

SAMPATH SECURITIES (PRIVATE) LIMITED

CLIENT AGREEMENT FOR STOCK BROKING SERVICES INDIVIDUAL/JOINT ACCOUNTS

THIS AGREEMENT is made and entered into at Colombo in the Democratic Socialist Republic of Sri Lanka on this..... day of..... 20..... between/among.....bearing NIC

No./Passport No..... No..... of

.....and..... bearing NIC No./

Passport No.....

of.....and bearing NIC No / Passport No of

..... of

(hereinafter called and referred to as 'the Client/s' which term or expression as herein used shall where the context so requires or admits mean and include the said and..... his/her/ their Executors Administrators and assigns) of the FIRST PART

and SAMPATH SECURITIES (PRIVATE) LIMITED bearing registration No PV 4754 a Company duly incorporated in the said Republic of Sri Lanka, and having a stock broker license from the Securities Exchange Commission of Sri Lanka and having its registered office at No 110, Sir James Peiris Mawatha, Colombo 02 (hereinafter called and referred to as 'the Broker' which term or expression as herein used shall where the context so requires mean and include the said SAMPATH SECURITIES (PRIVATE) LIMITED its successors and assigns) of the SECOND PART.

SEND GREETNGS

WHEREAS the client/s has requested for stock brokering facilities and its related service facilities from the Broker and the has agreed to grant the client/s such services subject to the following terms covenants and conditions.

NOW THIS INDENTURE WITNESSETH

The said Covenants / Terms & Conditions

1. The agreement and its contents and the services extended by the Broker are subject to the rules and regulations and its amendments from time to time, brought to effect by the regulator/s.
2. The client/s undertake to indemnify the Broker , for any loss damage caused by provisioning of services under this agreement.

3. The client/s and the Broker hereby agree to inform each other of any changes to their information provided under this agreements and the relevant documentation executed in concurrence with Brokering services.

4. Nature of services available to the Client/s

- a) Execution of trades in stocks (Equity/Debt)
- b) Investment advisory services (including research information)
- c) Internet Trading facilities

5. Account Statements and Contract (bought / sold) notes will be sent by Broker firm to Client .
by

Email	
Post	

6. Applicable Commission/s, fees, charges, brokerages payable by the client to the Broker and/or to the Regulatory/ Government authorities in respect of transactions.

Transaction cost applicable for equity & debt securities given below

6 (A) Equity — with effect from 27 June 2017

(a) 1. Transactions up to Rs 100 million — 1.12 %

Divided as follows:

Brokerage Fees	0.640%
CSE Fees	0.084%
CDS Fees	0.024%
SEC Cess	0.072%
Share Transaction	0.300%



2. Transactions over Rs 100 Million

Minimum Brokerage (Floor)	0.2000%
CSE Fees	0.0525%
CDS Fees	0.0150%
SEC Cess	0.0450%
Share Transaction	0.3000%

Transaction cost will be applied on a step basis for transactions over Rs.100 Million.

(b) Intraday Trading

With effect from 15th February 2006, the transaction fee due to the broker, CSE,CDS, and SEC on intraday trades, where a client buys and sells or sells and buys the same security on the same day through the same broker will not be charged on one side of the transaction.

In the event the total number of shares purchased does not equal the total number of shares sold, the transaction fees as detailed above will not be levied on the lower quantity of shares either purchased or sold

In the event the total quantity purchased is equal to the total quantity sold, the transaction fees will not be levied from the sales transaction.

Please note that the total purchases and sales of a client in the same security will be considered for purpose of determining the exemption of the Brokerage, CSE, CDS and SEC (transaction fee). Share Transaction Levy will be charged from both sides of the transaction.

6(B) Corporate Debt

Brokerage — Negotiable

Fees (SEC,CSE&CDS) — 2 Basis points (divided equally amongst the three institutions)

6 (C) Government Debt

Brokerage — Negotiable

6 (D) Closed End Funds

Fee based on a percentage (%) of the transaction value

Brokerage	Negotiable with a Cap of 1%
CSE Fee	0.02%
CDS Fee	0.01%
SEC cess	0.02%

The above fees and charges are subject to change, from time to time, as stipulated by the Regulator/s.

7. Incentive scheme/s applicable for the employees of the stock broker firm which is based on the turnover generated by the transactions carried out on behalf of the clients.
The Management (at their discretion) of the broker firm, had set targets for each individual broker whereby if the broker generates turnover above such targets , he/she is entitled to percentage , (decided by the Management at their discretion on average being 10%) as incentive
8. If a client has a complaint against the Stockbroker in respect of dealings in Securities such Client shall in the first instance, refer same in writing to the Compliance Officer of stockbroker within a period of three (03) months from the date of disputed transaction/s. The Compliance Officer shall deal with the complaint and shall insure that it is resolved expeditiously and

satisfactorily. If not satisfied with the decision of the Stockbroker, Client is entitled to complain the CSE.

9. Risk disclosure statement — attached and marked as Annexure — 1

IN WITNESS WHEREOF the client/s and on behalf of the Broker, An Authorized Officer (non-trading) has set their hands and affixed its seal hereunto on the day and year first hereinabove mentioned



Signed by the)
.....)
Client/s..... Day of

Witness

1. Signature Name NIC #

Address
.....

2. Signature Name NIC #

Address
.....



RISK DISCLOSURE STATEMENT INDIVIDUAL/JOINT ACCOUNTSRISK OF SECURITIES TRADING

The prices of securities fluctuate, 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 rather than profits made as a result of buying and selling securities

Declaration

(in BLOCK CAPITALS) of Sampath Securities Private Limited bearing registration number PV 4754 as a company duly incorporated in the said Republic of Sri Lanka and having stock broker and dealer certificates (licenses) from the Securities Exchange Commission of Sri Lanka and having its registered office at No 110, Sir James Peiris Mawatha, Colombo 02 declare as follows :

1. That I have been duly authorized by the Board of Directors of the said broker firm to tender this declaration on behalf of the broker.
2. The broker firm and its duly authorized officer/s has clearly explained the risk disclosure statements to the client.
3. The broker firm had invited the client to read the risk disclosure statement, as questions and take independent advice if the client wishes.

.....

Signature

.....

Date

Acknowledgement

I/We.....

of.....

..... bearing National Identity Card,
 No/s Passport No./s..... /.....hereby declare that.

1. Risk disclosure statement was explained to me/us.
2. I/We was /were invited to read the risk disclosure statement to ask questions and take independent advice as and when necessary.



1.

Signature

.....

Date

2.

Signature

.....

Date

3.

Signature

.....

Date