

MARKET INTERMEDIARIES
REGISTERED AS AT 22ND NOVEMBER 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. Commercial Bank of Ceylon PLC
7. DFCC Bank PLC
8. Dialog Finance PLC (formerly Colombo Trust Finance 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. Richard Peiris Financial Services (Pvt) Ltd¹
19. Sampath Bank PLC
20. Seylan Bank PLC
21. Waldock Mackenzie Limited¹

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. Capital Alliance Investments Limited
7. Capital Trust Wealth Management Ltd
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. Helios Ventures (Pvt) Ltd¹
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. Premier Wealth Management Limited
22. Senfin Asset Management (Private) Limited
23. Softlogic Asset Management (Pvt) Ltd
24. Waldock Mackenzie 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. National Development Bank PLC
7. Sampath Bank PLC
8. Seylan 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 22ND NOVEMBER 2021**

UNDER

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

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. Nestor Stock Brokers (Private) Limited
22. NSB Fund Management Co. Ltd (Debt Securities)
23. Richard Pieris Securities (Private) Limited
24. SC Securities (Private) 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. CT CLSA Securities (Private) Ltd
5. Enterprise Ceylon Capital (Pvt) Ltd
6. JB Securities (Private) Limited
7. Nation Lanka Equities (Private) Ltd
8. Nestor Stock brokers (Private) Limited (Debt)
9. NSB Fund Management Company Limited (Debt)
10. Seylan Bank PLC (Debt)
11. Softlogic Stockbrokers (Pvt) Ltd
12. Wealth Trust Securities Limited (Debt)

MANAGING COMPANIES OF UNIT TRUSTS

LICENSED AS AT 22ND NOVEMBER 2021

1. 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
2. Asia Securities Wealth Management (Pvt) Ltd
 - I. Asia Securities Money Market Fund
3. Asset Trust Management (Pvt) Ltd
 - I. Astrue Active Income Fund
 - II. Astrue Alpha Fund
4. Assetline Capital (Pvt) Ltd
 - I. Assetline Income Fund
 - II. Assetline Income Plus Growth Fund
5. 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

6. 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

7. 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

8. Comtrust Asset Management (Private) Limited
 - I. Comtrust ADL Mudarabah Fund
 - II. Comtrust Equity Fund
 - III. Comtrust Gilt Edged Fund
 - IV. Comtrust Money Market Fund

9. 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

10. Guardian Acuity Asset Management Ltd
 - I. Guardian Acuity Equity Fund
 - II. Guardian Acuity Money Market Fund
 - III. Guardian Acuity Income Fund

11. J B Financial (Pvt) Ltd
 - I. JB Vantage Money Market Fund
 - II. JB Vantage Short Term Gilt Fund
 - III. JB Vantage Value Equity Fund

12. National Asset Management Limited
 - I. NAMAL Gilt Fund
 - II. NAMAL Bank Fund
 - III. NAMAL Growth Fund
 - IV. NAMAL High Yield Fund
 - V. NAMAL Income Fund
 - VI. National Equity Fund

13. 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

14. Premier Wealth Management Ltd
 - I. Premier Growth Fund
 - II. Premier Money Market Fund

15. Senfin Asset Management (Pvt) Ltd
 - I. Senfin Dynamic Income Fund
 - II. Senfin Dividend Fund
 - III. Senfin Growth Fund
 - IV. Senfin Money Market Fund
 - V. Senfin Shariah Balanced Fund
 - VI. Senfin Shariah Income Fund

16. Softlogic Asset Management (Pvt) Ltd
 - I. Softlogic Equity Fund
 - II. Softlogic Money Market Fund

EXCHANGES

LICENSED AS AT 22ND NOVEMBER 2021

1. Colombo Stock Exchange