

Trading Membership Application Form

To: Mr. Timothy Bennett
Chief Executive Officer of the
Astana International Exchange
Nur-Sultan, Kazakhstan
Date: _____

Subject: Application for Trading Membership

Dear Sir,

We would like to become a Member of the Astana International Exchange Ltd. (Exchange). We hereby apply for the said membership as per the details given below and undertake to conform to and to abide by the AIFC Regulations and Rules, AIX Business Rules, Circulars and Notifications (or Market Notices) issued by the Exchange from time to time. We shall be liable for all contracts and transactions in the exchange entered by us or by our authorized representatives and we shall comply with all requirements of the Exchange or its post-trade operator relating to the settlement thereof. We also confirm to abide by all decisions of the Exchange with respect to the operation of the Exchange and would perform accordingly in meeting our financial, regulatory and operational responsibility as decided of the Exchange from time to time.

Thanking You
Yours sincerely,

1) Signature with Stamp

No	Enter the name and position or title of the above signed Director/Partner of the Applicant
1	

(To be signed by Designated Director/Partner)

Application for admission as an Astana International Exchange Ltd.'s Member.

This application must be submitted by all participants applying for a AIX Membership, as defined in AIX Rulebook (MR 1) and include all the necessary attachments as requested in this form. In addition to this form you may be required to complete other supplementary forms as applicable to your intended activities.

1. Declaration:

I, _____ (*full name the Representative*) declare that the information given in this form, the supplements and documents attached, as well as any applicable supporting documents, given in this form is true and correct, and in the event of any information furnished is false, misleading or suppression of facts, our certificate of registration is liable to be cancelled by AIX without assigning any reasons whatsoever.

I confirm that I have the authority to make this application, to declare as specified above and sign this form for, or on behalf of, the applicant. I also confirm that I have authority to give the consent specified above.

I understand that any personal data provided to AIX can be used to discharge its regulatory functions under the AIFC Data Protection Regulations, and other relevant legislation and may be disclosed to third parties for those purposes.

I confirm that all documents submitted as part of this application, whether physical or electronic, become property of AIX.

Date _____

Signature of the Representative

1.1. Details of the Representative

Name of the Representative	
Position within the Applicant's organisation	
Telephone No.	
Mobile No.	
Email	

2. Applicant's Information

2.1. General Information

Full Legal Name of the Applicant	
Date of Incorporation (dd/mm/yyyy)	
Corporate Identity No.	
Place / Country of Incorporation	
Brief Description of principal activity of the applicant	
Brief description of group, if any, to which the applicant belongs	
Membership of other Exchanges	
Correspondence Office Address details	
Full Address	
City	
Zip Code	
Country	
Telephone No.	
Fax	
E-mail address	
Website	

2.2 Licence

AFSA's Recognition/Authorisation License Number (please attach a copy of a license)	
Has the applicant held or been granted, any licence by any Financial Services Regulator not stated elsewhere in this form? If YES , please provide details below and attach a copy of a licence.	
Full name of Financial Services Regulator	
Nature of license, registration or authorisation held	
Relevant dates of licence, registration or authorisation held	

2.3 Details of the Chief Executive Officer/Managing Director

Name	
Designation	
Tel. No.	
Fax No.	
Mobile No.	
E-mail address	

2.4 Details of the Compliance Officer

Name	
Mobile No.	
Email address	

2.5 Details of the Money Laundering Reporting Officer

Name	
Mobile No.	
Email address	

2.6 Name and address of the bankers and the facilities availed from such banks. (Please enclose reference letters from each bank)

Name	Address	Reference Letter No.

(add rows if necessary)

3. Personnel and Technical resources

Please attach the Applicant's personnel and technical details.

