

Astana Financial Services Authority

Application to Incorporate as Non-Profit Incorporated Organisation in the AIFC

Name of applicant: *Insert text here*

Date of application: *Insert date here*

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Declaration

A Founding Member, applicant, secretary or other person identified in the board resolution as being authorised to make the application must sign this form in the space below.

1.1. Declaration

I declare that:

- I have the authority to make this application.
- All the information given in this application form (including any attachments) is, to the best of my knowledge and belief and after having made all reasonable inquiries, true and complete.
- If at any time after making this declaration, I become aware of a material change in any information given in this application form (including any attachment) that is reasonably likely to be relevant to the Astana Financial Services Authority consideration of this application, I will inform the Astana Financial Services Authority in writing about the change without delay.

1.2. Consent

I acknowledge that it may be necessary for the Astana Financial Services Authority to obtain information from other regulators, law enforcement agencies or other persons (whether in the State or elsewhere) to properly consider and decide this application. Accordingly, I consent to the Astana Financial Services Authority obtaining any information from third parties that the Astana Financial Services Authority considers is necessary for the purpose of considering and deciding this application.

All Personal Data provided to the Astana Financial Services Authority will be processed in accordance with the AIFC Data Protection Regulations 2017, and by signing this form you consent to the Astana Financial Services Authority sharing the information with the AIFC Authority.

IMPORTANT

It is a contravention of the Article 119(e) of the AIFC Framework Regulations to knowingly or recklessly give false or misleading information to the Astana Financial Services Authority or to conceal information if the concealment is likely to mislead or deceive the Astana Financial Services Authority.

Name of Founding Member/Incorporated Organisation Secretary/Authorised Signatory:

Insert text here

Position:

Insert text here

Signature:

Date: *insert date here*

SECTION 2

Applicant's Contact Details

- 2.1. Name of a Non-Profit Incorporated Organisation to be established in within the AIFC:**

Insert text here

- 2.2. Name and position of main contact for this application:**

Insert text here

- 2.3. Contact number of main contact:**

Insert text here

- 2.4. Email address of main contact:**

Insert text here

SECTION 3

Authroised Activities

- 3.1. The authorised activities proposed to be conducted in the AIFC:**

Insert text here

- 3.2. The address of the principal place of business of the Non-Profit Incorporated Organisation in the AIFC:**

Insert text here

Information on Applicants

1. Founding Member - Individual

Forename(s) *Insert text here*

Surname *Insert text here*

Former Names (if applicable) *Insert text here*

Nationality *Insert text here*

Address *Insert text here*

Residency *Insert text here*

Date of Birth *Insert text here*

Business occupation *Insert text here*

2. Founding Member - Individual

Forename(s) *Insert text here*

Surname *Insert text here*

Former Names (if applicable) *Insert text here*

Nationality *Insert text here*

Address *Insert text here*

Residency *Insert text here*

Date of Birth *Insert text here*

Business occupation *Insert text here*

3. Founding Member - Individual

Forename(s) *Insert text here*

Surname *Insert text here*

Former Names (if applicable) *Insert text here*

Nationality *Insert text here*

Address *Insert text here*

Residency *Insert text here*

Date of Birth *Insert text here*

Business occupation *Insert text here*

Information on Ordinary Members (if applicable)

Ordinary Member - Individual

Forename(s) *Insert text here*

Surname *Insert text here*

Former Names (if applicable) *Insert text here*

Nationality *Insert text here*

Address *Insert text here*

Residency *Insert text here*

Date of Birth *Insert text here*

Business occupation *Insert text here*

SECTION 5

Information on Secretary (if applicable)

Please provide the full name, nationality, address, business occupation of all the persons who are directors and secretary.

Secretary – Individual	
Full forename(s)	<i>Insert text here</i>
Surname	<i>Insert text here</i>
Former name(s)	<i>Insert text here</i>
Nationality	<i>Insert text here</i>
Address	<i>Insert text here</i>
Business occupation (if any)	<i>Insert text here</i>
Date of birth	<i>Insert text here</i>

SECTION 6

Information on Authorised Signatory

Authorised Signatory	
Full forename(s)	<i>Insert text here</i>
Surname	<i>Insert text here</i>
Former given or family name(s) (if applicable)	<i>Insert text here</i>
Nationality	<i>Insert text here</i>
Address	<i>Insert text here</i>
Business occupation (if any)	<i>Insert text here</i>
Date of birth	<i>Insert text here</i>

Information on Charter

Note: Refer to 2.1 of AIFC Non-Profit Incorporated Organisations Rules

Please choose one of the following options:

- I wish to adopt the Standard Charter in its entirety;
- I wish to adopt the Standard Charter with additional and/or amended provisions;
- I wish to adopt entirely bespoke Charter.

