

**MARKET INTERMEDIARIES**  
**LICENSED AS AT 1<sup>ST</sup> SEPTEMBER 2023**  
**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 Collective Investment Schemes (CIS) 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) Limited
4. Capital TRUST Credit (Private) Limited
5. Citizens 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 ) Limited
11. LOLC Finance PLC
12. Merchant Bank of Sri Lanka & Finance PLC
13. Nation Lanka Capital Limited
14. National Development Bank PLC
15. Pan Asia Banking Corporation PLC
16. People's Leasing and Finance PLC
17. PMF Finance PLC
18. RPC Margin Services (Pvt) Limited
19. Sampath Bank PLC
20. Seylan Bank PLC

**Licensed Market Intermediaries under the Category of Investment Manager;**

1. Asia Securities Wealth Management (Private) Limited
2. Asset Trust Management (Private) Limited
3. Assetline Capital (Private) Limited
4. Bank of Ceylon
5. Capital Alliance Investments Limited
6. Capital TRUST Wealth Management Limited

7. Ceybank Asset Management Limited
8. CT CLSA Asset Management (Private) Limited
9. First Capital Asset Management Limited
10. George Steuart Asset Management (Private) Limited
11. Guardian Fund Management Limited
12. Innovest Investments (Private) Limited
13. JB Financial (Private) Limited
14. LYNEAR Wealth Management (Pvt) Limited
15. Merchant Bank of Sri Lanka & Finance PLC
16. National Asset Management Limited
17. NDB Wealth Management Limited
18. NSB Fund Management Company Limited
19. Orion Fund Management (Private) Limited
20. Premier Wealth Management Limited
21. Senfin Asset Management (Private) Limited
22. Softlogic Asset Management (Pvt) Limited
23. 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. Lanka Rating Agency Limited

**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. ACAP Stock Brokers (Pvt) Limited
6. Asia Securities (Private) Limited
7. Bartleet Religare Securities (Pvt) Limited
8. Capital Alliance PLC (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) Limited
13. First Capital Equities (Private) Limited
14. First Guardian Equities (Pvt) Limited
15. JB Securities (Private) Limited
16. John Keells Stock Brokers (Private) Limited
17. Lanka Securities (Private) Limited
18. LOLC Securities Limited
19. Nation Lanka Equities (Pvt) Limited
20. NDB Securities (Private) Limited
21. Nestor Stock Brokers (Private) Limited
22. Richard Pieris Securities (Private) Limited
23. SC Securities (Private) Limited
24. Senfin Securities Limited
25. Softlogic Stockbrokers (Pvt) Limited
26. Somerville Stock Brokers (Private) Limited
27. Wealth Trust Securities Limited (Debt Securities)

**Licensed Market Intermediaries under the Category of Stock Dealers;**

1. Asia Securities (Private) Limited
2. Bartleet Religare Securities (Pvt) Limited (Debt)
3. Capital Alliance PLC (Debt)
4. Enterprise Ceylon Capital (Pvt) Limited
5. JB Securities (Private) Limited
6. Nation Lanka Equities (Private) Limited
7. Nestor Stock Brokers (Private) Limited (Debt)
8. Seylan Bank PLC (Debt)
9. SC Securities (Private) Limited
10. Softlogic Stockbrokers (Pvt) Limited
11. Wealth Trust Securities Limited (Debt)

## **Licensed Market Intermediaries under the Category of Corporate Finance Advisors;**

1. Atarah Capital (Pvt) Limited
2. Capital Alliance Partners Limited
3. NDB Investment Bank Limited

## **Licensed Market Intermediaries under the Category of Managing Companies and their CIS;<sup>1</sup>**

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) Limited
  - I. Asia Securities Money Market Fund
  - II. Asia Securities Income fund
  - III. Asia Securities Gilt Fund
3. Asset Trust Management (Pvt) Limited
  - I. Astrue Active Income Fund
  - II. Astrue Alpha Fund
4. Assetline Capital (Pvt) Limited
  - I. Assetline Income Fund
  - II. Assetline Income Plus Growth Fund
5. Capital Alliance Investments Limited
  - I. CAL Balanced Fund
  - II. CAL Corporate Treasury Fund
  - III. CAL Fixed Income Opportunities Fund
  - IV. CAL Gilt Fund
  - V. CAL Gilt Money Market Fund
  - VI. CAL Gilt Trading Fund
  - VII. CAL High Yield Fund

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<sup>1</sup> As per the SEC Act No. 19 of 2021, the grant of a licence to a Managing Company shall be a two (2) stage process.

\*\*Only In-Principle Approval has been granted as at 1st September 2023.

- 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
- XIII. CAL Five Year Optimum Fund

6. Ceybank Asset Management (Pvt) Limited \*\*

- I. Ceybank Century Growth Fund
- II. Ceybank Gilt Edged Fund (A Series)
- III. Ceybank High Yield Fund
- IV. Ceybank Savings Plus Money Market Fund
- V. Ceybank Surakum Gilt Edged Fund
- VI. 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. CT CLSA Equity Fund
- II. CT CLSA Gilt Edged Fund
- III. CT CLSA High Yield Fund
- IV. CT CLSA Growth Equity Fund
- V. CT CLSA Money Market Fund
- VI. CT CLSA Income 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. J B Financial (Pvt) Limited \*\*

- I. JB Vantage Money Market Fund
- II. JB Vantage Short Term Gilt Fund
- III. JB Vantage Value Equity Fund

11. National Asset Management Limited

- I. NAMAL Growth Fund
- II. NAMAL High Yield Fund
- III. NAMAL Income Fund
- IV. National Equity Fund

12. 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
- IX. NDB Wealth Dynamic Treasury Fund

13. Premier Wealth Management Limited \*\*

- I. Premier Growth Fund
- II. Premier Money Market Fund

14. Senfin Asset Management (Pvt) Limited

- 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

15. Softlogic Asset Management (Pvt) Limited

- I. Softlogic Equity Fund
- II. Softlogic Money Market Fund

16. LYNEAR Wealth Management (Pvt) Limited
  - I. LYNEAR Wealth Money Market Fund
  - II. LYNEAR Wealth Dynamic Opportunities Fund
  - III. LYNEAR Wealth Income Fund

## **MARKET INSTITUTIONS**

**LICENSED AS AT 1<sup>ST</sup> SEPTEMBER 2023**

**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

## **SUPPLEMENTARY SERVICE PROVIDERS**

**UNDER**

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

### **Trustee of a CIS Scheme**

Shall be a bank licensed by the Central Bank of Sri Lanka