

TROPTIONS · INSTITUTIONAL DOCUMENT SYSTEM

Liquidity Pool Readiness Handbook

LP Setup, Compliance & Approval Requirements

For: DeFi operators, liquidity providers, compliance teams

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Executive Summary

This handbook covers readiness requirements for TROPTIONS liquidity pool participation: legal entity requirements, KYC/AML controls, smart contract audit requirements, governance approval gates, and current status. All LP execution remains blocked pending full legal, regulatory, and governance approvals.

Who This Document Is For

Prospective liquidity providers, DeFi operators, and compliance teams reviewing LP participation requirements.

Required Information

- Entity structure
- Jurisdiction
- Intended LP contribution amount
- Target pool(s)
- Risk tolerance declaration

Required Documents

- & Entity formation documents
- & KYC documents
- & Smart contract audit (if operating LP contract)
- & Legal opinion on LP participation
- & Regulatory clearance (jurisdiction-specific)

Step-by-Step Process

Step 1: Legal Entity Requirement

LP participation requires a properly formed legal entity in a supported jurisdiction.

Step 2: KYC/AML Clearance

Complete full KYC per KYC/Onboarding Handbook. All LP participants require AML clearance.

Step 3: Smart Contract Audit

Any LP contract must be audited by a qualified smart contract auditor.

Step 4: Regulatory Review

Obtain legal opinion on LP participation eligibility in your jurisdiction.

Step 5: Governance Approval

Submit LP participation request for governance approval.

Step 6: Execution (if approved)

Upon all approvals, LP execution instruction issued per approved terms.

Approval Gates

- & Legal entity confirmed
- & KYC/AML cleared
- & Smart contract audit complete
- & Legal opinion received
- & Regulatory clearance obtained

- & Governance approval received

Readiness Checklist

- & Legal entity formed
- & KYC complete
- & Audit commissioned
- & Legal opinion requested
- & Regulatory review initiated

What Stays Blocked

- Any LP execution without full approval chain
- Participation by unverified entities
- LP contracts without audit

Common Blockers

- Legal entity not formed
- KYC incomplete
- Audit not commissioned
- Regulatory environment unclear

TROPTIONS System Handling

TROPTIONS does not provide LP execution services. This handbook covers the requirements that would need to be met if LP participation were approved. All LP execution is blocked pending multi-party approval.

Final Checklist Before Submission

- & Legal entity confirmed
- & KYC cleared
- & Smart contract audit complete
- & Legal opinion received
- & Regulatory clearance obtained
- & Governance approved
- & LP execution instruction issued

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