Fit And Proper Questionnaire

If any answers are “Yes” to any of the questions, then provide a detailed explanation. If necessary, attach separate documentation. It will not necessarily impair our assessment of the applicant’s fitness and probity if there is a positive response in any of the disclosures. However, deliberately withholding information or providing false or misleading information may prevent the success of the application.

- 9.1. Has the applicant or any member of your Group been made aware, whether formally or informally, that it is the subject of a current or pending investigation, review or disciplinary procedure by any regulatory authority, professional body, Financial Services Regulator, self-regulatory organisation, regulated exchange, clearing house, government body, agency, or any other officially appointed inquiry? If “Yes”, provide full details:**

Insert text here

- 9.2. Has the applicant or any member of its Group in the last 10 years been convicted or found guilty by any court of a competent jurisdiction of any criminal offence? If “Yes”, provide full details:**

Insert text here

- 9.3. Has the applicant or any member of its Group in the last 10 years been the subject of disciplinary procedures by a government body or agency or any Financial Services Regulator, self-regulatory organisation, or other professional body? If “Yes”, provide full details:**

Insert text here

- 9.4. Has the applicant or any member of its Group in the last 10 years contravened any provision of financial services legislation or of rules, regulations, statements of principle, or codes of practice made under it or made by a self-regulatory organisation, Financial Services Regulator, regulated exchange, or clearing house? If “Yes”, provide full details:**

Insert text here

- 9.5. Has the applicant or any member of its Group in the last 10 years been refused or had a restriction placed on the right to carry on a trade, business, or profession requiring a licence, registration, or other permission? If “Yes”, provide full details:**

Insert text here

- 9.6. Has the applicant or any member of its Group in the last 10 years received an adverse finding or an agreed settlement in a civil action by any court or tribunal of competent jurisdiction? If “Yes”, provide full details:**

Insert text here

- 9.7. Have the applicant or any member of its Group in the last 10 years been censured, disciplined, publicly criticised, or the subject of any investigation or enquiry by any regulatory authority, Financial Services Regulator, or officially appointed inquiry? If “Yes”, provide full details:

Insert text here

SECTION 9

Application Form for Obtaining a Business Identification Number

	Section Name	Information
	Information about the incorporating authority	
1.	Name of the incorporating authority	Astana Financial Services Authority
	Incorporation information	
2.	First name, middle name and surname of the Authorised Signatory	<i>Insert text here</i>
3.	Date of submitting the application package	<i>Insert text here</i>
4.	Type of incorporation (primary, re-registration, liquidation, introduction of modifications) <i>(indicate primary registration if the applicant was <u>not</u> registered before in the territory of the Republic of Kazakhstan)</i>	<input type="checkbox"/> Primary <input type="checkbox"/> Re-registration <input type="checkbox"/> Liquidation <input type="checkbox"/> Introduction of modifications
5.	Method of formation (by establishing a new legal entity or reorganization of an existing legal entity). In case of reorganization, specify the type of reorganization (merge, transformation, split, or separation)	<input type="checkbox"/> New legal entity <input type="checkbox"/> Merge <input type="checkbox"/> Transformation <input type="checkbox"/> Split <input type="checkbox"/> Separation
6.	Form of organization (new legal entity, branch, representative office)	<input type="checkbox"/> New legal entity <input type="checkbox"/> Branch <input type="checkbox"/> Representative office
7.	Full name in English language (organizational-legal form and name of the applicant)	<i>Insert text here</i>

8.	Full name in Kazakh and Russian languages (organizational-legal form and name of the applicant). <i>(This field is <u>not</u> mandatory. In case if the field is left blank, it will be filled by the AFSA representative)</i>	<i>Insert text here</i>
9.	Abbreviated name of the applicant in English language <i>(if applicable)</i>	<i>Insert text here</i>
10.	Abbreviated name of the applicant in Kazakh and Russian languages. <i>(This field is <u>not</u> mandatory)</i>	<i>Insert text here</i>
11.	Organizational-legal form of the applicant	<i>Insert text here</i>
12.	Form of ownership (state or private) <i>(Private ownership acts as the property of citizens and non-state legal entities and their associations¹)</i>	<input type="checkbox"/> State <input type="checkbox"/> Private
13.	Type of legal entity/branch/ representative office (commercial or non-commercial) <i>(Commercial legal entity is an organization pursuing the extraction of income as the main objective of its activity. Non-commercial organization is an organization which objective is not income extraction and distribution of it between the participants of the organization)²</i>	<input type="checkbox"/> Commercial <input type="checkbox"/> Non-commercial
14.	Type of private enterprise	<input type="checkbox"/> Small <input type="checkbox"/> Medium <input type="checkbox"/> Large
15.	Subsidiary (yes/no) <i>(Subsidiary organization - an organization that, in accordance with international standards, is recognized as being under the control of the main organization and submits financial statements of the main organization for the preparation of consolidated financial statements according to international standards)³</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
16.	International organization (yes/no)	<input type="checkbox"/> Yes

