



APPLICATION FORM FOR MEMBERSHIP OF THE “MONGOLIAN STOCK EXCHANGE”

ONE. COMPANY INFORMATION

1	General information			
1.1	Company name			
1.2	State registration certificate number			
1.3	Date of state registration certificate			
1.4	Register			
1.5	Company jurisdiction			
1.6	Amount of share capital			
1.7	FRC license type	License date		Resolution No
	Broker			
	Dealer			
	Underwriter			
	Investment advisor			
	Other investment services to be performed on behalf of the customer and according to the customer's order			
2	Terms of service			
2.1	Account opening fee			
2.2	Trading fees	Stock	Government bond	Corporate bond
2.3	Correspondent bank	<i>Name</i>		<i>Account number</i>
2.4	Name of the settlement bank			
2.5	Working hours			
3	Address			
3.1	Office	<input type="checkbox"/> Owned	<input type="checkbox"/> Rental	
3.2	Address	HQ:		
		Branch:		
3.3	Website			
3.4	E-mail			
3.5	Work phone, fax			

4 <i>Founder</i>				
№	Full name	Invested capital		Employment status
		Amount	Percent	
5 <i>The Board of Directors</i>				
№	Full name	Position	Employment status	
1				
2				
3				
4				
5				
6				
6 <i>Balance sheet /As of year month date /</i>				
№	Items	Beginning balance	Ending balance	
1	Total assets			
	Current assets			
	Non-current assets			
2	Total liabilities and shareholders' equity			
	Liabilities			
	Shareholders' Equity			
3	Balance sheet			
4	Auditing company	Name:	Address:	
7 <i>Financial plan</i>				
№	Items	As of 20...	As of 20...	As of 20...
1	Total transactions			
	Stock			
	Government bond			
	Corporate bond			
2	Total revenue			
	1. From brokering services			
	2. From dealing services			
	3. From underwriting services			
	4. Other revenue			
3	Total expenses			
4	Net income			

8 Employee information /with sector information/				
No	Employee's Full name	Position	Date of employment	Professional license number for operating in the securities market
1				
2				
3				
4				
5				
6				
9 Other information			Yes	No
1	Whether the applicant, its authorized persons, influential shareholders, or the parent company have seriously violated the law on the securities market, and whether they have worked as an authorized person in a regulated entity whose special license and membership have been revoked due to the violation during the last 5 years.			
2	Whether the applicant's influential shareholder or parent company has been declared bankrupt or deemed to be insolvent			
3	Whether the applicant, its Influential shareholders, authorized persons, or parent company have been found guilty or suspected of having committed a financial crime.			
<i>If checked "yes" attach the explanation.</i>				
10 Confirmation				
<p>The applicant company "....." shall be liable for the accuracy of the submitted documents to the "Mongolian Stock Exchange". In the event that the provided information is found to be inaccurate or false, the applicant company shall be legally accountable in accordance with relevant laws and regulations. The applicant company pledges to fulfill all obligations as prescribed by the applicable regulations, directives, and agreements of the Financial Regulatory Commission and the 'Mongolian Stock Exchange' within the securities market of Mongolia.</p> <p style="text-align: center;"> Seal Director / Signature/ </p> <p style="text-align: center;">Year 20... month ... date ...</p>				

11	<i>Documents to be submitted</i>	<i>Explanation</i>
1	Membership request letter	An official written request must be signed and certified with a seal;
2	Founder's decision to establish an entity to conduct regulated operation	Copy and the original;
3	Copy of the state registration certificate	Copy and the original. For a foreign-invested enterprise, a copy of the certificate issued by the Foreign Investment Department, and the original;
4	Copy of the company's charter	Copy and the original. The charter must be formulated in accordance with Article 16 of the Law on Company;
5	Business plan	The business plan must be formulated for a period of 3 years and must be approved by the shareholders meeting. The business plan should be written in plain language, and its parts should be coherent. The information included should be timely and accurate, and the its performance should be measurable;
6	Audited financial statements	If the company is newly incorporated, the opening balance sheet along with a copy
7	Current account statement	Account statements for at least the last 3 months;
8	Statement of the current bank account balance	it is required in the case of becoming a member of the Exchange after obtaining a license from the FRC;
9	The statement of Whether founders, shareholders, and authorized officials are in tax debt	Statement from the tax authority;
10	The statement of the GEACD on whether the founders, shareholders, or officials are in debt	Statement from the GEACD;
11	A copy of the official person's business license, university diploma, a detailed resume approved by the "Membership Rules" appendix, and professional license;	Copy and the original;

