**Checklist of Application Documents for AIX Members**

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 when the potential member gets an approval from AIX Regulation and Compliance.

If you have already submitted the documents from the checklist below to any unit of the AFSA within the last 6 months, please indicate in the Comments Section the relevant unit of the AFSA, approximate date, and other important details. Based on such comments, we will request the documents directly from the AFSA and you will not have to re-submit them to AIX.

For the Applicant to complete:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Document Name | Format | Provided (Y/N) | Templates |
|  | Trading Member Application | MS Word & scan |  |  |
|  | AIX CSD Participant Application |  |  |  |
|  | Reference Letter from the Bank | Scan |  |  |
|  | AFSA License / Recognition | Scan or link |  |  |
|  | 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 |  |  |
|  | Certificates of Traders / Letter of obligation | Scan or link |  |  |
|  | 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/AFSA/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 |  |  |
|  | Trading Member Agreement | Scan and Original |  |  |
|  | AIX CSD Participant Agreement |  |  |  |
|  | 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 (AIX and AIX CSD) | Scan and Original |  |  |
|  | CSD BUNA form | Scan and Original |  |  |
|  | Account Opening Request | Scan and Original |  |  |
|  | IT Test Checklist | Scan |  |  |