

DISPUTE RESOLUTION RULES

OF THE COLOMBO STOCK EXCHANGE GROUP

EFFECTIVE FROM 3rd APRIL 2023



DEFINITIONS

Client	: means a Client as defined in the SEC Act.
CDS	: means the Central Depository Systems (Pvt) Ltd.
Clearing Member	: means a Clearing Member as defined in the SEC Act and admitted as a Clearing Member by the CDS in terms of the Clearing House Rules of the CDS.
CSE	: means the Colombo Stock Exchange.
CSE Group	: means the Colombo Stock Exchange and its subsidiaries.
Depository Participant	: means a Depository Participant as defined in the SEC Act and admitted as a Depository Participant by the CDS in terms of the Central Depository Rules of the CDS.
Dispute Resolution Panel	: means an independent panel comprising of ten (10) members appointed by the Board of Directors of the CSE in consultation with the SEC in accordance with these Rules.
Listed Entities	: means Entities which has its Shares or Debt Securities listed on the Exchange.
SEC	: means the Securities and Exchange Commission of Sri Lanka established under the SEC Act.
SEC Act	: means the Securities and Exchange Commission of Sri Lanka Act, No. 19 of 2021, as may be amended.
Stockbroker	: means a Stockbroker as defined in the SEC Act and admitted as a Trading Participant of the CSE.
Trading Participant	: means a Trading Participant as defined in the SEC Act and admitted as a Trading Participant by the CSE in terms of the Trading Participant Rules of the CSE.