Bank of Ceylon PLC
12. DFCC Bank PLC
13. First Capital Markets Limited
14. Summit Finance PLC
15. Hatton National Bank PLC
16. J B Credit (Pvt) Ltd
17. L B Finance PLC
18. LOLC Finance PLC
19. Merchant Bank of Sri Lanka & Finance PLC
20. Nation Lanka Capital Ltd
21. National Development Bank PLC
22. Pan Asia Banking Corporation PLC
23. People's Leasing and Finance PLC
24. People's Merchant Finance PLC
25. Richard Peiris Financial Services (Pvt) Ltd
26. Sampath Bank PLC
27. Seylan Bank PLC
28. TKS Finance Ltd
29. Union Bank of Colombo PLC
30. Waldock Mackenzie Limited

**Registered Market Intermediaries under the Category of Investment Manager:**

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

**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 31<sup>st</sup> December 2016**

**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)**

**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)
33. Perpetual Treasuries 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. Commercial Bank of Ceylon PLC- (Debt Securities)
5. Enterprise Ceylon Capital (Pvt) Ltd
6. First Capital Markets Limited- (Debt Securities)
7. JB Securities (Private) Limited
8. NSB Fund Management Co. Ltd -(Debt Securities)
9. Perpetual Treasuries Ltd-(Debt Securities)
10. Seylan Bank PLC- (Debt Securities)
11. SMB Securities (Private) Limited- (Debt Securities)
12. Softlogic Stockbrokers(Pvt) Ltd
13. Wealth Trust Securities Ltd - (Debt Securities)
14. NDB Securities (Private) Limited

## MANAGING COMPANIES OF UNIT TRUSTS

LICENCED AS AT 31<sup>st</sup> December 2016

### **1 Ceylon Asset Management Company Limited**

1. Ceylon Index Fund
2. Ceylon Income Fund
3. Ceylon Tourism Fund
4. Ceylon Financial Sector Fund
5. Ceylon IPO Fund
6. Ceylon MTI Shariah Fund
7. Ceylon Global Compact sustainability Fund
8. Ceylon Gilt-Edged Fund
9. Ceylon Treasury Bill Fund
10. Ceylon Dollar Bond Fund
11. Ceylon money Market Fund

### **2 Com Trust Asset Management (Private) Limited**

1. Comtrust Equity Fund
2. Comtrust Gilt Edged Fund
3. Crescent /Fund
4. Comtrust money market Fund
5. Comtrust ADL Mudarabah Fund

### **3 NDB Wealth Management Limited**

1. NDB Wealth Growth and Income Fund
2. NDB Wealth Gilt Edged Fund
3. NDB Wealth Income Fund
4. NDB Wealth Growth Fund
5. NDB Wealth Money Fund
6. NDB Wealth Money Plus Fund
7. Short Term LKR Treasury Fund
8. NDB Wealth Islamic Money Plus Fund
9. NDB Wealth Income Plus Fund

### **4 Ceybank Asset Management (Pvt) Limited**

1. Ceybank Unit Trust
2. Ceybank Century Growth Fund
3. Ceybank Savings Plus Money Market Fund
4. Ceybank Surakum
5. Ceybank Gilt Edged Fund (B series)
6. Ceybank Gilt Edged Fund (A series)

## **5 National Asset Management Limited**

1. NAMAL Income Fund
2. NAMAL Money Market Fund
3. National Equity Fund
4. NAMAL Growth Fund
5. NAMAL Acuity Value Fund (closed end)
6. NAMAL IPO Fund
7. NAMAL High Yield Fund
8. NAMAL Gilt Fund

## **6 First Capital Asset Management Limited**

1. First Capital Wealth Fund
2. First Capital Fixed Income Fund
3. First Capital Money market Fund
4. First capital Gilt Edged Fund
5. First Capital Equity Fund

## **7 J B Financial (Pvt) Ltd**

1. J B Vantage Money Market Fund
2. J B Vantage value Equity Fund
3. J B Vantage Short term gilt Fund

## **8 Guardian Acuity Asset Management Ltd**

1. Guardian Acuity Money Market Fund
2. Guardian Acuity Equity Fund
3. Guardian Acuity Money Market Gilt Fund

## **9 Candor Asset Management (Pvt) Ltd**

1. Candor Capital Growth Fund
2. Amana Candor Shariah Balanced Fund
3. Candor Money Market Fund
4. Amana Candor Shariah Income Fund
5. Candor Opportunities Fund

## **10. Asset Trust Management (Pvt) Ltd**

1. Astrue Gilt edged Fund
2. Astrue Money market Fund
3. Astrue Alpha Fund

### **11. Capital Alliance Investments Ltd**

1. Capital Alliance High Yield Fund
2. Capital Alliance Gilt Fund
3. Capital Alliance Quantitative Equity Fund
4. Capital Alliance Corporate Treasury Fund
5. Capital Alliance Investment Grade Fund
6. Capital Alliance Income Fund
7. Capital Alliance Gilt Trading Fund
8. Capital Alliance Medium Risk Debt Fund
9. Capital Alliance Corporate Debt and Gilt Trading Fund
10. Capital Alliance Balanced Fund
11. Capital Alliance Gilt money market Fund

### **12. Arpico Ataraxia Asset Management (Private) Limited**

1. Arpico Ataraxia Cash Management Trust Fund
2. Arpico Ataraxia Repo Fund
3. Arpico Ataraxia S & P- SL 20 Index Fund
4. Arpico Ataraxia Sri Lanka Bond Fund-Gilt edged Fund

### **13. Investrust Wealth Management Ltd**

1. Investrust Income Fund
2. Investrust Growth Fund
3. Investrust Gilt-edged Fund
4. Investrust Money Market Fund

### **14. Assetline Capital (Pvt) Ltd**

1. Assetline Income Plus Growth Fund
2. Assetline Gilt-edged Fund
3. Assetline Income Fund