# Application Form for Access to the AIX Repo Market

Application for Access to the Repo Market at Astana International Exchange Ltd.

This form must be submitted by all AIX Trading Members applying for access to the AIX Repo Market, as defined in Market Notice. It must include all the necessary attachments as requested herein.

To: Mrs. Evgeniya Bogdanova

The Head of Regulation & Compliance of

Astana International Exchange

Nur-Sultan, Kazakhstan

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

**Subject: Application for access to the Repo Market**

Dear Madam,

We wish to access the AIX Repo Market. We hereby apply for the said activity as per the details given below, and we undertake to conform to and to abide by the Regulations, Business Rules, Circulars, and Notifications (or Market Notices) issued by the Exchange from time to time in relation to the Repo Market.

Thanking You

Yours sincerely,

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

1. *Signature with Stamp*

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*2) Signature with Stamp*

|  |  |
| --- | --- |
| No | Enter the name and position or title of the above signed Director/Partner of the Applicant  |
| 1 |  |
| 2 |  |

 **(To be signed by at least two Designated Directors/Partners)**

1. **Declaration:**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ *(full name the Representative/CEO)* 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 and correct, and in the event of any information furnished is false, misleading or suppression of facts, my certificate of registration is liable to be cancelled by AIX without assigning any reasons whatsoever.

I confirm that I have the authority to request access to the AIX Repo Market, 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.

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

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

Signature of the Representative/CEO

* 1. **Details of the Representative/CEO**

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

1. **Applicant’s Information**
	1. **General Information**

|  |  |
| --- | --- |
| Full Legal Name of the Applicant |  |
| AIX Trading Participant number | **T---** |

* 1. **Particulars of Repo Market activity**

|  |  |  |  |
| --- | --- | --- | --- |
| Proposed Activity | Borrower (of cash) | Lender (Liquidity Provider) | Both |
| House account | [ ]  Yes [ ]  No | [ ]  Yes [ ]  No | [ ]  Yes [ ]  No |
| Agency (on behalf of clients) | [ ]  Yes [ ]  No | [ ]  Yes [ ]  No | [ ]  Yes [ ]  No |

1. **Acknowledgement of Personnel and Technical resources**

Please confirm (in section 5, Undertaking below) that you have the following systems and controls in place:

* A person in charge of the Repo Market services;
* Procedures related to Repo Market client acceptance, account opening procedures, compliance with the activity and applicable rules and regulations, concentration and client exposure limits;
* Automated tools that are used for the management of Repo Market accounts, position and risk management.
	1. **Personnel Details**

Details of personnel or approved individual:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Mr/Mrs** | **Name (include position in brackets)** | **Assigned User Role** | **Email address** | **Contact number** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

 (add rows if necessary)

* 1. **Specification of User Roles**

|  |  |
| --- | --- |
| FIRMMANAGER | Able to view, amend and withdraw firm’s orders and enter their own orders.  |
| FIRMVIEWER | Able to view firm’s orders and trades. No order management allowed. |
| TRADER | Able to view, enter, amend and withdraw their own orders only. |

* 1. **Technical Resources**

Please specify (tick), which Connectivity option the Applicant will use?

|  |  |
| --- | --- |
| AIX Nasdaq WebTrader | [ ]  |
| FIX & ITCH-Protocol Connection | [ ]  |

1. **Repo Trading Agreement and account opening form (for Agency trading only)**

Please attach the applicant’s standard Repo Market Agreement and account opening form to be entered into with clients.

The agreement must include at a minimum the following clauses:

* A clear statement that the client fully understands the risks linked to Repo Trading, including the possibility to lose part or the whole of funds / securities lent / borrowed in Repo trading;
* A clear statement that the client unconditionally authorizes the Trading Member to sell the shares used as collateral if the customer defaults on a margin call within the period specified in the Agreement;
* The condition that the client undertakes not to have concurrent repo open positions with more than one Trading Member at the same time, in any and all eligible securities;
1. **Undertaking**

We hereby undertake / state that:

| **No.** | **Particulars** | **Yes/No** |
| --- | --- | --- |
| 1 | The above-mentioned particulars are true, correct, and complete to the best of our knowledge and information and no relevant material fact has been suppressed. |   |
| 2 | We are aware of conditions set for access to the Repo Market in Market Notice mm-dd\_n and we abide to comply with these. |   |
| 3 | We have in place the systems and controls mentioned in section 3 above (Acknowledgment of Personnel and Technical Resources). |  |
| 4 | We undertake to report our Repo Market liquidity provision activity, clients’ exposure and capital adequacy ratio as and when requested by AIX. |  |
| 5 | We would notify AIX within 10 business days of any change in information provided in this application from. |  |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ ,

Stamp and Signatures of the signatories

(With names in Block Letters with stamp)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ ,

Chief Executive Officer/Managing Director

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ ,

Compliance Officer

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

Name of the applicant: Date