3.1. Personnel Details

Details of sales personnel or approved individual who has passed any certification programme with a regulated Exchange (Trader, Trade Manager, Broker)

Mr/Mrs	Name (include position in brackets)	Exchange	Regulator	Name of Certification	Assigned User Role in the AIX Trading System

(add rows if necessary)

3.1.1. Specification of User Roles in AIX Trading System

FIRMMANAGER	Able to view, amend and withdraw firm's orders and enter their own orders.
FIRMVIEWER	Able to view firm's orders and trades. No order management allowed.
TRADER	Able to view, enter, amend and withdraw their own orders only.

3.1.2. Assigned individuals personal details (described in 3.1)

Full name	Email address	Contact number

(add rows if necessary)

3.2. Technical Resources

Please specify (tick), which Connectivity option the Applicant will use?

AIX Nasdaq WebTrader	
FIX & ITCH-Protocol Connection	

Please provide evidence of requirements below.

No.	Name	Y/N
1	Internet connection with public (white) IP-address Minimum 512 Kbps per every session	
2	Use web-based AIX Web Trader Free product provided by AIX	
3	Use FIX v5.0 and ITCH connections Existence an order management system or FIX v5.0 and ITCH clients	
3.1*	Network firewall with IPSec VPN support <i>Recommended Cisco, Juniper, Fortinet, Palo Alto</i>	
3.2*	Local (private) network IPv4-addresses or range <i>From ranges for private networks reserved in RFC 1918</i>	
3.3*	Completed 'AIX Site-to-Site VPN Request Form' <i>Received confirmation from AIX by e-mail</i>	
3.4*	Created Site-to-Site VPN connection <i>Configured IKE phases and access lists for IP- addresses or range on network firewall</i>	
4	Existence of an internal IT department or external IT support	
5	Presence of a Disaster Recovery site	
6	Existence of the AIX order management system certification	
7	Presence of a Business continuity plan	
8	Presence of the Internet line redundancy	
9	Presence of IT security policy and procedures	
10	Presence of an IT security officer	

*skip if item 3 is "No"

3.2.1. Assigned individuals personal details (IT Department)

Full name	Email address	Contact number

(add rows if necessary)

4. Internal Rules and Procedures

Please attach the Applicant's main internal Rules and Procedures in relation to proposed Activity. (extract of the policies and procedures that are relevant to trading on AIX)

4.1. Anti-Money Laundering, Countering Financing of Terrorism and Financial Crime

Please attach the applicant's copies of policies, procedures, systems and controls for prevention of financial crime, including Market Abuse, Anti-Money Laundering, Countering Financing of Terrorism and Sanctions which must be specific to its AIFC activities and comply with the AIFC AML Rules. These policies procedures, systems and controls should include, amongst other things, arrangements to ensure that the Applicant will comply on a continuous basis, with all requirements of AIFC AML Rules including without limitation AIX AML Notice.

5. Corporate Governance

5.1. Please provide details of Applicant's Directors.

Mr / Mrs	Names	Age	Educational Qualifications	Experience in trading or securities market, as applicable

(add rows if necessary)

5.2. Please provide details of Applicant's Senior Management.

Mr / Mrs	Names	Age	Educational Qualifications	Experience in trading or securities market, as applicable

(add rows if necessary)

5.3. Please attach the following: Organisational structure chart, Evidence of Incorporation and Article of Association / Partnership deed.

6. Applicant's Controllers

Shareholding Pattern of the Applicant

Equity / Preference

Please indicate and use separate sheets for equity/preference shares

Sr No.	Name	Number of shares held	Face value per share (in ***)	Amount Paid up (in ***)	% of total
1					
2					
3					
4					
5					
Others					
TOTAL					100%

(add rows if necessary)

*** - please define currency

6.1. Please provide further details of Persons that directly or indirectly have ability to exercise control of at least 20 percent of the Applicant's shares or voting rights.

