**Astana Financial Services Authority**

 **AIFC Annual confirmation statement**

**Private** **Company Name: *Insert text here***

**Registration Number: *Insert text here***

# **DECLARATION AND CONSENT**

A director must sign this form in the space below.

* 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. **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 Section 200 of the AIFC Companies Regulations to make a statement, or give information, to the Registrar (whether orally, in a Document or in any other way) that is false or misleading in a material particular, or give a Document to the Registrar that is false or misleading in a material particular, or conceal information or a Document if the concealment is likely to mislead or deceive the Registrar. Contravention of this section is punishable by a fine.

Name of Director:

|  |
| --- |
| *Insert text here* |

Contact email:

|  |
| --- |
| *Insert text here* |

Contact number:

|  |
| --- |
| *Insert text here* |

***Signature: \_\_\_\_\_\_\_\_\_\_ Date*** *Insert text here*

**What this form is for?**

Private Companies may use this form to confirm that important company data registered at the Office of the Registrar and displayed on the public register is accurate and up to date.

Before confirming Private Company records are up to date, the Private Company must tell the Office of the Registrar about the changes to:

* Address of the registered office
* Details of Shareholders
* Details of Directors
* Details of Secretary
* Details of Nominee Directors
* Details of UBO
* In the case of a Private Company which keeps any company records at a place other than its registered office, any duty under the AIFC Companies Regulations 2017 to give notice of a change in the address of that place
* Principal business activities
* Number of Shares held as treasury Shares

**NOTES:**

1. Annual confirmation statement is applicable for a Private Company with an annual turnover of less than U.S. $500,000 or an average of less than 20 Shareholders during the year for which the annual confirmation statement is being prepared; or a Private Company which has made an election under section 26-1 of the AIFC Companies Regulations.
2. A separate form must be used to notify the Office of the Registrar about the election to file an annual confirmation statement instead of an annual return.
3. If any information held on record is inaccurate or out of date when the confirmation statement is due, the Private Company should update the information on the relevant separate form beforehand, or at the same time as delivering the confirmation statement.
4. A Private Company must file a confirmation statement even if there have not been any changes to the company during the review period. This confirms that company records are up to date and the information we hold is correct.
5. According to Section 26-1 of the AIFC Companies Regulations, an Annual confirmation statement must be submitted 14 days after the end of each review period.
6. Section 26-1(10) of the AIFC Companies Regulations specifies that a company’s annual confirmation of accuracy of information in the register must be accompanied by the filing fee prescribed by the Registrar of Companies from time to time.

**NOTES FOR COMPLETING THIS FORM**

|  |
| --- |
| All questions must be answered in full and the use of abbreviations should be avoided. If a field is left blank it may prompt a query. A nil return should be indicated by N/A.* Dates must be provided in the following format: DD/MM/YYYY.
* Answers must be typed and additional pages attached if necessary.
* Check the relevant Regulations, Rules, or this form, to determine:
	+ the information that must be supplied in this form;
	+ any supporting documentation that must accompany this form;
	+ who should sign this form;
	+ when the notification must be made; and
* Ensure that any supporting documentation is clearly labelled and securely attached.
* Defined terms are identified throughout this form by the capitalisation of the initial letter of the word or phrase and are defined in the Glossary published on the [www.afsa.kz](http://www.afsa.kz) or the relevant regulations.
* All supporting Documents must be in the English language or accompanied by an appropriate translation certified to the satisfaction of the Registrar of Companies.
* Please ensure that where indicated any supporting Documents are attached to the notification and where required certified as a “True Copy” by a director/secretary/ Member/Designated Member of the AIFC/Non-AIFC company or partnership.
* This form, as well as any supporting Documents, may be signed using DocuSign electronic signature. In such case a DocuSign Certification of Completion must be provided.
 |

**CONFIRMATION DATE**

You must deliver this form within 14 days of this date. The confirmation date must be no later than the last day of the review period concerned.

|  |
| --- |
| *Insert date* |

**REVIEW PERIOD**

Each of the following is a review period:

(a) the period of 12 months beginning with the day of the company's incorporation;

(b) each period of 12 months beginning with the day after the end of the previous review period.

|  |
| --- |
| *Insert review period* |

**CONFIRMATION STATEMENT**

I confirm that all information required to be delivered by the Private Company pursuant to section 26-1 of the AIFC Companies Regulations 2017 in relation to the confirmation period ending on the confirmation date above either has been delivered or is being delivered with this statement.

|  |  |
| --- | --- |
| **Name** *Insert text here* | **Signature** |
| **Date** *Insert date* |

**CHECKLIST**

|  |
| --- |
| **Please make sure to complete all the required fields in the form and the following supporting document(s) are attached. Incorrect or incomplete application may be returned for re‐submission.****If any documents are not in the English Language, they must be accompanied by a translation, certified to the satisfaction of the Registrar.** |

**LIST OF SUPPORTING DOCUMENTS**

|  |  |  |
| --- | --- | --- |
| No. | Requirement | Status |
|  | AIFC form for notifying about the election to file an annual confirmation statement | [ ]  |

# **NOTICE**

|  |
| --- |
| To promote transparency, safety of all parties and mitigate risks in the AIFC, 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.The AFSA Office of the Registrar of Companies reserves the right to ask for additional documents and information.We occasionally refer to various Regulations and Rules which make up the AIFC Legislation. However, these references are provided only as a guide and are not an exhaustive list of the Regulations and Rules that may be applicable to your situation. It is your responsibility to research any Regulations and Rules that might be pertinent to your application.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.This form, as well as any supporting Documents, may be signed using DocuSign electronic signature. In such case a DocuSign Certification of Completion must be provided. |

|  |
| --- |
| **For further Information, please contact us** |
| Telephone Number  | +77172-64-74-47 (extension 3) |
| Email Address | monitoring@afsa.kz  |

**NOTES FOR LODGING THIS FORM**

|  |
| --- |
| The method of lodgment of this form is:* For the AFSA this form and any supporting Documents must be filed in original only, to the relevant address shown:

Astana Financial Services Authority,3rd floor, office 335 Block C 3.2, Mangilik El 55/17, Astana, KazakhstanT: +7 7172 64 74 47 (extension 3) E: monitoring@afsa.kz The Firm must file this form and any applicable supporting Documents with the correct recipient within the prescribed time limit. Any failure to do so may result in a breach of the applicable Regulations and Rules. You must ensure that any other requirement(s) to make a notification(s) to the AFSA is made on the correct form(s) and within the prescribed time limit.This form, as well as any supporting Documents, may be signed using DocuSign electronic signature. In such case a DocuSign Certification of Completion must be provided. |