¹ Article 191 of Civil Code of the Republic of Kazakhstan

² Article 34 of Civil Code of the Republic of Kazakhstan

³ Article 1 of Law on Accounting and Financial Reporting of the Republic of Kazakhstan

	<i>(International organization - interstate or intergovernmental organization)</i> ⁴	<input type="checkbox"/> No
17.	Are foreign investors participating in the entity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.	Is a legal entity a Value Added Tax (VAT) payer?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Information about the head organization (in case of registration of a branch or representative office)		
19.	Resident / non-resident	<input type="checkbox"/> Resident <input type="checkbox"/> Non-resident
20.	Business Identification Number of the head organization (if applicable)	<i>Insert text here</i>
21.	Full name of the head organization	<i>Insert text here</i>
<i>Information on the head organization - Non-resident in the Republic of Kazakhstan</i>		
22.	Date of starting the activities in the Republic of Kazakhstan (or the date of submission of the application for registration) (if applicable)	<i>Insert text here</i>
23.	Country of incorporation	<i>Insert text here</i>
24.	Registration number in the country of incorporation	<i>Insert text here</i>
25.	Date of incorporation in the country of incorporation	<i>Insert text here</i>
26.	Tax registration number in the country of incorporation	<i>Insert text here</i>
27.	Type of organization	<i>Insert text here</i>
28.	Type of business activity	<i>Insert text here</i>
29.	Country of residence	<i>Insert text here</i>
30.	Name of registration authority	<i>Insert text here</i>
31.	Address of registration authority	<i>Insert text here</i>
32.	Surname, name and middle name of the CEO of the head organization	<i>Insert text here</i>

⁴ Article 1 of Law on International Treaties of the Republic of Kazakhstan

33.	The legal address of the head organization in the country of registration	<i>Insert text here</i>
34.	Phone number (if available)	<i>Insert text here</i>
35.	Email (if available)	<i>Insert text here</i>
36.	International organization (yes/no) <i>(International organization is an interstate or intergovernmental organization)</i> ⁵	<input type="checkbox"/> Yes <input type="checkbox"/> No
37.	Regime of registration (Special Economic Zone, Offshore or another regime)	<input type="checkbox"/> Special Economic Zone <input type="checkbox"/> Offshore <input type="checkbox"/> Other
38.	Type of share capital	<i>Insert text here</i>
39.	Size of share capital (KZT or USD)	<i>Insert text here</i>
The legal address of the AIFC Participant		
40.	Registration Code of the Address (RCA) ⁶ (in the case of the presence of an RCA, Columns 43-49 need not to be filled in) (if available) <i>(The registration code of the address is a unique address code of the registered real estate object. The RCA consists of 16 digits and could be obtained from www.egov.kz)</i>	<i>Insert text here</i>
41.	Postal address	<i>Insert text here</i>
42.	Name of the district in Astana	<i>Insert text here</i>
43.	Type of construction (if available)	<i>Insert text here</i>
44.	Building number	<i>Insert text here</i>
45.	Block (if available)	<i>Insert text here</i>
46.	Housing (if available)	<i>Insert text here</i>
47.	Type of accommodation (if available)	<i>Insert text here</i>
48.	Number of apartment, non-residential premises (if available)	<i>Insert text here</i>
49.	Office number (if available)	<i>Insert text here</i>
50.	Telephone (if available)	<i>Insert text here</i>

⁵ Article 1 of Law on International Treaties of the Republic of Kazakhstan

⁶ In Russian - Регистрационный Код Адреса (РКА)

