

# CFA Society Sri Lanka

## Capital Market Awards Sri Lanka 2026

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### Evaluation Criteria for Best Unit Trust Award

1. Risk adjusted returns against appropriate benchmarks based on the five-year performance of the fund against the benchmark and peers.
2. Approach to marketing, sales, client acquisitions and facilitating convenient accessibility for retail investors as well as broad-basing the investor base, including presence online especially using digital platforms to expedite onboarding, switching and redemption, optimizing multiple distribution channels, presence of various products to cater to a wide range of clients and diversify investor concentration from large institutions.
3. Quality of disclosures and availability of information in the public domain including an Overview of the Fund Management Company, Information of the Fund Management Team, Latest Explanatory Memorandums of each fund, Latest Annual Reports of each fund, Latest half-yearly and interim reports of each fund, Monthly Fact Sheets, publishing returns against benchmarks alongside fund manager viewpoints and commentaries.
4. Investment management, risk management and compliance processes and practices.

### Evaluation Process

During the first round, judges will evaluate all the participants based on the information published in their respective websites and the information uploaded on the common drive.

Once you have agreed to participate in the competition you will be requested to submit the following documents on or before 20<sup>th</sup> July 2026. The CFA Society of Sri Lanka will provide a customized link to each applicant to upload the following in due course:

1. A document containing a brief description of:
  - a. Investment process
  - b. Composition of the investment committee
  - c. Organization Chart and Profiles of the Key Personnel
  - d. General investor profile showing the mix between institutional and retail investors
2. Daily unit trust prices in Excel format
  - a. For last 5 years for Category A
  - b. Since inception of the unit trust for Category B
3. Certification from CEO that all regulatory filings were done on a timely basis and there were no violations during the year which were highlighted by the Securities and Exchange Commission

At the end of the first round, judges will short-list funds for the second round.

The second round will include a presentation to the panel of judges by short-listed finalists. The presentations will be held during 14<sup>th</sup> & 18<sup>th</sup> August 2026. The presentation would be limited to 30 minutes and will be followed by a Q&A session. The presentation should cover the following areas:

1. Client acquisition process and approach to sales and marketing with a focus on investor education and alternate digital channels used
2. Investment approach including compliance and risk management processes and good governance practices.

You will need to conduct a 30-minute presentation for each submission made under the relevant categories by your company and scores of this will then be tabulated for final results.

**For Judges' Feedback from last years' awards (Commendations and Areas for Improvement), refer the website.**