

MARKET INTERMEDIARIES
REGISTERED AS AT 30TH SEPTEMBER 2020

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

Registered Market Intermediaries under the Category of Investment Manager:

1. Amana Asset Limited¹
2. Asia Securities Wealth Management (Private) Limited
3. Asset Trust Management (Private) Limited
4. Assetline Capital (Private) Limited
5. Bank of Ceylon
6. Bartleet Asset Management (Pvt) Ltd
7. Senfin Asset Management (Private) Limited
8. Capital Alliance Investments Limited
9. Ceybank Asset Management Ltd
10. Comtrust Asset Management Limited
11. First Capital Asset Management Limited
12. Guardian Acuity Asset Management Limited
13. Guardian Fund Management Limited
14. Innovest Investments (Private) Limited
15. JB Financial (Private) Limited
16. Lynear Wealth Management (Pvt) Ltd
17. Merchant Bank of Sri Lanka & Finance PLC
18. National Asset Management Ltd
19. NDB Wealth Management Limited
20. Orion Fund Management (Private) Limited
21. Softlogic Capital PLC
22. Waldock Mackenzie Limited
23. Premier Wealth Management Limited

Registered Market Intermediaries under the Category of Underwriter:

1. Bank of Ceylon
2. Commercial Bank of Ceylon PLC
3. DFCC Bank PLC
4. Hatton National Bank PLC
5. Merchant Bank of Sri Lanka & Finance PLC
6. NDB Capital Holdings Limited
7. 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 Rating
2. ICRA Lanka Limited

¹ Registration renewed to enable the settlement of investors of Amana Asset Limited. The company is not permitted to accept new clients or investments.

STOCK BROKERS AND STOCK DEALERS
LICENCED AS AT 30TH SEPTEMBER 2020

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 licensed by the SEC are set out below:

1. Acuity Stockbrokers (Private) Limited
2. Asha Securities Limited
3. Asia Securities (Private) Limited
4. Assetline Securities (Private) Limited²
5. Bartleet Religare Securities (Pvt) Limited
6. Candor Equities Limited
7. Capital Alliance Limited (Debt Securities)
8. Capital Alliance Securities (Private) Limited
9. Capital Trust Securities (Private) Limited
10. CT CLSA Securities (Pvt) Limited
11. Enterprise Ceylon Capital (Pvt) Ltd
12. First Capital Equities (Private) Limited
13. First Guardian Equities (Pvt) Limited
14. JB Securities (Private) Limited
15. John Keells Stock Brokers (Private) Limited
16. Lanka Securities (Private) Limited
17. LOLC Securities Limited
18. Nation Lanka Equities (Pvt) Limited
19. Navara Securities (Pvt) Ltd³
20. NDB Securities (Private) Limited
21. NSB Fund Management Co. Ltd (Debt Securities)
22. Richard Pieris Securities (Private) Limited
23. SC Securities (Private) Limited
24. SMB Securities (Pvt) Limited
25. Softlogic Stockbrokers(Pvt) Ltd
26. Somerville Stock Brokers (Private) Limited
27. Taprobane Securities (Private) Limited
28. TKS Securities (Private) Limited⁴
29. Wealth Trust Securities Ltd (Debt Securities)

Stock Dealers licensed by the SEC are set out below:

1. Asia Securities (Private) Limited
2. Bartleet Religare Securities (Pvt) Ltd (Debt)
3. Capital Alliance Limited (Debt)
4. Enterprise Ceylon Capital (Pvt) Ltd

² Voluntary inactivation of business operations

³ Voluntary inactivation of business operations

⁴ Voluntary inactivation of business operations

5. JB Securities (Private) Limited
6. NDB Securities (Private) Limited
7. NSB Fund Management Company Limited (Debt)
8. Seylan Bank PLC (Debt)
9. SMB Securities (Private) Limited- (Debt)
10. Softlogic Stockbrokers (Pvt) Ltd
11. Wealth Trust Securities Limited (Debt)

