

**LIST**  
**of documents to be submitted**  
**by candidates for the Exchange membership – legal entities of the Republic of Kazakhstan**

Item No.	Document title	Requirements for documents being provided	Notes
A	1	2	3
1.	Questionnaire of the Exchange's client on issues of organizing anti-money laundering/combating the financing of terrorism	Documents confirming the accuracy of the information specified in the application form must be provided in the form of originals (authentic documents) or notarized copies.	Filled out in one of the forms in accordance with the explanations (forms and explanations) that are available on the Exchange's website in the "Membership" subsection of the "Rules" section
2.	Questionnaire for the Exchange's client on issues of organizing internal control in terms of ensuring compliance with the international economic sanctions regime		Filled out using the form available on the Exchange's website in the "Membership" subsection of the "Rules" section.
3.	Document on state registration (re-registration) of the candidate as a legal entity	The specified document is provided in the form of an original (authentic document) or a notarized copy.  In the case of providing an electronic document, notarization is not required if it is possible to verify the authenticity of the document through the Internet resource of the body that issued this electronic document.	In accordance with applicable law
4.	The current version of the candidate's charter and all amendments and additions thereto, registered in accordance with applicable law	Copies of the specified documents must be: 1) stitched, numbered, notarized; 2) provided electronically in.pdf format and must be scanned copies of paper versions of these documents	
5.	A valid license issued to the candidate by the Authorized Body and confirming the candidate's right to carry out brokerage and/or dealer activities in the securities market, or another document granting the candidate the specified right	A copy of the license or other document must be notarized and provided in electronic form in.pdf format, and also be scanned copies of paper versions of these documents.	The requirement does not apply to candidates for the Exchange membership under the "currency" category.

Item No.	Document title	Requirements for documents being provided	Notes
A	1	2	3
6.	A valid license issued to the candidate by the Authorized Body and confirming the candidate's right to conduct banking operations in national and/or foreign currencies, including the execution of transactions (carrying out exchange operations) with foreign currencies, or a license to organize exchange operations with foreign currency (except for the organization of exchange operations with foreign currency in cash) or another document granting the candidate the right to conduct transactions (carry out exchange operations) with foreign currencies	A copy of the license or other document must be notarized and provided in electronic form in.pdf format, and also be scanned copies of paper versions of these documents.	The requirement does not apply to candidates for the Exchange membership in the "stock" and/or "derivatives" categories
7.	Information on persons each of whom owns shares of the candidate in an amount equal to five or more percent of the total number of outstanding shares of the candidate on the date agreed upon with the authorized division	The information must be certified in accordance with the registrar's rules and/or signed by the candidate's CEO, or by the person acting as his deputy, or by the person authorized by the Exchange's member to interact with the Exchange.	

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8.	Information on the composition and term of office of the governing body and executive body of the candidate	The information must be presented in the form of a table containing the last names, first names, patronymics (if any) of the members of the management and executive body of the candidate, their positions, date of appointment and term of office.	The following must be attached to the information: 1) extracts from the minutes of the general meeting of shareholders of the candidate, containing information on the quantitative composition of the candidate's management body, on the members of this body, on the term of office of this body as a whole or its individual members (if such a body exists); 2) extracts from the minutes of the general meeting of shareholders of the candidate or from the minutes of meetings of the management body of the candidate, containing information on the quantitative composition of the executive body of the candidate, on the members of this body (including the head of this body), on the term of office of this body as a whole or its individual members
9.	A summary of the members of the candidate's governing body and executive body in the volume necessary and sufficient to assess their level of qualification and practical experience		
10.	A document (for example, a card) with signature samples of the candidate's CEO and his deputies, the candidate's chief accountant and his deputies, and persons authorized to interact with the Exchange on behalf of the candidate	The specified document must be certified by a notary public.	
11.	Annual financial statements for the last completed financial year (in the case of a subsidiary(ies) – consolidated financial statements and separate financial statements of the candidate), confirmed by an auditor's report	The specified financial statements must be prepared in accordance with international financial reporting standards and the legislation of the Republic of Kazakhstan on accounting and financial reporting.	The provision of the specified financial statements for the completed financial year preceding the last completed financial year is permitted if the application for admission to the Exchange membership is submitted within the first four months from the end date of the last completed

