

**MARKET INTERMEDIARIES**  
**REGISTERED AS AT 31<sup>st</sup> MARCH 2021**

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

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

1. Amana Asset Limited<sup>1</sup>
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 Asset Management (Pvt) Ltd
22. Waldock Mackenzie Limited
23. Premier Wealth Management Limited
24. Helios Ventures (Pvt) Ltd

**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
8. Seylan 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

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

3. Lanka Rating Agency Limited

**STOCK BROKERS AND STOCK DEALERS**  
**LICENCED AS AT 31<sup>st</sup> MARCH 2021**

**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) Limited<sup>2</sup>
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) Ltd<sup>3</sup>
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) Limited<sup>4</sup>
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

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<sup>2</sup> Voluntary inactivation of business operations

<sup>3</sup> Voluntary inactivation of business operations

<sup>4</sup> Voluntary inactivation of business operations

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

## **MANAGING COMPANIES OF UNIT TRUSTS**

### **LICENCED AS AT 31<sup>ST</sup> MARCH 2021**

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
    - Guardian Acuity Income Fund
  9. Senfin Asset Management (Pvt) Ltd
    - Senfin Growth Fund
    - Senfin Money Market Fund
    - Senfin Shariah Income Fund
    - Senfin Shariah Balanced Fund
    - Senfin Dynamic Income Fund
    - Senfin Dividend Fund
  10. Asset Trust Management (Pvt) Ltd
    - Astrue Alpha Fund
    - Astrue Active Income 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
  16. Asia Securities Wealth Management (Pvt) Ltd
    - Asia Securities Money Market Fund

## **EXCHANGES**

**LICENCED AS AT 31<sup>ST</sup> MARCH 2021**

1. Colombo Stock Exchange