

Application for a Licence to carry on Ancillary Services

This form must be submitted by all applicants applying for a Licence¹ to carry on one or more Ancillary Services, as defined in the AIFC General Rules. In addition to this form you² may be required to complete other supplementary forms as applicable to your intended activities.

¹ Terms defined in the Glossary (GLO) or the glossary sections in the Rules are identified by the capitalisation of the initial letter of a word or of each word in a phrase, unless the context otherwise requires the word to have its natural meaning.

² The terms “you” and “your” as used throughout are not implied in the personal sense, but rather refer to the applicant applying for a Licence to carry on Ancillary Services. The terms “we” and “our” refer to the AFSA.

Notes for completing this form

We occasionally refer to various Rules, sections, or chapters which make up the AIFC Rules. However, these references are provided only as a guide and are not an exhaustive list of the Rules that may be applicable to your situation. It is your responsibility to research any Rules that might be pertinent to your application.

Do not leave any response-cells empty. If a question we ask does not pertain to your intended Ancillary Services respond to that effect in the cell. If it is more appropriate to answer certain questions in an attachment then indicate in the cell that this is the case. If you are confident that you have answered a particular question in another form or attachment then make an unequivocal reference to that response.

As a matter of good practice, and to avoid any confusion, words and terms that are defined in GLO should have their first letter in upper-case.

Ensure that that you are using the latest version of this application form. AFSA will only accept out-of-date forms if they are submitted within one month of the latest version available on our website.

You are advised to retain a copy of the form and all relevant attachments for the records.

1. Declaration by the applicant

1.1 I declare that, to the best of my knowledge and belief, having made due inquiry, the information given in this form, the supplements and documents attached, as well as any applicable supporting documents, is complete and correct. I understand that it may be a breach of Article 119(e) of the AIFC Framework Regulations to provide to the AFSA any information which is deceptive, misleading or dishonest.

1.2 I declare my understanding that the AFSA may request more detailed information (including but not limited to, personal educational, employment and financial information) should it be deemed necessary to adequately assess the fitness and propriety of the firm or any person connected to the firm. I consent to the AFSA contacting any previous employers, educational institutions, professional organisations or any other organisation, to verify any information contained in this form.

1.3 I confirm that I have the authority to make this application, 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.

1.4 I understand that any personal data provided to the AFSA will be used to discharge its regulatory functions under th AIFC Data Protection Regulations, and other relevant legislation and may be disclosed to third parties for those purposes.

1.5 I confirm that all documents submitted as part of this application, whether physical or electronic, become property of the AFSA.

Signature of Director/Partner of the applicant³

Date

Enter the name and position or title of the above signed Director/Partner of the applicant:

Enter the name and position or title of the above signed Director/Partner of the applicant:

³ Or the person who will be authorised by the entity once it has been incorporated or established.

Declaration by the Money Laundering Reporting Officer

I declare that, I have read and understood the AIFC Anti-Money Laundering Counter-Terrorist Financing and Sanctions Rules and I am aware of the obligations and requirements I must adhere to as a MLRO.

Signature of the MLRO

Date

Enter the name and position or title of the above signed individual:

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2. Contact details of the applicant

2.1 Provide the following contact details for the individual from the applicant who is the principal for this application:⁴

Name:	
Designation:	
Contact number:	
E-mail address:	

2.2 Provide the following contact details for the individual from the applicant who is a backup person for this application:

Name:	
Designation:	
Contact number:	
E-mail address:	

2.3 Provide the name, scope of services and contact details of any professional adviser(s) that may be assisting the applicant⁵ with this application.

Name:	
Designation:	
Precise scope of the service(s) being provided:	
Contact number:	
E-mail address:	

2.4 Would you like us to copy in your adviser identified above on any correspondence?

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⁴ This person named will be responsible for the application during the authorisation process. He or she must be a representative of the applicant.

⁵ The terms “firm” and “applicant” are used interchangeably in this form.

