

**Central Depository Systems (Pvt) Ltd.**

Fully Owned Subsidiary of the Colombo Stock Exchange  
Company No: PV 1270



Central Depository Systems (Pvt) Limited

CONVENIENT : DEDICATED : SECURE

Ground Floor  
M&M Center  
341/5, Kotte Road  
Rajagiriya, Sri Lanka.

www.cds.lk

27<sup>th</sup> November 2025

To: The Heads of Custodian Banks,

**CIRCULAR NO: 10-11-2025**

Dear Sir/Madam,

**DOCUMENTS TO BE SUBMITTED FOR FUND APPROVAL AND NAME CHANGES INSTRUCTED BY THE SECURITIES AND EXCHANGE COMMISSION OF SRI LANKA (SEC)**

Further to the Circular No: 05-06-2025 dated 11<sup>th</sup> June 2025, effective immediately, the supporting documents required for granting of approval for Global, Regional and Country Funds and for recording name changes of previously approved funds by the Securities and Exchange Commission of Sri Lanka (SEC), will be revised as set out in the enclosed Annexure.

Yours faithfully,

Nadeera Athukorale

**Head – Central Depository Systems**

vc

Voice : 0094112356444

Fax : 0094112440396

**(01) Checklist for Fund Account Opening Requests**

<b>Section</b>	<b>Checklist Item</b>	<b>Status</b>
<b>1. Investment Objective Letter</b>	Confirm that the <b>Investment Objective Letter</b> is dated and received <b>within the last six (6) months</b> to ensure it is valid.	<input type="checkbox"/>
<b>2. Custodian Cover Letter</b>	Completed cover letter by Custodian	<input type="checkbox"/>
	GC name removed from account name	<input type="checkbox"/>
	GC mentioned separately	<input type="checkbox"/>
<b>3. Fund Name Consistency</b>	Verify the <b>Fund Name</b> on the <b>Fund Authority Letter</b> exactly matches (including <b>case sensitivity</b> and <b>special characters since sometimes there are clone funds</b> ) the name on the official letterhead.	<input type="checkbox"/>

**Note to Custodian:**

When submitting fund name change requests to CDS, please ensure the following:

- All necessary information should be **clearly marked and highlighted** in the supporting documents.
- **Page numbers** where the relevant information can be found should be **clearly indexed** and presented **separately** for ease of reference.
- Kindly note that the list provided is not exhaustive. The SEC reserves the right to request any additional documents or evidence deemed necessary in connection with fund name change requests as part of the review and approval process.

**(02) Checklist for Fund Name Change Requests**

Section	Checklist Item	Status
1.Fund Identification Details	Full name of the Fund	<input type="checkbox"/>
	Address of the Fund	<input type="checkbox"/>
	Place and Date of Establishment of the Fund	
2. Regulatory Proof	Certificate/Letter from relevant state regulatory authority confirming the Fund is registered or regulated (Current Name and New Name)	<input type="checkbox"/>
	If exempted from regulation: Law under which exemption is granted.	<input type="checkbox"/>
	If exempted: Supporting documentation acceptable to SEC	<input type="checkbox"/>
3. SWIFT Instructions	SWIFT instructions from Global Custodian (GC) to Local Custodian Bank	<input type="checkbox"/>
4. Fund Manager / Trustee Info	Certificate of Incorporation of Fund Manager/Trustee (required if the Fund Manager has changed after the account opened) - Please note that details of the Fund Manager including the name, registered address, place and date of incorporation, and certificate of incorporation are required in the event that any discrepancies, gaps, or ambiguities are identified regarding the Fund Manager during the review process.	
5. Custodian Cover Letter	Completed cover letter by Custodian	<input type="checkbox"/>
	GC name removed from account name	<input type="checkbox"/>
	GC mentioned separately	<input type="checkbox"/>
6. Fund Name Consistency Check	Fund name in Authority Letter matches exactly with name on letterhead or official documentation (including case sensitivity and special characters)	

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