

**LIST**  
**of documents to be provided by the applicants for the Exchange membership – foreign legal entities**

No.	Document's name	Requirements for submitted documents	Notes
1.	Questionnaire of the Exchange client on the organization of combating the legalization (laundering) of proceeds from crime and the financing of terrorism	Documents confirming the accuracy of the information specified in the application form must be provided in the form of originals (originals) or notarized copies, as well as apostilled or legalized	Filled out using one of the forms in accordance with the explanations that (forms and explanations) are available on the Exchange's website in the "Membership" subsection of the "Rules" section
2.	Questionnaire for a client of the Exchange regarding the organization of internal control in terms of ensuring compliance with the regime of international economic sanctions		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 (original) or a notarized copy and must be apostilled or legalized.  If an electronic document is provided, notarization is not required if it is possible to verify the authenticity of the document through the Internet resource of the authority that issued this electronic document	In accordance with applicable law
4.	The current version of the candidate's charter and all amendments and additions to it, registered in accordance with applicable law	Copies of these documents must be: 1) stitched, numbered, notarized, apostilled or legalized; 2) are 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 document similar in purpose) issued to the candidate by a foreign regulatory body 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 document similar in purpose) must be notarized and provided electronically in .pdf format, as well as scanned copies of paper versions of these documents	The requirement does not apply to candidates for Exchange membership in the "currency" category

No.	Document's name	Requirements for submitted documents	Notes
6.	A valid document (license, permit or other document similar in purpose) issued to the candidate by a foreign regulatory body and confirming the candidate's right to carry out banking activities, including making transactions (carrying out exchange transactions) with foreign currencies	A copy of the document (license, permit or other document similar in purpose) must be notarized and provided electronically in .pdf format, as well as scanned copies of paper versions of these documents	The requirement does not apply to candidates for membership of the Exchange in the "stock" and/or "derivatives" categories
7.	Letter from a foreign stock exchange confirming that the candidate is a member of that exchange	<p>The letter must contain the following information:</p> <ol style="list-style-type: none"> <li>1) about membership of this exchange in WFE;</li> <li>2) about the date of admission of a candidate to membership of this exchange;</li> <li>3) about financial instruments, the right to participate in trading, which the candidate has;</li> <li>4) about the presence (absence) of cases of application by this exchange to the candidate of any measures of influence during the last three years preceding the day the letter was issued</li> </ol>	The requirement does not apply to candidates for Exchange membership in the "currency" category
8.	Information about persons, each of whom owns shares (shares in the authorized capital) of the candidate in an amount amounting to five or more percent of the total number of outstanding shares of the candidate (of the total amount of the authorized capital of the candidate) as of the date agreed with the authorized division	The information must be certified in accordance with the rules of the registrar and/or applicable law and/or signed by the first manager of the candidate, or a person replacing him, or a person authorized by a member of the Exchange to interact with the Exchange	

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

No.	Document's name	Requirements for submitted documents	Notes
11.	A document (for example, a card) with sample signatures of the candidate's first manager and his deputies, the candidate's chief accountant and his deputies, persons authorized to interact with the Exchange on behalf of the candidate	The specified document must be notarized.	If applicable law does not require the presence of this document and/or notarization of the authenticity of sample signatures in this or a document similar in purpose, then the authenticity of sample signatures in this or a document similar in purpose must be certified in accordance with the applicable law or internal documents of such candidate
12.	Annual financial statements for the last completed financial year (in the case of a subsidiary organization (subsidiaries) – consolidated financial statements and separate financial statements of the candidate), confirmed by the audit report	<p>These financial statements must be prepared in accordance with International Financial Reporting Standards or Financial Reporting Standards applicable 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 and must be a scanned copy of the paper version of this report.</li> </ol>	<p>It is permitted to provide the specified financial statements for the completed financial year preceding the last completed financial year, if the application for admission to the Exchange membership was submitted within the first four months from the end of the last completed financial year.</p> <p>If the said reporting is drawn up 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 or a 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 (if there is a subsidiary organization (subsidiaries) – consolidated financial statements and separate financial statements of the candidate) for the reporting period preceding the date of submission of the application for admission to the Exchange membership and agreed with the authorized division	<p>These financial statements must be prepared in accordance with International Financial Reporting Standards or Financial Reporting Standards applicable 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 and must be a scanned copy of the paper version of this report.</li> </ol>	<p>Provision is not required if from the date end of the calendar year before the date submitting an application for admission to the Exchange membership less than four months have passed.</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 (languages), certified either by a notary, or a candidate, including in the form scanned copy of the paper version translation of these reports into .pdf format</p>
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	The information must be stitched, numbered, and signed by a person authorized to interact with the Exchange.	

No.	Document's name	Requirements for submitted documents	Notes
	of the calendar month preceding the month of filing an application for admission to the Exchange membership	<p>The information should include:</p> <ol style="list-style-type: none"> <li>1) description of requirements, in accordance with which the values of prudential or other standards (indicators) similar in purpose were calculated;</li> <li>2) calculation values of prudential or other standards (indicators) similar in purpose</li> </ol>	
15.	<p>Copies of regulatory legal acts establishing the composition and acceptable values of prudential or other standards (indicators) similar in purpose.</p> <p>Copies of regulatory legal acts in accordance with which the values of prudential or other standards (indicators) similar in purpose were calculated</p>		
16.	A document indicating the details of the candidate's accounts with the Central Securities Depository JSC, which will be used to make settlements with the Exchange for the purpose of executing transactions concluded at trades conducted by the Exchange		Applies only to candidates for Exchange membership in the "stock" category
17.	A document indicating the details of the candidate's current bank account in Kazakhstani tenge, which will be used to carry out cash settlements with the Exchange for the purpose of executing transactions concluded at trades conducted by the Exchange		
18.	Information about the candidate's risk management system	<p>The information must contain a self-assessment card of the risk management system, drawn up in the form of Appendix 14 to these Regulations, as well as other documents that allow the Exchange to assess the compliance of the candidate's risk management system with IOSCO recommendations or the requirements for the risk management system established by the applicable regulatory legal act of the Authorized Body</p>	
19.	Information about existing insurance policies for the candidate's professional activities in the		

No.	Document's name	Requirements for submitted documents	Notes
	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 body of permission (license or right) to carry out transactions with financial instruments other than securities, including carrying out exchange transactions with foreign currency		The requirement applies to candidates for membership of the Exchange in the "currency" category in respect of which the applicable legislation does not provide for the issuance by the regulatory body of permission (license or right) to carry out transactions with financial instruments other than securities, including the implementation of exchange transactions with foreign currency
21.	Letter of assurance of compliance with the regime of international economic sanctions		