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		Copies of the specified documents must be: 1) stitched, numbered, signed by a person authorized to interact with the Exchange; 2) provided electronically in.pdf format and must be scanned copies of the paper version of these documents.	financial year.
12.	Interim financial statements (in the case of a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements of the candidate) for the reporting period preceding the date of filing the application for admission to the Exchange membership and agreed upon with the authorized division	The specified financial statements must be prepared in accordance with international financial reporting standards and the legislation of the Republic of Kazakhstan on accounting and financial reporting. Copies of the specified documents must be: 1) stitched, numbered, signed by a person authorized to interact with the Exchange; 2) provided electronically in.pdf format and must be scanned copies of the paper version of these documents.	Provision is not required if less than four months have passed from the date of completion of the calendar year to the date of filing the application for admission to the Exchange membership.
13.	Information on the values of prudential standards calculated by the candidate in accordance with the requirements of the Authorized Body as of the end of the last day of the calendar month preceding the month of filing the application for admission to the Exchange membership	The information must be stitched, numbered, and signed by a person authorized to interact with the Exchange.	
14.	A document indicating the details of the candidate's accounts in Central Securities Depository JSC that will be used to make settlements with the Exchange for the purpose of executing transactions concluded at trades held by the Exchange		Applies only to candidates for the Exchange membership under the "stock" category
15.	A document indicating the details of the candidate's current bank account in Kazakh tenge, which will be used to make cash payments to the Exchange for the purpose of executing transactions concluded at		

Item No.	Document title	Requirements for documents being provided	Notes
A	1	2	3
	the Exchange's trades		
16.	Letter of assurance of the candidate's compliance with the minimum requirements for the organization of risk management and internal control systems established by the Authorized Body		
17.	Letter of assurance of compliance with the international economic sanctions regime		Filled out using the form available on the Exchange's website in the "Membership" subsection of the "Rules" section.

**LIST**  
**of documents to be submitted**  
**by candidates for the Exchange membership – foreign legal entities**

Item No.	Document Title	Requirements for documents provided	Notes
A	1	2	3
1.	Questionnaire of the Exchange's client on issues of organizing anti-money laundering/combating the financing of terrorism	Documents confirming the accuracy of the information provided in the application form must be provided in the form of originals (authentic documents) or notarized copies, and also apostilled or legalized.	Filled out in one of the forms in accordance with the explanations (forms and explanations) that are available on the Exchange's website in the "Membership" subsection of the "Rules" section
2.	Questionnaire for the Exchange's client on issues of organizing internal control in terms of ensuring compliance with the international economic sanctions regime		Filled out using the form available on the Exchange's website in the "Membership" subsection of the "Rules" section.
3.	Document on state registration (re-registration) of the candidate as a legal entity	The specified document is provided in the form of the original (authentic document) or a notarized copy and must be apostilled or legalized.  In the case of providing an electronic document, notarization is not required if it is possible to verify the authenticity of the document through the Internet resource of the body that issued this electronic document.	In accordance with applicable law
4.	The current version of the candidate's charter and all amendments and additions thereto, registered in accordance with applicable law	Copies of the specified documents must be: 1) stitched, numbered, notarized, apostilled or legalized; 2) provided in electronic form in . pdf format and must be scanned copies of paper versions of these documents.	

Item No.	Document Title	Requirements for documents provided	Notes
A	1	2	3
5.	A valid document (license, permit or other document similar in purpose) issued to the candidate by a foreign regulatory authority and confirming the candidate's right to carry out brokerage and/or dealer activities in the securities market of the state of which the candidate is a legal entity	A copy of the document (license, permit or other similar document) must be notarized and provided in electronic form in.pdf format, and also be scanned copies of paper versions of these documents.	The requirement does not apply to candidates for the Exchange membership under the "currency" category.
6.	A valid document (license, permit or other similar document) issued to the candidate by a foreign regulatory authority and confirming the candidate's right to carry out banking activities, including the execution of transactions (carrying out exchange operations) with foreign currencies	A copy of the document (license, permit or other similar document) must be notarized and provided in electronic form in.pdf format, and also be scanned copies of paper versions of these documents.	The requirement does not apply to candidates for the Exchange membership in the "stock" and/or "derivatives" categories
7.	A letter from a foreign stock exchange confirming that the candidate is a member of that exchange	The letter must contain the following information: 1) about the membership of this exchange in the WFE; 2) the date of acceptance of the candidate as a member of this exchange; 3) on financial instruments that the candidate has the right to participate in trading; 4) on the presence (absence) of cases of the application by this exchange of any measures of influence to the candidate during the last three years preceding the day of issuance of the letter	The requirement does not apply to candidates for the Exchange membership under the "currency" category.
8.	Information on persons, each of whom owns shares (stakes in the authorized capital) of the candidate in an amount equal to five or more percent of the total number of issued shares of the candidate (of the total size of the authorized capital of the candidate) on the date agreed upon with the authorized division	The information must be certified in accordance with the registrar's rules and/or applicable legislation and/or signed by the candidate's CEO, or the person acting for him/her, or the person authorized by the Exchange's member to interact with the Exchange.	

