# Compliance Statement

Completing this statement

This statement is required to be completed by Participants under AIX CSD Business Rules. If you need assistance with this statement, please contact AIX Regulation and Compliance at broker@aix.kz.

All information provided to AIX CSD in relation to this statement will be kept confidential, except to the extent that disclosure of any or all of the information provided hereunder is necessary for exchange of regulatory information with AFSA or the exercise of AIX CSD’s regulatory functions, or as required by law.

The capitalized terms shall have the meaning assigned to them in the [AIX CSD Business Rules Glossary](https://aix.kz/clearing-settlement/regulatory-documents/), or if not defined there, have the meaning given in the AIFC Glossary.

Completed and signed statement (together with all supporting documents) should be emailed to broker@aix.kz.

### Name of the Participant: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### Reporting Period: 20\_\_

Part A – Compliance Statement

The Participant confirms that during the Reporting Period:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No.** | **Matter** | **Compliance Statement** | **Rule** | **True/ False/ N/A** | **Explanation** |
|  | License | Participant’s license, permission, or authorisation which it requires to conduct regulated activity has not been revoked or modified in any way which would materially restrict the Participant in performing regulated activity in its home territory or in the AIFC | AIX CSD Rule 2.2.2(a), 2.3.2 |  |  |
|  | Regulatory History | Neither AFSA nor a Financial Services Regulator nor law enforcement authority, as applicable, has started any relevant formally notified investigation, enforcement proceeding, sanction, formal notification or injunction against the Participant, Director, senior executive with responsibility for activities on AIX Markets or Responsible Person | AIX CSD Rule 2.6.1 |  |  |
|  | Significant Event | To the best knowledge of the Participant, no significant event or Default Event has occurred which may significantly affect the performance of its obligations under the Business Rules and/or Participant Agreement | AIX CSD Rule 2.6.1, 2.6.2 |  |  |
|  | **Notification obligations** | The Participant has complied with its notification obligations and submitted the relevant notifications to AIX CSD regarding changes in the Participant’s name, address, legal structure, Controllers / Shareholders (>10%), Responsible Person, etc. | AIX CSD Rule 2.6.1, 2.6.2 |  |  |
|  | **Sanctions** | The Participant has not, directly or indirectly, made use of AIX CSD clearing and settlement facilities to support any activities or business with any person, or any country or territory that is subject to Sanctions or in any other manner that would result in a violation by AIX CSD or its international counterparties of Sanctions issued by the United Nations Security Council, the European Union, the United Kingdom, the United States Office of Foreign Asset Control (OFAC), or by the Republic of Kazakhstan.  | AML laws |  |  |
|  | **Continuing Undertaking** | To the best knowledge of the Participant, its representations, warranties, and undertakings under Clause 2.7 of the AIX CSD Business Rules remain true and accurate. | AIX CSD Rule 2.7.4 |  |  |
|  | **Reporting Obligations** | The Participant have proper procedures to ensure the incident of non-compliance with AIX CSD Business Rules would be promptly reported to AIX Regulation or AIX CSD Regulation teams at broker@aix.kz upon identification. | AIX CSD Rule 2.2.2. |  |  |

Part B – Contact Details

Please complete as of the reporting date:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| No. | Title | Name | Address | E-mail | Phone | Appointment Date |
|  | **Senior Executive Officer** |  |  |  |  |  |
|  | **Responsible Person [[1]](#footnote-2)** |  |  |  |  |  |
|  | **Compliance Officer** |  |  |  |  |  |
|  | **MLRO** |  |  |  |  |  |

Part C – Due Diligence Update

The Participant encloses the following due diligence documents:

|  |  |  |
| --- | --- | --- |
| No. | Description of the Document | Comments |
|  | Copy of audited annual financial statements of the Participant, including any consolidated annual financial statements of the Participant’s group |  |
|  | Participant’s updated organizational chart & ownership structure, with disclosure of ultimate beneficial owners who, either alone or with any Associate, hold or control 10% or more in the Participant or Holding Company of the Participant |  |
|  | Participant’s updated organizational chart [[2]](#footnote-3) |  |
|  | Copy of latest resolutions on appointment of the Participant’s Board of Directors and Management Board |  |
|  | Proof of country residency of the Participant’s Directors/CEO in the form of utility bill or comfort letter (not older than 6 months) |  |
|  | Proof of country residency of the Participant’s ultimate beneficial owners in the form of utility bill or comfort letter (not older than 6 months) |  |
|  | Copy of any changes to the Participant’s AML policies, procedures and internal controls, adopted during the Reporting Period |  |
|  | Wolfsberg Group Correspondent Banking Due Diligence Questionnaire (CBDDQ) (not older than 6 months) |  |
|  | Capital Adequacy Statement (AIX template) |  |

CONFIRMATION

The Participant confirms that the responses provided in this statement are true and correct.

**CEO/Responsible Person**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
(Name and signature)

1. AIX CSD Business Rules 2.9 [↑](#footnote-ref-2)
2. **Organizational structure** that outlines the systematic arrangement of human resources (positions, departments, etc.) within the company. [↑](#footnote-ref-3)