MARKET INTERMEDIARIES
LICENSED AS AT 3RD OCTOBER 2022
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, Credit Rating Agency, Stock Broker, Stock Dealer and Managing Companies of Unit Trusts licensed by the SEC are set out below:

Licensed Market Intermediaries under the Category of Margin Provider:

1. Acuity Partners (Private) Limited
2. Assetline Finance 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
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
15. Pan Asia Banking Corporation PLC
16. People’s Leasing and Finance PLC
17. People’s Merchant Finance PLC
18. RPC Margin Services (Pvt) Ltd
19. Sampath Bank PLC
20. Seylan Bank PLC
Licensed Market Intermediaries under the Category of Investment Manager:

1. Amana Asset Limited
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. CT CLSA 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
17. National Asset Management Ltd
18. NDB Wealth Management Limited
19. NSB Fund Management Company 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

Licensed 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

Licensed Market Intermediaries under the Category of Credit Rating Agency:

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

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1 Licence administratively extended
Licensed Market Intermediaries under the Category of Stock Brokers:

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

Licensed Market Intermediaries under the Category of Stock Dealers:

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. Nation Lanka Equities (Private) Ltd
7. Nestor Stock Brokers (Private) Limited (Debt)
8. NSB Fund Management Company Limited (Debt)
9. Seylan Bank PLC (Debt)
10. SC Securities (Private) Ltd
11. Softlogic Stockbrokers (Pvt) Ltd
12. Wealth Trust Securities Limited (Debt)
Licensed Market Intermediaries under the Category of Managing Companies of Unit Trusts:

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
   II. Asia Securities Income fund
   III. Asia Securities Gilt 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. CT CLSA 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 Bank Fund
    II. NAMAL Growth Fund
    III. NAMAL High Yield Fund
    IV. NAMAL Income Fund
    V. 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
VII. Senfin Insurance Sector Fund

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

17. LYNEAR Wealth Management (Pvt) Ltd
   I. LYNEAR Wealth Money Market Fund
   II. LYNEAR Wealth Growth & Income Fund
   III. LYNEAR Wealth Income Fund

MARKET INSTITUTIONS
LICENSED AS AT 3RD OCTOBER 2022
UNDER
THE SECURITIES AND EXCHANGE COMMISSION OF SRI LANKA ACT, NO. 19 OF 2021

Market Institutions under the categories of Exchange, Central Depository and Clearing House licensed by the SEC are set out below:

Licensed Exchange:

1. Colombo Stock Exchange

Licensed Clearing House:

1. Central Depository Systems (Private) Limited

Licensed Central Depository:

1. Central Depository Systems (Private) Limited