CSD-RPCC

**Compliance Certificate Form**

Participant:

Year Ended:

Having made due and careful enquiry, to the best of my knowledge, I hereby certify and represent that during [indicate requested period]:

1. The Participant performed adequate compliance activities having regard to the nature and extent of the Participant’s activities as a Participant to ensure compliance with applicable acting law of Astana International Financial Centre Law and the AIX CSD Business Rules.
2. All matters of non-compliance with the acting law of Astana International Financial Centre that have been identified by the compliance activities have been notified to the ***AIX CSD***.
3. The Participant has maintained the records required by the AIX CSD Business Rules and Procedures.
4. Except to the extent disclosed in writing to the ***AIX CSD***, the representations and warranties of the Participant contained in Rule 2.7.1 and/or repeated pursuant to Rule 2.7.2 during the previous period were, at the time they were given, true and accurate and all information which the Participant has given to the ***AIX CSD*** during that time was complete, accurate and not misleading.
5. The Participant continues to satisfy the requirements of Rule 2.2.
6. I have retained copies of the relevant documentation on which this representation is based, and this is available for inspection by the ***AIX CSD***.
7. The Participant has made all notifications to the ***AIX CSD*** required by Rule 2.6.
8. No Potential Default Event is continuing as at the date of this certificate. \*

Name of the Responsible Person:

Signature of the Responsible Person:

Dated:

*\*If this statement cannot be made, the certificate should identify any Potential Default Event that is continuing and the steps, if any, being taken to remedy it.*