# Compliance Statement

Completing this statement

This statement is required to be completed by all Members under AIX Membership Rules of AIX Business Rules and AIX CSD Business Rules (together referred to as the “Business Rules”). If you need assistance with this statement, please contact AIX Regulation and Compliance at broker@aix.kz.

All information provided to AIX in relation to this statement will be kept confidential, except to the extent that disclosure of any or all of the information provided hereunder is necessary for exchange of regulatory information with AFSA or the exercise of AIX’s regulatory functions, or as required by law.

The capitalized terms shall have the meaning assigned to them in the [AIX Business Rules Glossary](https://www-aix-kz.s3.eu-central-1.amazonaws.com/uploads/2020/09/AIX-Business-Rules-_-1.pdf) or [AIX CSD Business Rules Glossary](https://www-aix-kz.s3.eu-central-1.amazonaws.com/uploads/2019/07/AIX-CSD-Business-Rules.pdf), or if not defined there, have the meaning given in the [AIFC Glossary](https://afsa.aifc.kz/files/legals/40/file/glo_v10_fr0017_23.07.2020.pdf).

Completed and signed statement (together with all supporting documents) should be emailed to broker@aix.kz.

### Name of the Member: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### Reporting Period: 2020

Part A – Compliance Statement

The Member confirms that during the Reporting Period:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No.** | **Matter** | **Compliance Statement** | **Rule** | **True/ False/ N/A** | **Explanation** |
|  | License | Member’s license, permission or authorisation which it requires to conduct regulated activity has not been revoked or modified in any way which would materially restrict the Member in performing regulated activity in its home territory or in the AIFC | MR1.2.1(1)MR2.1(3)REC Schedule 3 (item 4)AIX CSD Rule 2.2.2(a), 2.3.2 |  |  |
|  | Recognition Requirements | Nothing caused the Recognised Non-AIFC Member to believe that it has failed to satisfy the RNAM Recognition Requirements (*RNAMs only*) | FSFR 91(3)REC Schedule 3 (item 6)) |  |  |
|  | Regulatory History | Neither AFSA nor a Financial Services Regulator nor law enforcement authority, as applicable, has started any relevant formally notified investigation, enforcement proceeding, sanction, formal notification or injunction against the Member, Director, senior executive with responsibility for trading on AIX Trading Facilities, a Trader, Trading Manager or Representative | MR2.4.2REC Schedule 3 (items 7,8))AIX CSD Rule 2.6.1, 2.6.2 |  |  |
|  | Significant Event | To the best knowledge of the Member, no significant event or Event of Default has occurred which may significantly affect the performance of its obligations under the Business Rules and/or Membership Agreement and/or Participant Agreement | MR2.4.2AIX CSD Rule 2.6.1, 2.6.2 |  |  |
|  | **Notification obligations** | The Member has complied with its notification obligations and submitted the relevant notifications to AIX regarding changes in the Member’s name, address, legal structure, Controllers / Shareholders (>10%), Responsible Person, etc. | MR 2.4.1REC Schedule 3 (items 1-3)AIX CSD Rule 2.6.1, 2.6.2 |  |  |
|  | **Sanctions** | The Member has not, directly or indirectly, made use of AIX Trading Facilities or AIX CSD clearing and settlement facilities to support any activities or business with any person, or any country or territory that is subject to Sanctions or in any other manner that would result in a violation by AIX of Sanctions issued by the United Nations (UN), the United Kingdom, the United States Office of Foreign Asset Control (OFAC), or by the Republic of Kazakhstan.  | AML laws |  |  |
|  | **Continuing Undertaking** | To the best knowledge of the Member, its representations, warranties and undertakings under Clause 2.7 of the AIX CSD Business Rules remain true and accurate. | AIX CSD Rule 2.7.4 |  |  |

Part B – Contact Details

Please complete if any changes have occurred during the Reporting Period:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| No. | Title | Name | Address | E-mail | Phone | Appointment Date |
|  | **Senior Executive Officer** |  |  |  |  |  |
|  | **Representative[[1]](#footnote-2)** |  |  |  |  |  |
|  | **Responsible Person[[2]](#footnote-3)** |  |  |  |  |  |
|  | **Compliance Officer** |  |  |  |  |  |
|  | **MLRO** |  |  |  |  |  |
|  | **Process Agent in AIFC** *(for non-Kazakhstani brokers)* |  |  |  |  |  |

Part C – Due Diligence Update

The Member encloses the following due diligence documents:

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Description of the Document | Enclosed / Not Applicable | Comments |
|  | Copy of audited annual financial statements of the Member, including any consolidated annual financial statements of the Member’s group (*RNAMs only*) |  |  |
|  | Member’s updated organizational chart & ownership structure |  |  |
|  | Copy of resolutions on appointment of the Participant’s Board of Directors (if any changes took place during the Reporting Period) |  |  |
|  | Proof of country residency of the Member’s Directors/CEO (not older than 6 months) |  |  |
|  | CVs of the Member’s Directors/ CEO/ Representative/ Responsible Person (unless provided in previous Reporting Period) |  |  |
|  | Copy of any changes to the Member’s AML policies, procedures and internal controls, adopted during the Reporting Period |  |  |
|  | Wolfsberg Group Financial Crime Compliance Questionnaire (FCCQ) |  |  |
|  | Capital Adequacy Statement (AIX template) |  |  |

CONFIRMATION

The Member confirms that the responses provided in this statement are true and correct.

**CEO/Representative** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
(Name and signature)

1. AIX Business Rules MR 6 [↑](#footnote-ref-2)
2. AIX CSD Business Rules 2.9 [↑](#footnote-ref-3)