Item No.	Document Title	Requirements for documents provided	Notes
A	1	2	3
9.	Information on the composition and term of office of the governing body and executive body of the candidate	The information must be presented in the form of a table containing the last names, first names, patronymics (if any) of the members of the management and executive body of the candidate, their positions, date of appointment and term of office.	<p>The following must be attached to the information:</p> <ol style="list-style-type: none"> <li>1) extracts from the minutes of the general meeting of shareholders (partners) of the candidate, containing information on the quantitative composition of the candidate's management body, on the members of this body, on the term of office of this body as a whole or its individual members (if such a body exists);</li> <li>2) extracts from the minutes of the general meeting of shareholders (partners) of the candidate or from the minutes of meetings of the candidate's management body, containing information on the quantitative composition of the candidate's executive body, on the members of this body (including the head of this body) or on the person solely performing the functions of the executive body of the candidate, on the term of office of this body as a whole or of its individual members, or on the term of office of the person solely performing the functions of the executive body of the candidate</li> </ol>
10.	CVs of the members of the management body and the executive body of the candidate (the person solely performing the functions of the executive body of the candidate) in the volume necessary and sufficient to assess the level of their qualifications and practical experience		If the resume is written in a language other than Kazakh or Russian, it must be accompanied by a translation of the information contained therein into Kazakh and/or Russian language(s).



Item No.	Document Title	Requirements for documents provided	Notes
A	1	2	3
11.	A document (for example, a card) with signature samples of the candidate's CEO and his deputies, the candidate's chief accountant and his deputies, and persons authorized to interact with the Exchange on behalf of the candidate	The specified document must be certified by a notary public.	If the applicable legislation does not provide for the presence of this document and/or notarization of the authenticity of signature samples in this or a document similar in purpose, then the authenticity of signature samples in this or a document similar in purpose must be certified in accordance with the applicable legislation or internal documents of such candidate
12.	Annual financial statements for the last completed financial year (in the case of a subsidiary(ies) – consolidated financial statements and separate financial statements of the candidate), confirmed by an auditor's report	<p>The specified financial statements must be prepared in accordance with International Financial Reporting Standards or financial reporting standards in force in the United States of America.</p> <p>A copy of the report must be:</p> <ol style="list-style-type: none"> <li>1) stitched, numbered, signed by a person authorized to interact with the Exchange;</li> <li>2) provided electronically in.pdf format and must be a scanned copy of the paper version of this report.</li> </ol>	<p>The provision of the specified financial statements for the completed financial year preceding the last completed financial year is permitted if the application for admission to the Exchange membership is submitted within the first four months from the end date of the last completed financial year.</p> <p>If the said reporting is prepared in a language other than Kazakh or Russian, it must be accompanied by a translation of this reporting into Kazakh and/or Russian language(s), certified either by a notary public or the candidate, including in the form of a scanned copy of the paper version of the translation of this reporting in.pdf format.</p>
13.	Interim financial statements (in the case of a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements of the candidate) for the reporting period preceding the date of filing the application for admission to the Exchange membership and agreed upon with the authorized division	<p>The specified financial statements must be prepared in accordance with International Financial Reporting Standards or financial reporting standards in force in the United States of America.</p> <p>A copy of the report must be:</p> <ol style="list-style-type: none"> <li>1) stitched, numbered, signed by a person authorized to interact with the Exchange;</li> <li>2) provided electronically in.pdf format and must be a scanned copy of the paper version of</li> </ol>	<p>Provision is not required if less than four months have passed from the date of completion of the calendar year to the date of filing the application for admission to the Exchange membership.</p> <p>If the said reporting is prepared in a language other than Kazakh or Russian, it must be accompanied by a translation of this reporting into Kazakh and/or Russian language(s), certified either by a notary public or the candidate, including in the form of a scanned copy of the paper version of the</p>

