

MARKET INTERMEDIARIES
REGISTERED AS AT 25TH OCTOBER 2021
UNDER

THE SECURITIES AND EXCHANGE COMMISSION OF SRI LANKA ACT NO. 19 OF 2021

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. Assetline Leasing Company Limited
3. Bansei Securities Capital (Pvt) Ltd
4. Capital Trust Credit (Private) Limited
5. Citizen Development Business Finance PLC
6. Dialog Finance PLC (formerly Colombo Trust Finance PLC)
7. Commercial Bank of Ceylon PLC
8. DFCC Bank PLC
9. Hatton National Bank PLC
10. J B Credit (Pvt) Ltd
11. LOLC Finance PLC
12. Merchant Bank of Sri Lanka & Finance PLC
13. Nation Lanka Capital Ltd
14. National Development Bank PLC
15. Pan Asia Banking Corporation PLC
16. People's Leasing and Finance PLC
17. People's Merchant Finance PLC
18. Sampath Bank PLC
19. Seylan Bank PLC
20. Waldock Mackenzie Limited¹
21. Richard Peiris Financial Services (Pvt) Ltd¹

¹ Licence administratively extended

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. Senfin Asset Management (Private) Limited
7. Capital Alliance Investments Limited
8. Ceybank Asset Management Ltd
9. Comtrust Asset Management Limited
10. First Capital Asset Management Limited
11. Guardian Acuity Asset Management Limited
12. Guardian Fund Management Limited
13. Innovest Investments (Private) Limited
14. JB Financial (Private) Limited
15. Lynear Wealth Management (Pvt) Ltd
16. Merchant Bank of Sri Lanka & Finance PLC
17. National Asset Management Ltd
18. NDB Wealth Management Limited
19. Orion Fund Management (Private) Limited
20. Softlogic Asset Management (Pvt) Ltd
21. Waldock Mackenzie Limited
22. Premier Wealth Management Limited
23. Helios Ventures (Pvt) Ltd¹
24. Capital Trust Wealth Management 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. Sampath Bank PLC
7. Seylan Bank PLC
8. National Development Bank PLC

Registered Market Intermediary under the Category of a Clearing House:

1. Central Depository Systems (Private) Limited

¹ Licence administratively extended

Registered Market Intermediaries under the Category of Credit Rating Agency:

1. Fitch Rating
2. ICRA Lanka Limited
3. Lanka Rating Agency Limited

STOCK BROKERS AND STOCK DEALERS

LICENSED AS AT 25TH OCTOBER 2021

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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) Ltd²
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) Limited²
29. Wealth Trust Securities Ltd (Debt Securities)

² Voluntary Inactivation of business operations

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
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

LICENSED AS AT 25TH OCTOBER 2021

1. Ceylon Asset Management Company Limited
 - I. Ceylon Dollar Bond Fund
 - II. Ceylon Financial Sector Fund
 - III. Ceylon Income Fund
 - IV. Ceylon Index Fund
 - V. Ceylon IPO Fund
 - VI. Ceylon Money Market Fund
 - VII. Ceylon Tourism Fund
 - VIII. Ceylon Treasury Income Fund
2. Comtrust Asset Management (Private) Limited
 - I. Comtrust ADL Mudarabah Fund
 - II. Comtrust Equity Fund
 - III. Comtrust Gilt Edged Fund
 - IV. Comtrust Money Market Fund
3. NDB Wealth Management Limited
 - I. NDB Wealth Gilt Edged Fund
 - II. NDB Wealth Growth & Income Fund
 - III. NDB Wealth Growth Fund
 - IV. NDB Wealth Income Fund
 - V. NDB Wealth Income Plus Fund
 - VI. NDB Wealth Islamic Money Plus Fund
 - VII. NDB Wealth Money Fund
 - VIII. NDB Wealth Money Plus Fund
4. Ceybank Asset Management (Pvt) Limited
 - I. Ceybank Century Growth Fund
 - II. Ceybank Gilt Edged Fund (A Series)
 - III. Ceybank Gilt Edged Fund (B Series)

- IV. Ceybank High Yield Fund
 - V. Ceybank Savings Plus Money Market Fund
 - VI. Ceybank Surakum Gilt Edged Fund
 - VII. Ceybank Unit Trust Fund
5. National Asset Management Limited
- I. NAMAL Growth Fund
 - II. NAMAL High Yield Fund
 - III. NAMAL Income Fund
 - IV. National Equity Fund
 - V. NAMAL Gilt Fund
 - VI. NAMAL Bank Fund
6. First Capital Asset Management Limited
- I. First Capital Equity Fund
 - II. First Capital Fixed income Fund
 - III. First Capital Gilt Edged Fund
 - IV. First Capital Money Market Fund
 - V. First Capital Wealth Fund
7. J B Financial (Pvt) Ltd
- I. JB Vantage Money Market Fund
 - II. JB Vantage Short Term Gilt Fund
 - III. JB Vantage Value Equity Fund
8. Guardian Acuity Asset Management Ltd
- I. Guardian Acuity Equity Fund
 - II. Guardian Acuity Money Market Fund
 - III. Guardian Acuity Income Fund
9. Senfin Asset Management (Pvt) Ltd
- I. Senfin Growth Fund
 - II. Senfin Money Market Fund
 - III. Senfin Shariah Income Fund
 - IV. Senfin Shariah Balanced Fund
 - V. Senfin Dynamic Income Fund
 - VI. Senfin Dividend Fund
10. Asset Trust Management (Pvt) Ltd
- I. Astrue Alpha Fund
 - II. Astrue Active Income Fund
11. Capital Alliance Investments Ltd
- I. CAL Balanced Fund
 - II. CAL Corporate Debt & Gilt Trading Fund
 - III. CAL Corporate Treasury Fund
 - IV. CAL Gilt Fund
 - V. CAL Gilt Money Market Fund
 - VI. CAL Gilt Trading Fund
 - VII. CAL High Yield Fund
 - VIII. CAL Income Fund

- IX. CAL Investment Grade Fund
 - X. CAL Medium Risk Debt Fund
 - XI. CAL Quantitative Equity Fund
 - XII. CAL Sri Lanka Dollar Fund
- 12. Arpico Ataraxia Asset Management (Private) Limited
 - I. Arpico Ataraxia Cash Management Trust Fund (CMT)
 - II. Arpico Ataraxia Equity Income Fund
 - III. Arpico Ataraxia Repo Investment Fund
 - IV. Arpico Ataraxia Sri Lanka Bond Fund
 - V. Arpico Ataraxia USD Fixed Income Fund
 - 13. Premier Wealth Management Ltd
 - I. Premier Growth Fund
 - II. Premier Money Market Fund
 - 14. Assetline Capital (Pvt) Ltd
 - I. Assetline Income Fund
 - II. Assetline Income Plus Growth Fund
 - 15. Softlogic Asset Management (Pvt) Ltd
 - I. Softlogic Equity Fund
 - II. Softlogic Money Market Fund
 - 16. Asia Securities Wealth Management (Pvt) Ltd
 - I. Asia Securities Money Market Fund

EXCHANGES

LICENSED AS AT 25TH OCTOBER 2021

- 1. Colombo Stock Exchange