

AIX Registrar Application for AIFC participants requesting assignment of Identifiers

1. APPLICANT INFORMATION

Company name:

Date of incorporation:

Place of incorporation:

Type of legal entity

Corporate identity No.:

Address:

2. DESCRIPTION OF BUSINESS ACTIVITY OF THE APPLICANT

3. SENIOR EXECUTIVE OFFICER

Name

Date of birth

Citizenship

IIN / Passport No.

4. BOARD OF DIRECTORS

<i>Name</i>	<i>Date of birth</i>	<i>Citizenship</i>	<i>IIN / Passport No.</i>	<i>Residential address</i>

<i>Name</i>	<i>Date of birth</i>	<i>Citizenship</i>	<i>IIN / Passport No.</i>	<i>Residential address</i>

<i>Name</i>	<i>Date of birth</i>	<i>Citizenship</i>	<i>IIN / Passport No.</i>	<i>Residential address</i>

(please copy or delete rows if necessary)

5. SHAREHOLDING STRUCTURE

<i>Name</i>	<i>% of total</i>

Total **100%**

(please copy or delete rows if necessary)

Details of the Applicant's Beneficial Owner(s)¹ (being a natural person):

<i>Name</i>	<i>Date of birth</i>	<i>Citizenship</i>	<i>IIN / Passport No.</i>	<i>Residential address</i>

¹ "Beneficial Owner" has a meaning given in the AIFC Glossary.

	<i>Shareholder type</i>	<i>Date of shareholding</i>	<i>Effective % of shareholding</i>
	<input type="checkbox"/> Direct		
	<input type="checkbox"/> Indirect		
	<i>Date of birth</i>	<i>Citizenship</i>	<i>IIN / Passport No.</i>
			<i>Residential address</i>
	<i>Shareholder type</i>	<i>Date of shareholding</i>	<i>Effective % of shareholding</i>
	<input type="checkbox"/> Direct		
	<input type="checkbox"/> Indirect		

(please copy or delete rows if necessary)

6. POLITICALLY EXPOSED PERSONS

Is any of the Applicant's Directors/ Beneficial Owners /Authorised Signatory/ or their Immediate Relative or Close Associate Individual a PEP? ²

Yes

No

If yes, please provide the following details:

1. Full name	
2. PEP type	
3. Details of function/ position held by PEP	
4. Period of holding a position as a PEP	
5. Citizenship of PEP	
6. Full name of a person with whom you are related/ associated *	
7. Relationship of PEP *	

* Applicable to Immediate Relative or Close Associate Individual of a PEP. Please complete the lines 3-7 with respect to a PEP with whom such a person is related/associated.

(please copy the table if necessary)

7. FITNESS AND PROPRIETY OF THE APPLICANT

Has the Applicant committed a contravention of any provision of financial services legislation or of rules, regulations, statements of principle or codes of practice made under it or made by a recognised self-regulatory organisation, financial services regulator, regulated exchange, or clearing house?

Yes

No

If yes, please provide details.

Has the Applicant been refused or restricted the right to carry on a trade, business or profession requiring a licence, registration, or other permission?

Yes

No

If yes, please provide details.

Has the Applicant ever been subjected to censure, disciplinary action, public criticism, or court order initiated by any regulatory authority, any officially appointed investigation or any other financial services regulator?

Yes

No

If yes, please provide details.

Has the Applicant ever been subjected to any proceedings, disciplinary action, or penalty by a member of IOSCO, any exchange or clearing house, central

Yes

No

² Please refer to Annex 1 to the Application.

securities depositary, registrar/central registry, self-regulatory organisation, or other professional body?

If yes, please provide details.

8. SANCTIONS ASSESSMENT

Has the Applicant, its shareholder(s)/ participant(s) (up to Beneficial Owners) or any member of its Group³ or any Director of the Applicant or a member of the Group, directly or indirectly, been designated as a target of, or is otherwise subject to, Sanctions⁴?

Yes No

If yes, please provide details.

Does the Applicant or any member of its Group have any offices, business activities or planned activities in the FATF non-compliant jurisdictions⁵?

Yes No

If yes, please provide details.

