

Benefits of working with an Investment Advisor



Assistance in
Financial Planning



Portfolio
Management



Provides
Investment Advice



Before you start looking for an Advisor, ask yourself what you need in the way of professional advice. It is important to match the Investment Advisor's credentials to your situations/needs.

If you have a **PROBLEM**

If you believe you were treated unfairly or faced certain irregularities when interacting with your Investment Advisor you could follow the following process.

Complain to the Compliance Officer of your Stock Broker Firm within 3 months in writing

If unsatisfied with the decision or the way it was dealt with refer it to the CSE in writing

Complaint is handled by officers appointed by the CEO of the CSE

If not satisfied with the decision such party can appeal to the Dispute Resolution Committee of the CSE

The decision of the Dispute Resolution Committee is referred to the Board of Directors of the CSE for ratification

Decision is informed to the investor

SEC | SECURITIES AND EXCHANGE
COMMISSION OF SRI LANKA

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Is your **MONEY** in **SAFE HANDS?**

Many Investment Advisors are eager to give you advice when investing in the stock market. Let us see how you could choose one that best suits your needs.



Select a **SUITABLE** **INVESTMENT ADVISOR** and **ENHANCE YOUR** **FINANCIAL WELL-BEING** in the Stock Market

Selecting the right Investment Advisor is a challenging task. After all, your Investment Advisor plays an important role in your financial future.

Investors should be mindful to work with an Investment Advisor licensed as a Registered Investment Advisor (RIA) by the Securities and Exchange Commission of Sri Lanka (SEC).

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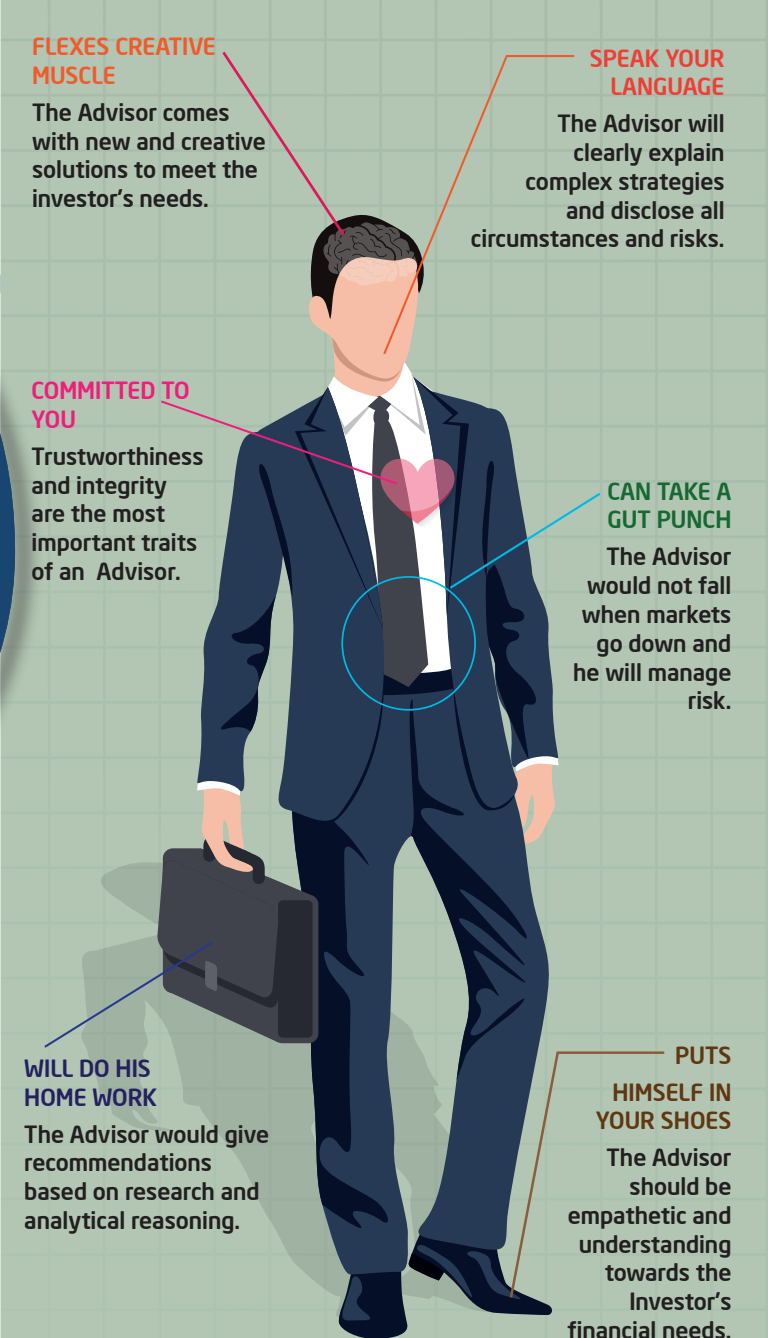
How to find an Investment Advisor

There are plenty of Registered Investment Advisors who would render their services and it is upto you to evaluate them before you select one.

The best way to search for a competent Investment Advisor is to settle on the services you need and then schedule introductory meetings with several candidates. In addition you could obtain references from friends, colleagues and professionals for a suitable Registered Investment Advisor.

Make sure to do your own evaluation on the individual as what is good for one person may not be good for another.

When investing in the stock market you need to open an Account at the Central Depository System (CDS) through a Stock Broker Firm. The Investment Advisor you select will direct you to open an account with the Stock Broker Firm he works for. It is best to be vigilant about the credentials of the Stock Broker Firm.



Anatomy of an Advanced Registered Investment Advisor

