



STANDARD SERVICE AGREEMENT

THIS AGREEMENT IS MADE ON between
of bearing
National Identity Card No./ Company Registration No. and WealthTrust Securities
Limited (WTSL) of No. 32, Dudley Senanayake Mawatha (Castle Street), Colombo 08.

Applicable Legal Provision

In terms of the provisions of the Local Treasury Bills Ordinance No. 8 of 1923 (LTBO) and the Registered Stock and Securities Ordinance No 7 of 1937 (RSSO) and the Local Treasury Bills (Primary Dealers) Regulations No. 01 of 2009 made under section 16 of the LTBO and the Registered Stock and Securities (Primary Dealers) Regulations No. 01 of 2009 made under section 55 of the RSSO.

General Principles

WTSL will ensure that in all its dealing with Customers and within the context of its authorization it:

- (a) acts honestly, fairly and professionally in the best interests of its customers and the integrity of the market
- (b) acts with due skill, care and diligence in the best interests of its customers
- (c) does not recklessly, negligently or deliberately mislead a customer as to the real or perceived advantages or disadvantages of any investment
- (d) seeks from its customers information relevant to the investment
- (e) makes full disclosure of all relevant material information, including all charges, in a way that seeks to inform the customer
- (f) seeks to avoid conflicts of interest
- (g) corrects errors and handles complaints speedily, efficiently and fairly
- (h) does not exert undue pressure or undue influence on a customer
- (i) ensure that the name of any investment is not misleading in terms of the benefits that the investment can deliver to a customer
- (j) ensure that all instructions from a customer are processed properly and promptly
- (k) ensure that any funds received by it in favor of a customer, are credited to that account by close of the business day on which the funds are received
- (l) where WTSL deals with a person who is acting for a customer under a power of attorney WTSL will;

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- ❖ obtain a certified copy of the power of attorney
- ❖ ensure that the power of attorney allows the person to act on the customer's behalf and
- ❖ operate within the limitations set out in the power of attorney

Provision of Information

- (a) If WTSL ceases operations, merges with another, or transfers all or part of its activities to another Primary Dealer, WTSL will;
 - ❖ provide at least two months' notice to its customers to enable them to make alternative arrangements
 - ❖ ensure all outstanding transactions are properly completed or inform the customer of how continuity of services will be provided following the transfer or merger
- (b) WTSL ensures that where it communicates with a Customer using electronic media, it has in place appropriate arrangements to ensure the security of information received from the Customer and the secure transmission of information to the Customer

A Customer's obligations toward a Primary Dealer

It is imperative that the Customer informs WTSL at all times of any changes to his/her address and contact details to facilitate to contact the Customer at any time and to ensure that Customer registration details in the CDS are current and accurate

- (a) The Customer should have the complete understanding of the product/service offered by the Primary Dealer before entering into the contract.
- (b) The Customer should duly fill and submit the required application forms and supporting documents in time.

Compliance with Customer Charter

WTSL hereby confirms that it is governed by the Customer Charter which offers protection to Customers and that the Charter can be found on the Central Bank's website www.cbsl.gov.lk.

I confirm having received a copy of the WTSL Standard Service Agreement

.....
Signature of Applicant

.....
Signature of Joint Applicant

Date :

FOR OFFICE USE ONLY			
Client Code	:	Introduced By:	Checked By :
Client CDS Code:	Branch Code :	Authorized By:	