

AGENDA

Training sessions for law and consulting firms about registration and authorisation processes

Location: Will be held online, webinar link will be sent out on April 03, 2020.

Time: 16:00-18:00, 03 April, 2020.

Session 2: Registration procedures and requirements of Public Company, Special Purpose Company, Partnerships, transfer of incorporation, post-registration processes and Application for authorisation of Regulated Activities and Ancillary Services

**I. Public Company and Special Purpose Company, Almat Issenov, Senior Associate
at the Office of the Registrar, 15 minutes**

- Application package
- Self-service portal
- Requirements for registration
- Frequent mistakes
- UBO disclosure

Q&A Session 5 minutes

**II. General Partnership, Limited Partnership and Limited Liability Partnership,
Assilbek Jumakulov, Associate at the Office of the Registrar, 15 minutes**

- Application package
- Self-service portal
- Requirements for registration
- UBO disclosure
- Frequent mistakes

Q&A Session 5 minutes

**III. Transfer of incorporation and Scheme of arrangement, Laura Nurgaliyeva, Senior
Associate at the Office of the Registrar, 15 minutes**

- 'Transfer of Incorporation to the AIFC' (or redomiciliation) tool
- Benefits of redomiciliation

- *Redomicile process*
- *'Scheme of Arrangement' tool as an alternative way to 'transfer' to the AIFC*

Q&A Session 5 minutes

IV. Main elements of the Application for Regulated Activities, Assel Mukashkaliyeva and Ainur Kadyrbayeva, Authorisations Division, 30 minutes

- Authorised signatory – who may submit the application
- Copying in the advisor in the communication with the Regulator
- Information about the applicant: branch/sub/start-up
- Contacts of the home regulator
- Details about the applicant's Controllers: individual vs corporate
- AML section: steps to ensure that MLRO is capable and suitably qualified to undertake the roles and responsibilities as set out in AIFC AML Rules
- The regulatory business plan (RBP) sections

Q&A Session 5 minutes

V. Main elements of the Application for Ancillary Services, Saliya Aligozhina, Authorisations Division, 15 minutes

- Authorised signatory – who may submit the application
- Information about the applicant: branch/sub/start-up
- Ancillary Services being sought by the applicant: explanation of the scope; potential or actual conflicts of interests
- AML: Relevant Persons
- Human Resources: fitness and propriety
- Conduct of business: holding Client Money and/or Client Investments, complaints, record keeping, data protection
- Auditor requirements: Audit Principal requirements, employee trainings, PII, required systems, procedures and controls
- Credit Rating Agencies: required systems, procedures and controls

Q&A Session 5 minutes