12	A list of equipment, software, property, and documents to demonstrate whether the entity meet the requirements specified in the rules;	The technical equipment and software used in the operation should be clearly stated by name, type, capacity, quantity, and whether the equipment and software were purchased or leased. In the Intended Use of Software column, write down the intended use of the software. For example, submitting and receiving information in accounting and credit databases, processing daily news, customer databases, and orders, etc.;
13	Lease agreement or real estate certificate	A copy of the certificate if the real estate is owned, and a copy of the lease agreement if it is leased, with the original copy;
14	The company's rules, Procedures and instructions issued in accordance with the Law on Securities Market and the regulations of the FRC	Rules, procedures and instructions shall be developed pursuant to a regulated operation to be conducted by the company;
15	A copy of the contracts with the Central Securities Depository and Securities clearing center	These documents shall be submitted after obtaining a license from the FRC;
16	Receipt of payment of application fee	
17	A copy of the certificate of the special permit to conduct regulated operations on the securities market, and a copy of the resolution of the FRC	

COMPANY AUTHORISED PERSON'S STATEMENT

1							General information							
1.1	Surname						Headshot 3x4cm							
1.2	First name													
1.3	Gender /choose/	Male:				Female:								
1.4	Birthdate													
1.5	Citizenship													
1.6	Register													
1.7	E-mail:													
1.8	Home address													
1.9	Phone:	1.				2.								
2							Education							
2.1	Name of the institute	Location	Enrolled date	Graduated date	Degree	Diploma, registration No								
2.2	Professional license to operate on the securities market		Number:		Issue date:		Expiration date:							
3							Work experience / including the current occupation/							
3	Organization	Position	Date of Employment	Date of resignation	Reason of resignation									
4							Family status							
4	Your	Full name	Register	Birthplace	Current occupation									
5							Confirmation							

Applicant “.....” /Position, investor/ of /company/,
..... /surname/..... shall be liable for the accuracy of the
submitted documents to the "Mongolian Stock Exchange". In the event that the provided information is
found to be inaccurate or false, the applicant company shall be legally accountable in accordance with
relevant laws and regulations. The applicant company pledges to fulfill all obligations as prescribed by
the applicable regulations, directives, and agreements of the Financial Regulatory Commission and the
'Mongolian Stock Exchange' within the securities market of Mongolia.

Signed:

/Signature/

ISSUED THE APPLICATION: _____/ Signature/

REVIEWED: _____/Chief Executive Officer/

Year 20 ... month ... date ...

TWO. A) PERSONNEL STATEMENT

1							<i>General information</i>							
1.1		Surname												
1.2		Name												
1.3		Gender			Male:		Female:					Head shot		
1.4		Birthdate									3x4cm			
1.5		Citizenship												
1.6		Register												
1.7		E-mail:												
1.8		Address												
1.9		Contact:			1.		2.							
2							<i>Education</i>							
2.1		School		Location		Enrolled		Graduated		Degree		Diploma, registration No		
2.2		Professional license to operate in the securities market			Number:		Issued date:		Expiration date:					
3							<i>Work experience / including the current occupation /</i>							
3		Organization		Position		Date of Employment		Date of resignation		Reason for resignation				
4							<i>Family status</i>							
4		Your	Full name		Register		Birthplace		Current job					
5							<i>Confirmation</i>							

Applicant “.....” /Position, investor/ of /company/,
..... /surname/ shall be liable for the accuracy of
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accordance with relevant laws and regulations. The applicant company pledges to fulfill all obligations
as prescribed by the applicable regulations, directives, and agreements of the Financial Regulatory
Commission and the 'Mongolian Stock Exchange' within the securities market of Mongolia.

SIGNED:

/Signature/

ISSUED THE APPLICATION: _____ / Signature/

REVIEWED: _____/Chief Executive Officer/

Year 20 ... month ... date ...

B) STATEMENT OF AN ENTITY SHAREHOLDER OF MEMBER COMPANY

Д/д	<i>Company information</i>		
1	Company name		
2	Established date		
3	Register		
4	Company Jurisdiction		
5	Type of business operations		
6	Share capital		
7	Ownership information in member company	Amount of capital invested:	Percentage of invested capital in share capital:
8	Executives' name		
9	Company address		
10	Website		
11	E-mail		
12	Phone, Fax		

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