Item No.	Document Title	Requirements for documents provided	Notes
A	1	2	3
		this report.	translation of this reporting in.pdf format.
14.	Information on the values of prudential or other similar standards (indicators) calculated by the candidate in accordance with the requirements of applicable legislation as of the end of the last day of the calendar month preceding the month of filing the application for admission to the Exchange membership	<p>The information must be stitched, numbered, and signed by a person authorized to interact with the Exchange.</p> <p>Information must include:</p> <ol style="list-style-type: none"> <li>1) a description of the requirements in accordance with which the calculation of the values of prudential or other similar standards (indicators) was made;</li> <li>2) calculation of values of prudential or other similar standards (indicators)</li> </ol>	
15.	<p>Copies of regulatory legal acts establishing the composition and permissible values of prudential or other similar standards (indicators).</p> <p>Copies of regulatory legal acts in accordance with which the calculation of the values of prudential or other similar standards (indicators) was made</p>		
16.	A document indicating the details of the candidate's accounts in Central Securities Depository JSC, which will be used to make settlements with the Exchange for the purpose of executing transactions concluded at trades held by the Exchange		Applies only to candidates for the Exchange membership under the "stock" category
17.	A document indicating the details of the candidate's current bank account in Kazakh tenge, which will be used to make cash payments to the Exchange for the purpose of executing transactions concluded at the Exchange's trades		
18.	Information about the candidate's risk management system	The information must contain a self-assessment card of the risk management system, compiled in accordance with the form of Appendix 14 to this	

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		Regulation, as well as other documents that allow the Exchange to assess the compliance of the candidate's risk management system with the IOSCO recommendations or the requirements for the risk management system established by the applicable regulatory legal act of the Authorized Body.	
19.	Information on the candidate's existing insurance policies for professional activities in the financial market (if such policies are available)		
20.	A letter from the candidate confirming that the legislation of registration of this candidate does not provide for the issuance by the regulatory authority of a permit (license or right) to carry out transactions with financial instruments other than securities, including the implementation of foreign currency exchange transactions		The requirement applies to candidates for the Exchange membership in the "currency" category for whom the applicable legislation does not provide for the issuance by the regulatory authority of a permit (license or right) to conduct transactions with financial instruments other than securities, including the implementation of exchange transactions with foreign currency.
21.	Letter of assurance of compliance with the international economic sanctions regime		Filled out using the form available on the Exchange's website in the "Membership" subsection of the "Rules" section.

**LIST**  
**of documents to be submitted**  
**by candidates for the Exchange membership – AIFC participants**

Item No.	Document Title	Requirements for documents provided	Notes
A	1	2	3
1.	Questionnaire of the Exchange's client on issues of organizing anti-money laundering/combating the financing of terrorism	Documents confirming the accuracy of the information specified in the application form must be provided in the form of originals (authentic documents) or notarized copies.	Filled out in one of the forms in accordance with the explanations (forms and explanations) that are available on the Exchange's website in the "Membership" subsection of the "Rules" section
2	Questionnaire for the Exchange's client on issues of organizing internal control in terms of ensuring compliance with the international economic sanctions regime		Filled out in the form available on the Exchange's website in the "Membership" subsection of the "Rules" section.
3.	A document on state registration (re-registration) of the candidate as a legal entity, as well as a document on registration and/or accreditation as a participant in the AIFC	The specified document is provided in the form of the original (authentic document) or a notarized copy. In the case of providing an electronic document, notarization is not required if it is possible to verify the authenticity of the document through the Internet resource of the body that issued this electronic document	In accordance with applicable law
4.	The current version of the candidate's charter and all amendments and additions thereto, registered in accordance with applicable law	Copies of the specified documents must be: 1) stitched, numbered, notarized; 2) provided in electronic form in .pdf format and must be scanned copies of paper versions of these documents.	
5.	A valid document (license, permit or other similar document) issued to the candidate by the AIFC regulatory body and confirming the candidate's right to carry out brokerage and/or dealer activities in the securities market	A copy of the document (license, permit or other similar document) must be notarized and provided in electronic form in .pdf format, and also be scanned copies of paper versions of these documents.	

Item No.	Document Title	Requirements for documents provided	Notes
A	1	2	3
6.	A valid document (license, permit or other similar document) issued to the candidate by the AIFC regulatory body and/or the Authorized Body, confirming the candidate's right to carry out banking activities, including the execution of transactions (carrying out exchange operations) with foreign currencies	A copy of the document (license, permit or other similar document) must be notarized and provided in electronic form in.pdf format, and also be scanned copies of paper versions of these documents.	The requirement does not apply to candidates for the Exchange membership in the "equity" and/or "derivatives" categories
7.	Information on persons, each of whom owns shares (stakes in the authorized capital) of the candidate in an amount equal to five or more percent of the total number of issued shares of the candidate (of the total size of the authorized capital of the candidate) on the date agreed upon with the authorized division	The information must be certified in accordance with the registrar's rules and/or applicable law and/or signed by the candidate's CEO, or the person acting for him/her, or the person authorized by the candidate to interact with the Exchange.	
8.	Information on the composition and term of office of the governing body and executive body of the candidate	The information must be presented in the form of a table containing the last names, first names, patronymics (if any) of the members of the management and executive body of the candidate, their positions, date of appointment and term of office.	<p>The following must be attached to the information:</p> <ol style="list-style-type: none"> <li>1) extracts from the minutes of the general meeting of shareholders (partners) of the candidate, containing information on the quantitative composition of the candidate's management body, on the members of this body, on the term of office of this body as a whole or its individual members (if such a body exists);</li> <li>2) extracts from the minutes of the general meeting of shareholders (partners) of the candidate or from the minutes of meetings of the candidate's management body, containing information on the quantitative composition of the candidate's executive body, on the members of this body (including the head of this body) or on the person solely performing the functions of the executive body of the candidate, on the term of office of this body as a whole or of its individual members, or</li> </ol>