MANAGING COMPANIES OF UNIT TRUSTS

LICENCED AS AT 30TH SEPTEMBER 2020

1. Ceylon Asset Management Company Limited
 - Ceylon Dollar Bond Fund
 - Ceylon Financial Sector Fund
 - Ceylon Income Fund
 - Ceylon Index Fund
 - Ceylon IPO Fund
 - Ceylon Money Market Fund
 - Ceylon Tourism Fund
 - Ceylon Treasury Income Fund
2. Comtrust Asset Management (Private) Limited
 - Comtrust ADL Mudarabah Fund
 - Comtrust Equity Fund
 - Comtrust Gilt Edged Fund
 - Comtrust Money Market Fund
3. NDB Wealth Management Limited
 - NDB Wealth Gilt Edged Fund
 - NDB Wealth Growth & Income Fund
 - NDB Wealth Growth Fund
 - NDB Wealth Income Fund
 - NDB Wealth Income Plus Fund
 - NDB Wealth Islamic Money Plus Fund
 - NDB Wealth Money Fund
 - NDB Wealth Money Plus Fund
4. Ceybank Asset Management (Pvt) Limited
 - Ceybank Century Growth Fund
 - Ceybank Gilt Edged Fund (A Series)
 - Ceybank Gilt Edged Fund (B Series)
 - Ceybank High Yield Fund
 - Ceybank Savings Plus Money Market Fund
 - Ceybank Surakum Gilt Edged Fund
 - Ceybank Unit Trust Fund
5. National Asset Management Limited
 - NAMAL Growth Fund
 - NAMAL High Yield Fund
 - NAMAL Income Fund

- NAMAL Money Market Fund
 - National Equity Fund
 - NAMAL Gilt Fund
 - NAMAL Bank Fund
6. First Capital Asset Management Limited
- First Capital Equity Fund
 - First Capital Fixed income Fund
 - First Capital Gilt Edged Fund
 - First Capital Money Market Fund
 - First Capital Wealth Fund
7. J B Financial (Pvt) Ltd
- JB Vantage Money Market Fund
 - JB Vantage Short Term Gilt Fund
 - JB Vantage Value Equity Fund
8. Guardian Acuity Asset Management Ltd
- Guardian Acuity Equity Fund
 - Guardian Acuity Money Market Fund
9. Senfin Asset Management (Pvt) Ltd
- Senfin Growth Fund
 - Senfin Money Market Fund
 - Candor Opportunities Fund
 - Senfin Shariah Income Fund
 - Senfin Shariah Balanced Fund
10. Asset Trust Management (Pvt) Ltd
- Astrue Alpha Fund
11. Capital Alliance Investments Ltd
- CAL Balanced Fund
 - CAL Corporate Debt & Gilt Trading Fund
 - CAL Corporate Treasury Fund
 - CAL Gilt Fund
 - CAL Gilt Money Market Fund
 - CAL Gilt Trading Fund
 - CAL High Yield Fund
 - CAL Income Fund
 - CAL Investment Grade Fund
 - CAL Medium Risk Debt Fund
 - CAL Quantitative Equity Fund
12. Arpico Ataraxia Asset Management (Private) Limited
- Arpico Ataraxia Cash Management Trust Fund (CMT)
 - Arpico Ataraxia Equity Income Fund
 - Arpico Ataraxia Repo Investment Fund
 - Arpico Ataraxia Sri Lanka Bond Fund

13. Premier Wealth Management Ltd
 - Premier Growth Fund
 - Premier Money Market Fund
14. Assetline Capital (Pvt) Ltd
 - Assetline Income Fund
 - Assetline Income Plus Growth Fund
15. Softlogic Asset Management (Pvt) Ltd
 - Softlogic Equity Fund
 - Softlogic Money Market Fund

EXCHANGES

LICENCED AS AT 30TH SEPTEMBER 2020

1. Colombo Stock Exchange