9. REPRESENTATIONS, UNDERTAKINGS AND ACKNOWLEDGEMENTS

1. We, the undersigned, hereby represent and warrant that all information and supporting documents provided in connection with this Application and attached thereto are true, accurate, correct, and complete.
2. We undertake to promptly notify AIX Registrar of any change in any information provided in this Application and supporting documents.
3. We confirm that the persons to whom the personal data relates have consented to the provision of such personal data to AIX Registrar.
4. We represent and warrant that we comply with applicable laws and regulations for the prevention of Financial Crime, Market Abuse, Money Laundering, Financing of Terrorism.
5. We give our unconditional consent to the disclosure of information about our activities of AIX Registrar Ltd. in compliance with the requirements of the applicable legislation, on the grounds established by this legislation and in the manner determined by it.
7. We undertake to provide all the necessary documents requested by AIX Registrar Ltd. in order to comply with the requirements of the legislation of the AIFC and the Republic of Kazakhstan encountering the legalization (laundering) of proceeds from crime and the financing of terrorism.
8. We acknowledge that a Person signing the Application has the authority to submit the form, to declare as specified in the form and sign it for, or on behalf of, the Applicant.

Name:

Job title:

Date:

Signature:

³ “Group” has a meaning given in the AIFC Glossary.

⁴ “Sanctions” means applicable economic or financial sanctions or restrictive measures adopted and enforced by the United Nations Security Council, governmental bodies with the regulatory authority of the European Union, the United Kingdom (including, but not limited to, through HM’s Treasury), the United States (including, but not limited to, through the United States Office of Foreign Assets Control (OFAC)), the Republic of Kazakhstan, in each case, to the extent these measures are applicable.

⁵ FATF non-compliant jurisdictions are jurisdictions under Increased Monitoring or High-Risk jurisdictions subject to a Call for Action.

REQUIRED SUPPORTING DOCUMENTS

1. Articles of Association with all amendments as at the application date
2. Certificate of Incorporation of the Applicant
3. Ownership structure with indication of Shareholders (Participants) up to Ultimate Beneficial Owner(s), and/or Register of Shareholders (Participants)
4. Passports / IDs of the Persons referred to in Sections 3-5 of this Application.
5. Declaration of adherence to AIX Registrar Service Agreement for the assignment of ISIN, CFI, FISN signed by the Applicant
6. Power of Attorney authorizing to act and sign documents on behalf of the Applicant, if applicable

Annex 1

POLITICALLY EXPOSED PERSONS

A Politically Exposed Person (PEP) is a natural person (including a family member or close associate) who is or has been entrusted with a prominent function in the last 10 years as prescribed below.

<i>PEP classification</i>	<i>Short Form</i>	<i>Description</i>
International Organization	PEP IO	A person who is or has been entrusted with a prominent function by an international organisation, refers to members of senior management or individuals who have been entrusted with equivalent functions. Example: senior officials of the United Nations, World Bank, International Monetary Fund.
Regional Organization	PEP RO	A person who is or has been entrusted with a prominent function by a regional organization (organization with international membership that are established within a restrictive geographical or geopolitical boundary and consist of 3 or more member states). Example: senior officials and members of the European Parliament, Organisation of American States, North American Development Bank.
National Government	PEP N	A person who is or has been entrusted with a prominent public function by national or federal governments, sub-national or local governments. Example: heads of state, heads of government and ministers, senior members of the executive, legislature, judiciary, police, and military units.
Non-Governmental	PEP NG	A person who is or has been entrusted with a prominent function by religious organisations with political, judicial, military, and financial responsibilities, political party, political pressure groups and trade unions and other senior labour group exercising political influence or pressure. Example: influential religious leaders and representatives of religious organisations or cults with political, judicial, military, and administrative responsibilities, senior political party officials and functionaries.
State Owned Enterprise	SOE	A person who is or has been entrusted with a prominent function by SOE (legal entity in which government/state holds more than 50% direct, indirect, or combined indirect shareholding). Example: senior executives of SOEs.

<i>PEP relationships</i>	<i>Short Form</i>	<i>Description</i>
Immediate Relative	PEP R	A person who is related to a PEP either directly (consanguinity) or through marriage or similar (civil) forms of partnership. Example: PEP's spouse/ equivalent to spouse, (step/grand)children and their spouses, (step/grand)parents, and (step/half)siblings.
Close Associate Individual	PEP A	A person who is a PEP's close business colleagues or personal advisors, in particular persons acting in a financial fiduciary capacity. Example: business associate, joint owner, fellow shareholder, financial/legal/political advisor, agent, representative or nominee.