Information about the CEO		
51.	First name, middle name and surname of the CEO	<i>Insert text here</i>
52.	Citizenship (citizen of the Republic of Kazakhstan / foreign / statelessness)	<input type="checkbox"/> Citizen of the Republic of Kazakhstan <input type="checkbox"/> Foreign <input type="checkbox"/> Stateless
53.	Kazakhstani Individual Identification Number of the CEO	<i>Insert text here</i>
54.	Country of citizenship (not required for stateless persons)	<i>Insert text here</i>
55.	Country of main residence	<i>Insert text here</i>
Type of economic activity		
56.	The name of the activity (as indicated by the Authorised Signatory)	<i>Insert text here</i>
57.	Expected number of employed people	<i>Insert text here</i>
Information about the share capital of a legal entity		
58.	The amount of the share capital, in KZT or USD	<i>Insert text here</i>
<i>Share of state capital:</i>		
59.	amount in KZT or USD	<i>Insert text here</i>
60.	share in %	<i>Insert text here</i>
<i>Share of private capital:</i>		
61.	amount in KZT or USD	<i>Insert text here</i>
62.	share in %	<i>Insert text here</i>
63.	Number of shareholders	<i>Insert text here</i>
Incorporators – Natural persons (if applicable)		
64.	Citizenship (citizen of the Republic of Kazakhstan / foreign / statelessness)	<input type="checkbox"/> Citizen of the Republic of Kazakhstan <input type="checkbox"/> Foreign <input type="checkbox"/> Stateless
65.	Individual Identification Number (IIN) <i>(in case of availability of IIN, items 68-71 are not filled)</i>	<i>Insert text here</i>

66.	Surname, first name and middle name	<i>Insert text here</i>
67.	Country of citizenship	<i>Insert text here</i>
68.	Country of main residence	<i>Insert text here</i>
	<i>Information about a foreign person with no Individual Identification Number of the Republic of Kazakhstan</i>	<i>Insert text here</i>
69.	Tax registration number in the country of incorporation	<i>Insert text here</i>
70.	Identity document <i>(for citizens of Kazakhstan – national ID or passport; for foreign citizens – passport)</i>	<input type="checkbox"/> National ID <input type="checkbox"/> Passport
71.	Document Number	<i>Insert text here</i>
72.	Date of issue of the document	<i>Insert text here</i>
73.	Share in the share capital, %	<i>Insert text here</i>
74.	Amount in KZT or USD	<i>Insert text here</i>
Incorporators – Legal entities (if applicable)		
75.	Resident / non-resident	<input type="checkbox"/> Resident <input type="checkbox"/> Non-resident
76.	Business Identification Number (BIN) <i>(in case of BIN availability items 77-80 are not filled)</i>	<i>Insert text here</i>
77.	Full name	<i>Insert text here</i>
<i>Information of the non-resident incorporator</i>		
78.	Country of registration	<i>Insert text here</i>
79.	Registration number in the country of registration	<i>Insert text here</i>
80.	Tax registration number in the country of incorporation	<i>Insert text here</i>
81.	Date of registration	<i>Insert text here</i>
82.	Type of activity (for the non-resident of Kazakhstan, fill in regardless of the presence / absence of the BIN)	<i>Insert text here</i>
83.	Share in the share capital, %	<i>Insert text here</i>
84.	Amount in KZT or USD	<i>Insert text here</i>

Details of Reorganization (if the method of formation is reorganization)		
85.	Type of reorganization	<input type="checkbox"/> Merge <input type="checkbox"/> Transformation <input type="checkbox"/> Split <input type="checkbox"/> Separation
86.	Number of legal entities participating in the reorganization	<i>Insert text here</i>
87.	Participants in the reorganization	<i>Insert text here</i>
88.	BIN	<i>Insert text here</i>
89.	Full name	<i>Insert text here</i>
Registration of tax payers		
90.	Is it required to register as a Value Added Tax (VAT) payer? (yes/no)	<input type="checkbox"/> Yes <input type="checkbox"/> No

List of Supporting Documents

N^o	Requirement	Attached
General Details		
1.	<p>A copy of a Charter</p> <p>This is the new Charter of the Incorporated Organisation. An Incorporated Organisation may choose to adopt Standard Charter, amended Standard Charter or bespoke articles of association.</p>	<input type="checkbox"/>
2.	<p>A copy of resolution of the Founding Members. It shall include:</p> <ul style="list-style-type: none"> (a) Approvement to form an Incorporated Organisation Organisation in the AIFC; (b) Adoption of the Charter; (c) Appointment of the person authorized to sign documents on behalf of the incorporator in relation to the incorporation of the Incorporated Organisation; (d) Appointment of Authorised Signatory - person authorized to sign documents in all matters following incorporation of the new Incorporated Organisation; (e) Appointment of Founding Member(s); (f) Appointment of secretary(ies), if any. <p><i>This document will also serve as the evidence of appointment of Authorised Signatories, directors, secretary.</i></p>	<input type="checkbox"/>
3.	<p>A declaration signed by each of the applicants that the Incorporated Organisation will only conduct Authorised Activities</p> <p><i>Refer to Regulation 9 of AIFC Non-Profit Incorporated Organisations Regulations</i></p>	
Founding Members and Ordinary Member(s)		
Founding Member - individual		
4.	<p>Passport copy and curriculum vitae for each Founding Member and Ordinary Member of the applicant</p>	<input type="checkbox"/>
5.	<p>Evidence of Appointment</p> <p><i>A document evidencing the appointment of director. This may be in the form of resolution (refer to item 5 above)</i></p>	<input type="checkbox"/>
Founding Member – individual		
6.	<p>Passport copy and curriculum vitae for each Founding Member and Ordinary Member of the applicant</p>	<input type="checkbox"/>