Item No.	Document Title	Requirements for documents provided	Notes
A	1	2	3
			on the term of office of the person solely performing the functions of the executive body of the candidate
9.	CVs of the members of the management body and the executive body of the candidate (the person solely performing the functions of the executive body of the candidate) in the volume necessary and sufficient to assess the level of their qualifications and practical experience		If the resume is written in a language other than Kazakh or Russian, it must be accompanied by a translation of the information contained therein into Kazakh and/or Russian language(s).
10.	A document (for example, a card) with signature samples of the candidate's CEO and his deputies, the candidate's chief accountant and his deputies, and persons authorized to interact with the Exchange on behalf of the candidate	The specified document must be certified by a notary public.	If the applicable legislation does not provide for the presence of this document and/or notarization of the authenticity of signature samples in this or a document similar in purpose, then the authenticity of signature samples in this or a document similar in purpose must be certified in accordance with the applicable legislation or internal documents of such candidate
11.	Annual financial statements for the last completed financial year (in the case of a subsidiary(ies) – consolidated financial statements and separate financial statements of the candidate), confirmed by an auditor's report	<p>The specified financial statements must be prepared in accordance with International Financial Reporting Standards or financial reporting standards in force in the United States of America.</p> <p>A copy of the report must be:</p> <ol style="list-style-type: none"> <li>1) stitched, numbered, signed by a person authorized to interact with the Exchange;</li> <li>2) provided in electronic form in .pdf format and must be a scanned copy of the paper version of this report.</li> </ol>	<p>The provision of the specified financial statements for the completed financial year preceding the last completed financial year is permitted if the application for admission to the Exchange membership is submitted within the first four months from the end date of the last completed financial year.</p> <p>If the said reporting is prepared in a language other than Kazakh or Russian, it must be accompanied by a translation of this reporting into Kazakh and/or Russian language(s), certified either by a notary public or the candidate, including in the form of a scanned copy of the paper version of the translation of this reporting in .pdf format.</p>
12.	Interim financial statements (in the case of a subsidiary (subsidiaries) – consolidated	The specified financial statements must be prepared in accordance	Provision is not required if less than four months have passed from the date of completion of the

Item No.	Document Title	Requirements for documents provided	Notes
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	financial statements and separate financial statements of the candidate) for the reporting period preceding the date of filing the application for admission to the Exchange membership	with International Financial Reporting Standards or financial reporting standards in force in the United States of America. A copy of the report must be: 1) stitched, numbered, signed by a person authorized to interact with the Exchange; 2) provided electronically in.pdf format and must be a scanned copy of the paper version of this report.	calendar year to the date of filing the application for admission to the Exchange membership. If the said reporting is prepared in a language other than Kazakh or Russian, it must be accompanied by a translation of this reporting into Kazakh and/or Russian language(s), certified either by a notary public or the candidate, including in the form of a scanned copy of the paper version of the translation of this reporting in.pdf format.
13.	A document indicating the details of the candidate's accounts in Central Securities Depository JSC, which will be used to make settlements with the Exchange for the purpose of executing transactions concluded at trades held by the Exchange		Applies only to candidates for the Exchange membership under the "stock" category
14.	A document indicating the details of the candidate's current bank account in Kazakh tenge, which will be used to make cash payments to the Exchange for the purpose of executing transactions concluded at the Exchange's trades		
15.	Information about the candidate's risk management system	The information must contain a self-assessment card of the risk management system, compiled in accordance with the form of Appendix 14 to this Regulation, as well as other documents that allow the Exchange to assess the compliance of the candidate's risk management system with the IOSCO recommendations or the requirements for the risk management system established by the applicable regulatory legal act of the Authorized Body or the regulatory body of the AIFC	

Item No.	Document Title	Requirements for documents provided	Notes
A	1	2	3
16.	Letter of assurance of compliance with the international economic sanctions regime		Filled out using the form available on the Exchange's website in the "Membership" subsection of the "Rules" section.