# Market Maker Application Form

To: Mr. Oliver Gueris and Mrs. Evgeniya Bogdanova

AIX COO and AIX RC Head

Nur-Sultan, Kazakhstan

Date: \_\_\_\_\_\_\_\_\_\_\_

**Subject: Application for registration as Market Maker**

Dear Sir,

We would like to become a market maker of the Astana International Exchange Ltd. (Exchange) in respect of the below Market Instrument(s):

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| AIX Ticker | ISIN | Class of Securities  | Issuer | Trading Currency |
|  |  |  |  |  |
|  |  |  |  |  |

We hereby apply for the said status and undertake to conform to and to abide by the AIFC Regulations and Rules, AIX Business Rules, AIX Market Maker Procedures and Market Maker Agreement and Notifications (or Market Notices) issued by 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 CEO/Representative of the Applicant  |
| 1 |  |

 **(To be signed by Designated Director/Partner)**

Application for registration as Market Maker with an Astana International Exchange Ltd.

This application must be submitted by all trading members applying for an AIX market maker status 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, correct and not misleading.

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. I further agree that AIX may disclose to Astana Financial Services Authority (AFSA) any information and documents submitted to AIX in connection with this application.

Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of the Representative

* 1. **Details of the Representative**

|  |  |
| --- | --- |
| Name of the Representative |  |
| Position within the Applicant’s organisation |  |
| Telephone No. |  |
| Mobile No. |  |
| Email |  |

1. **Personnel and Technical resources**

Please attach the Applicant’s personnel and technical details.

 (add rows if necessary)

* 1. **Assigned market makers individuals personal details (described in 2.1)**

|  |  |  |
| --- | --- | --- |
| **Full name** | **Email address** | **Contact number** |
|  |  |  |
|  |  |  |
|  |  |  |

(add rows if necessary)

* 1. **Technical Resources[[1]](#footnote-2)**

Please provide evidence of requirements below.

|  |  |  |
| --- | --- | --- |
| **No.** | **Name** | **Response** |
| 1 | Internet connection with public (white) IP-addressMinimum 512 Kbps per every session |  |
| 2 | Use FIX v5.0 and ITCH connectionsExistence an order management system or FIX v5.0 and ITCH clients |  |
| 2.1\* | Network firewall with IPSec VPN support*Recommended Cisco, Juniper, Fortinet, Palo Alto* |  |
| 2.2\* | Local (private) network IPv4-addresses or range*From ranges for private networks reserved in RFC 1918* |  |
| 2.3\* | Completed ‘AIX Site-to-Site VPN Request Form’*Received confirmation from AIX by e-mail* |  |
| 2.4\* | Created Site-to-Site VPN connection*Configured IKE phases and access lists for IP- addresses or range on network firewall* |  |
| 3 | Existence of an internal IT department or external IT support |  |
| 4 | Presence of a Disaster Recovery site |  |
| 5  | Existence of the AIX order management system certification  |  |
| 6 | Presence of a Business continuity plan |  |
| 7 | Presence of the Internet line redundancy |  |
| 8 | Presence of IT security policy and procedures |  |
| 9 | Presence of an IT security officer |  |

* + 1. **Assigned individuals personal details (IT Department)**

|  |  |  |
| --- | --- | --- |
| **Full name** | **Email address** | **Contact number** |
|  |  |  |
|  |  |  |
|  |  |  |

(add rows if necessary)

**3 Confirmation on the separation of market maker activity**

The Applicant undertakes to separate its Market Maker Activities from its other trading activities, and confirms to AIX that it has procedures in place to manage the actual and perceived conflicts of interest that exist between its Market Maker Activities and its other trading activities.

The Market Maker further undertakes that it will not transfer Market Instruments between any accounts opened in the name of Market Maker in the system of AIX CSD, except for transfer of Market Instruments by the Market Maker between its Market Maker and House accounts, subject to compliance with conditions set out in Section 3 of the AIX Market Maker Registration and Supervision Procedures.

If Market Maker fails to comply with the above undertakings, AIX may de-register a Market Maker in respect of one or more Market Instruments for which it was registered as such.

**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 finalized, 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 may require hardcopies of the application forms, supplemental forms, and purpose-written, attachment documents. 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.

1. Not required to be completed in case of follow-on application for registration of additional Market Instruments subject to Market Making Arrangement [↑](#footnote-ref-2)