3. Information about the Ancillary Service Provider

3.1	Full name or proposed name of the Ancillary Service Provider	
3.2	Registered office in AIFC (please indicate if current or proposed)	
3.3	Details of ownership of the firm (if insufficient space please attach additional sheets)	<i>Shareholder name % Holding</i>
3.4	Main telephone number of address in 3.2 (including country and area codes)	
3.5	Head office if different from 3.2	
3.6	Head office telephone number of address in 3.5	
3.7	Website address	
3.8	Legal nature of the firm (e.g. company, LLP, Partnership, etc)	
3.9	Date and place of incorporation/formation ⁶	
3.10	Applicant's expected end of financial year date	

⁶ Please attach a copy of the applicant's certificate of incorporation (if applicable). If in the process of being formed, please state "in formation".

4. Ancillary Services

Please select the type of Ancillary Services (as defined in Schedule 2 of the AIFC General Rules):

Ancillary Services:	Ancillary Service(s) you are applying for:
Providing Legal Services	
Providing Audit Services	
Providing Accountancy Services	
Providing Consulting Services	
Providing Credit Rating Services	

5. Anti-Money Laundering, Counter-Terrorist Financing and Sanctions

5.1	Provide information on the Money Laundering Reporting Officer (MLRO) of the applicant:	
	Full name of MLRO (as stated in passport):	
	Passport number:	
	The country and place of issue of the MLRO's passport:	
	Please attach a copy of the current passport held by MLRO, and a copy of his/her current visa.	
	Job title/level within the firm:	
	Residential address:	
	Telephone number:	
	Mobile phone number:	
	Email address:	
	What steps has the applicant taken to ensure that MLRO is capable and suitably qualified to undertake the roles and responsibilities as set out in AIFC AML Rules? Please provide details.	
5.2	Please provide general information on applicant's Anti-Money Laundering, Counter-Terrorist Financing and Sanctions (AML/CFT) procedures and arrangements.	
	The scope and frequency of the AML/CFT reviews or audits:	
	An overview of how the applicant will monitor, detect, and report threshold and suspicious transactions:	
	Training programs and procedures to ensure employees are made aware of	

	their regulatory obligations with regards to AML/CFT:	
5.3	<p>Please attach the applicant's Anti-Money Laundering, Counter-Terrorist Financing and Sanctions policies, procedures, systems and controls, which must be specific to its AIFC activities and comply with the AIFC AML Rules. These policies, procedures, systems and controls should include, amongst other things, arrangements to:</p> <ul style="list-style-type: none"> ✓ ensure senior management of the applicant is aware of their responsibility for the applicant's compliance with the AIFC AML Rules, and the duty to exercise due skill, care and diligence in carrying out these responsibilities; ✓ comply with the Law of the Republic of Kazakhstan No 191-IV dated 28 August 2009 on Counteracting legalisation (laundering) of proceeds obtained through criminal means and financing of terrorism and any other relevant laws of the Republic of Kazakhstan; ✓ ensure compliance with relevant sanctions issued by such bodies as Committee on financial monitoring of the Ministry of Finance of the Republic of Kazakhstan and United Nations Security Council. 	

6. 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.

- 6.1 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:

- 6.2 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:

- 6.3 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:

- 6.4 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:

- 6.5 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:

- 6.6 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:

- 6.7 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:

7. Confirmation of additional supporting attachments

7.1 In the table below confirm that the requested supporting documents are attached by putting an “X” into the appropriate cell. If they are required documents and are not attached then your application will be returned unless you can provide a reasonable explanation as to why they are not attached. If they are not required as per your submission then place the mark in the “Not-applicable” (N/a) cell:

Relevant question:	Required Attachment	Attachment included?		
		Yes	To follow	N/a
3.9	Certificate of Incorporation/Company Registration:			
5.1	Copy of passport:			
5.3	Anti-Money Laundering, Counter-Terrorist Financing and Sanctions policies, procedures, systems and controls:			
<i>Any other necessary attachments. Make reference to them:</i>				

Explanation of why required documents are not attached and why your application should not be considered incomplete and returned:

[Insert text here]

8. Submitting your application to the AFSA

Once you are satisfied that this form and all other supporting forms and documents necessary for your completed application have been finalised, you can then proceed to arrange an application submission meeting with your authorisation contact at the AFSA.

We will undertake an initial review of it to ensure that your submission appears to be materially complete and all the necessary attachments are included.

For your submission we will require hardcopies of one set of application forms, supplemental forms, and purpose-written, attachment documents, as well as the same on memory stick. If you are submitting published documents (for example, a corporate annual report), they are to be submitted on memory stick only.

Firms are advised to retain a copy of this form, any supplements, and all attachments for their records.