**Checklist of Application Documents for AIX CSD Participants**

IMPORTANT: Please note that during the preliminary review electronic copies should be sent via email and hard copies will be sent by post to the address provided by AIX CSD when the potential participant will get an approval from AIX CSD Regulation and Compliance.

For the Applicant to complete:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Document Name | Format | Provided (Y/N) | Templates |
|  | AIX CSD Participant Application | MS Word & scan |  |  |
|  | Reference Letter from the Bank | Scan |  |  |
|  | Local Regulator’s license of Applicant (if any) and Parent company (if any) | Scan or link |  |  |
|  | Organizational Structure and Extract from Resolution on its approval | Scan |  |  |
|  | Passports / IDs of every person mentioned in the Application Form, inc. Board of Directors, Management Board, Ultimate Beneficial Owners, and Authorised Signatories | Certified hard copy/scan |  |  |
|  | Letter on composition of the Board of Directors and Management Board | Scan |  |  |
| Extract from Resolution on appointment of the members of Board of Directors and Management Board |  |  |
|  | Certificate of Incorporation of Applicant and Parent company(-ies) (if any) | Scan |  |  |
|  | Articles of Association / Partnership with all amendments as of application date | Scan |  |  |
|  | Ownership structure with indication of Ultimate Beneficial Owner and/or Register of Shareholders (Participants) | Scan |  |  |
|  | AML / CFT / Financial Crime Policies and Procedures and Extract from Resolution on their approval | Scan |  |  |
|  | 2 years Audited Financial Reports | Scan or link |  |  |
|  | Declaration regarding PEP | Original |  |  |
| Confirmation of PEP’s source of wealth, source of funds (if any) |
|  | Declaration regarding association with other recognized stock exchanges / commodity exchanges / clearing corporation and relevant licenses | Original of the Declaration and link/copy of license |  |
|  | Declaration regarding sanctions exposure | Original |  |
|  | Filled AIX CSD Enforceable Undertakings | Scan and Original |  |  |
|  | Confirmation of Appointment of Process Agent (foreign RNAMs only) | Scan or Original |  |  |
|  | Signature Card of Authorised Persons | Legalised original copy |  |  |
|  | AIX CSD Participant Agreement | Scan and Original |  |  |
|  | Proxy to the Signature Card for AIX CSD | Scan and Original |  |  |
|  | Power of Attorney for the access to AIX CSD depository system | Scan and Original |  |  |
|  | AIX CSD PROD application form | Scan and Original |  |  |
|  | Confidentiality Agreement | Scan and Original |  |  |
|  | CSD BUNA form | Scan and Original |  |  |
|  | Account Opening Request | Scan and Original |  |  |
|  | IT Test Checklist | Scan |  |  |