Details of the Applicant's Persons (being Natural persons)

Name:	
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Date of Birth (DD/MM/YYYY):	
Citizenship:	
ID number:	
Direct or Indirect Shareholder:	
Date of shareholding (MM/YYYY):	
Type, amount, effective % of shareholding in Applicant:	

(add table for each Person if necessary)

Set out details of the above Person's employment history during the past 10 years (including periods of part-time employment, unemployment or self-employment). List the records in reverse chronological order, starting from the most recent record:

Name of employer and country of operation:	Nature of business of employer	Designation and department	Brief description of duties	Period (MM/YYYY)	
				From:	To:

(add rows if necessary)

Set out details of any directorships of the Person in any corporations, other than this appointment with the Applicant. List the records in reverse chronological order, starting from the most recent:

Name of corporation	Place of incorporation	Nature of business	Directorships: (executive or non-executive)	Date of appointment: (MM/YYY)	% shareholding in corporation	

(add rows if necessary)

6.2. Details of the Applicant's Persons (being Legal entities)

Name of Entity:	Place of incorporation or registration:	Type, amount, effective % of shareholding:

(add rows if necessary)

Are or have any Persons mentioned above been:

- bankrupt
- convinced of a serious criminal offense
- the subject of an administrative or civil finding
- incapable, through mental or physical incapacity, of managing their affairs

Y/N

If answered "Yes" to any of the above, please provide particulars:

7. Fit and Proper Questionnaire

Please give the following details of the Applicant

(If Yes, please provide complete details)

Sr.	Particulars	Yes/ No
a)	Have you committed any act which may render you liable to be wound – up?	
b)	Have you had a provisional liquidator or receiver or official liquidator appointed by a competent court?	
c)	Are the designated directors associated with any other members or authorized persons of the Exchange?	
f)	Is the entity listed on any stock Exchange?	

Other details:

1. If the applicant intends to settle his trades through a clearing member, the applicant is required to provide, prior to the start of its trading activity on AIX, the name and details of the clearing member along with a copy of MoU/ agreement/ contract with them for the same.
2. If the applicant intends to settle his trades through a settlement agent member, the applicant is required to provide, prior to the start of its trading activity on AIX, the name and details of the settlement agent member along with a copy of MoU/ agreement/ contract with them for the same.

Undertaking:

3. Whether the applicant or its director or partners, were at any time convicted of any economic offence? Y/N
If yes, please provide details.

4. Whether the applicant or its directors or partners, were at any time declared insolvent or declared defaulter by any exchange or clearing house? If so, please provide details. Y/N
If yes, please provide details.

5. Whether the applicant or its directors or partners, were at any time subjected to any proceedings or penalty by an IOSCO Member or Regulated Exchange? If so, please provide details. Y/N

If yes, please provide details.

6. Whether any disciplinary action has been initiated / taken or penalty has been imposed by stock exchange(s)/ clearing corporation(s) or any other regulatory authority? If yes, please provide details. Also provide details of remediating actions. Y/N

If yes, please provide details.

We hereby undertake/state that:

The above-mentioned particulars are true, correct and complete to the best of our knowledge and information and no relevant material fact has been suppressed.

There is no any misstatement or misrepresentation or suppression of facts in connection with this application for trading membership, nor breach of any undertaking or condition of admission to trading membership. It could entail rejection of application or of trading membership.

We have disclosed and reported all the details in regard to inquiry / investigation, if any, that has been conducted by any authorities including government agencies against applicant / promoters / directors etc., during the past 10 years the findings of the agencies if any have been disclosed fully along with this application.

We shall pay the required fees and deposits and submit the necessary documents as required by AIX.

We would notify AIX within 15 days of any change in information provided in this application form.

*1) Signature with Stamp of the
Director/Partner*

*2) Signature with Stamp of the
Representative*

Date

Submitting the Application Form

Once you are satisfied that this form and all other supporting forms and documents necessary for your completed application have been finalised, you can then proceed to arrange an application submission meeting.

We will undertake an initial review of it to ensure that your submission appears to be materially complete and all the necessary attachments are included.

For your submission we will require hardcopies of one set of application forms, supplemental forms, and purpose-written, attachment documents, as well as the same in electronic format. If you are submitting published documents (for example, a corporate annual report), they are to be submitted in electronic form only.

Firms are advised to retain a copy of this form, any supplements, and all attachments for their records.