



**ASHA PHILLIP  
SECURITIES LIMITED**

2<sup>nd</sup> Floor, Lakshmans Building, No. 321, Galle Road, Colombo 03, Sri Lanka.  
Tel : 94 11 2429100 Fax : 94 11 2429199 E-mail : apsl@ashaphillip.net Website : www.ashaphillip.net

**CLIENT REGISTRATION FORM (FOR COMPANIES)**

**PERSONAL DATA**

Name of Company : .....  
Tel No. (s) : ..... E-mail: .....  
Fax No. (s) : ..... Web site: .....  
Registered Address : .....  
Correspondence Address : .....  
Business Reg. No. : ..... Date of Incorporation.....  
(Enclose a certified copy of business registration form & 2 copies of Memorandum & Articles of Association)  
Nature of Business : .....

**BANK DETAILS**

Bank	Branch	Type of Account	Account No.
.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....

Name, addresses, National Identity Card / Passport Number/s and Occupations of Directors. (if the company is listed in the Stock Exchange only the names should be given. Proof of such listing should be submitted if so)

Name of the Company : ..... Date of Incorporation : .....  
Place of Incorporation : ..... Registered Address : .....

A list of up to ten major share holders (if there any)  
A board resolution passed by the company giving the names and designations of persons authorized to give instructions on behalf of the company.

**PRESENT BROKER (S) IF ANY** .....

**MAILNG INSTRUCTIONS**

Please / post / deliver or hold for collections.

Cheques to be kept at your office / posted to our office.

**SPECIMEN SIGNATURE (S) OF TWO DIRECTORS**

.....

.....

**CORRESPONDENCES CONTACT** : .....  
**TEL NO.** : ..... **FAX NO.** : .....  
**CLIENT INTRODUCED BY** : .....  
**SIGNATURE OF AGENT / PERSON INTRODUCING** : ..... Advisor's Signature: .....

**OFFICE USE ONLY**

Application received on: ..... Date: .....  
Advisor's Code : ..... Advisor's Signatures: .....

See overleaf ↻

**RISK OF SECURITIES TRADING**

The price of securities fluctuates, sometimes drastically. The price of a security may move up or down, and may even become valueless. It is likely that losses may be incurred as a result of buying and selling securities.

Declaration by the staff, ..... (Investment Advisor) on behalf of the Asha Phillip Securities Ltd has clearly explained the risk disclosure statement to the client while inviting the client to read and ask questions and take independent advice if the client wishes.

.....  
Authorized Signature

.....  
Advisor's Signature

ASHA PHILLIP SECURITIES LIMITED

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No. 321, Galle Road,  
Colombo 03

Tel: 2429100 Fax: 2429199

We .....  
bearing Business Registration No. .... of .....  
..... hereby declare that the particulars  
given overleaf are true and correct

We undertake to operate my / our share trading account with ASHA PHILLIP SECURITIES LTD. (Hereinafter referred to as BROKER) in accordance with the Rules and Conditions given in the Colombo Stock Exchange Bought and Sold Notes and in accordance with the conditions of Sale of the Colombo Stock Exchange and other prevailing laws and regulations of Sri Lanka and in particular to the authority hereinafter granted by us to the Broker.

In the event of our failure to settle the amounts due in respect of a share purchase, we do hereby irrevocably authorise the Broker to sell such securities involved in the default and if such proceeds are inadequate to cover the shortfall and any loss incurred by the Broker, to sell any other security in our portfolio held by the Broker in the Central Depository Systems (Pvt) Ltd, so that the full amount due to the Broker may be settled and any surplus arising on the sale of shares shall accrue to the Broker unless such surplus arise from the sale of other quoted shares deposited by the buyer as collateral with broker in which event the surplus shall be remitted to us after settlement day of the relevant sale (s).

The funds to be invested for the purchase of Securities through the Securities Account to be opened with the CDS will not be funds derived from any money laundering activity of funds generated through financing of terrorist or any other illegal activity.

In the event of a variation of any information given in the CDS Form 2, Addendum to CDS Form 2(A) this declaration and other information submitted by us along with the application to open a CDS Account, we undertake to inform the CDS in writing within fourteen (14) days of such variation.

The irrevocable authority granted hereby shall in no way effect or exempt us from any liability as stated herein towards the BROKER arising from or consequent upon any such default.

Also we do hereby irrevocably agree that in the event of any purchase orders placed with you for the purchase of shares, we shall pay approximately 50% of the value of such purchase by a legal tender which amount shall be set off against the total amount due from us to you on the due date of settlement in respect of such purchases, and the relevant investment advisors may be incentivised by the company on such purchase and sales turnovers.

Any delayed payments will be subject to additional interest cost on the condition and will be debited to my/our account. Interest percentage will be decided by the Broker considering the prevailing interest rates. (not exceeding a maximum interest rate of 0.1% per day)

The risk disclosure statement was explained while advising independently and was invited to read and ask questions.

Services provided : Online facility, Research reports.

COMPANY SEAL & SIGNATURES OF TWO DIRECTORS & DATE

2 copies of the memorandum of articles, incorporated certificate to be attached)