7.	Evidence of Appointment (a) <i>A document evidencing the appointment of director. This may be in the form of resolution (refer to item 5 above)</i>	<input type="checkbox"/>
	Founding Member – individual	
8.	Passport copy and curriculum vitae for each Founding Member and Ordinary Member of the applicant	<input type="checkbox"/>
9.	Evidence of Appointment (b) <i>A document evidencing the appointment of director. This may be in the form of resolution (refer to item 5 above)</i>	<input type="checkbox"/>
	Ordinary Member – individual	
10.	Passport copy and curriculum vitae for each Founding Member and Ordinary Member of the applicant	<input type="checkbox"/>
11.	Evidence of Appointment <i>A document evidencing the appointment of director. This may be in the form of resolution (refer to item 5 above)</i>	<input type="checkbox"/>
	Addresses	
12.	Lease Agreement <i>Copy of the lease agreement for the office space in AIFC or memorandum of lease or any other document evidencing that the office space is reserved by way of lease reservation letter.</i>	<input type="checkbox"/>
	Authorised Signatory	
13.	Copy of passport (including Individual Identification Number for Kazakhstani nationals)	<input type="checkbox"/>
14.	Copy of Kazakhstani Visa or Entry Stamp in Kazakhstan (if applicable)	<input type="checkbox"/>
15.	Copy of Kazakhstani ID (mandatory for Kazakhstani nationals)	<input type="checkbox"/>
16.	Evidence of Appointment <i>A document evidencing the appointment of Authorised signatory. This may be in the form of resolution (refer to item 5 above)</i>	<input type="checkbox"/>
	Secretary (if applicable)	
17.	Copy of passport	<input type="checkbox"/>
18.	Evidence of Appointment	<input type="checkbox"/>

	<i>A document evidencing the appointment of secretary. This may be in the form of resolution (refer to item 5 above)</i>	
	Ultimate Beneficial Owners – this is to identify the ultimate beneficial owners of holding more than 10% of the Incorporated Organisation	
19.	A chart showing the corporate structure of the entity – up to the individual who ultimately owns the Incorporated Organisation.	<input type="checkbox"/>
	If an Ultimate Beneficial Owner – Individual:	
20.	Copy of passport of individual(s) who ultimately own(s) or effectively control(s) the Incorporated Organisation.	<input type="checkbox"/>
	If an Ultimate Beneficial Owner – Corporate:	
21.	Register of member/shareholders or document evidencing the current shareholders of the Incorporated Organisation, i.e. each corporate shareholder in the corporate structure (issued no more than three months), (if available). Please provide details of trust or public/listed Incorporated Organisation (if applicable)	<input type="checkbox"/>
	Money Laundering Reporting Officer (MLRO) (if applicable)	
22.	Copy of passport	<input type="checkbox"/>
23.	Copy of Kazakhstani Visa or Entry Stamp in Kazakhstan (if applicable)	<input type="checkbox"/>
24.	Anti-Money Laundering, Counter-Terrorist Financing and Sanctions policies, procedures, systems and controls. <i>For details, please refer to Anti-Money Laundering, Counter-Terrorist Financing and Sanctions Section</i>	<input type="checkbox"/>
25.	Fee	
	<ul style="list-style-type: none"> ✓ Registration fee - \$100 ✓ Commercial licence fee - \$100 	<input type="checkbox"/>

*Or equivalent amount in KZT at the official daily exchange rate of the National Bank of Kazakhstan on the date of payment.

NOTICE

To promote transparency, safety of all parties and mitigate risks in the AIFC, during incorporation/registration process the background check of Persons indicated in the application form will be conducted. This may include crime and tax records, law and regulatory enforcement, sanctions list and other relevant checks. In case of adverse background check, the incorporation/registration process may be delayed.

If any of the documents are not in the English language, the documents shall be accompanied by a translation certified to the satisfaction of the Registrar of Companies.

The AFSA Registration and Licensing Division reserves the right to ask for additional documents and information.

For further Information, please contact us.

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