Approved

by the resolution of the Supervisory Board

of the Moscow Exchange

on April 24, 2019 (Minutes No. 19)

ADMISSION RULES

TO PARTICIPATION IN ORGANISED TRADING

OF THE MOSCOW EXCHANGE

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# Section 01. TERMS AND DEFINITIONS (GLOSSARY)

## Article 01.01. Terms and Definitions

1. For the purpose of the Admission Rules to Participation in Organised Trading of Moscow Exchange (the “Admission Rules”) the following terms and definitions shall be used:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Exchange (Moscow Exchange)** | | | | Public Joint-Stock Company “Moscow Exchange MICEX-RTS”. | |
| **Market Data** | | | | Digital data and other information of non-confidential nature on the course and results of trading on the Exchange disclosed in real time, with delay or at the close of trading, treated and arranged with the help of the Exchange software and hardware complex and equipment, contained in the Exchange databases, which the Exchange may legally use. | |
| **Exchange Market of Moscow Exchange (Exchange Market)** | | | | One of the trading (exchange) sections of Moscow Exchange on which Moscow Exchange is the market operator. The Exchange Markets of Moscow Exchange in present Admission Rules mean the FX Market and Precious Metals Market, Derivatives Market, Standardised OTC Derivatives Market, Equity & Bond Market and the Deposit Market. | |
| |  | | --- | | **Admission fee to participate in organised trading(Admission Fee)** | | | | | Obligatory contribution to be paid by a Candidate to Trading Member and to be used to cover expenses on servicing and development of trading on the Exchange Markets. For each Exchange Market the Exchange shall establish the contribution size separately. | |
| **Internal Documents of the Exchange** | | | | Internal documents regulating the activity of Exchange Markets of Moscow Exchange, relations arising in connection with organised trading on the Exchange Markets and/or participation in organised trading, inclusive of the rights and obligations of the Exchange and Trading Members, procedures and specifics of Exchange services in connection with organised trading, terms and conditions of trades executed on the Exchange, procedures and times for the Exchange to calculate prices, indices and other indicators, procedures for document management and information exchange between the Exchange and Trading Members, as approved by the authorised bodies of the Exchange pursuant to the competence thereof and published on the website of the Exchange. In particular, the Internal Documents of the Exchange mean the Admission Rules, Trading Rules, Specifications and other dements of the Exchange the Admission Rules and (or) Trading Rules refer to. | |
| **Admission to Participation in Trading** | | | | Providing by the Exchange of the Trading Members with an opportunity to participate in trading on the Exchange Markets of Moscow Exchange. Admission to each Exchange Market of Moscow Exchange shall be provided separately. | |
| **Sponsored Market Access (SMA) Identifier** | | | | Unique alphanumeric code assigned to the Trading Member upon its request for further delivery to the Trading Member’s Client for connecting to the instruction processing system in the manner prescribed by the Admission Rules and Trading Rules. | |
| **Trading Member Identifier** | | | | Unique alphanumeric code assigned by the Exchange to the Trading Member for obtaining of technical access to SHC (Software-Hardware Complex) of TC (Technical Centre) in accordance with the procedure provided for hereby. For each Exchange Market the separate Trading Member Identifier shall be assigned to Trading Member. | |
| **Candidate to Trading Members (Candidate)** | | | | A legal entity having filed an application for admission to participation in the trading on the Exchange Market of Moscow Exchange, pursuant to the Admission Rules. | |
| **Category of Trading Members** | The total for Trading Members for which the Exchange has established equal requirements and peculiarities of rendering of the services of organised trading conduct. For each Exchange Market the Exchange shall separately establish the Trading Member categories. | | | |
| **Client of Trading Member (Client)** | | | | Legal entity or individual registered with the Exchange as a Client of a Trading Member, client being a client of a broker or trust manager who, in its turn, is a Client of a Trading Member (second level client) | |
| **Client Being a Qualified Investor** | | | Client of a Trading Member, which is a qualified investor, or is considered by the Trading Member to be a qualified investor in accordance with the laws of the Russian Federation, registered in the Trading System in accordance with the Admission Rules. | | |
| **Clearing House** | | | | Organisation having a license for carrying out of clearing activity and having concluded the respective contract with the Exchange.  Non-banking credit institution-Central Counterparty National Clearing Centre and the National Settlement Depository are the clearing houses performing clearing on the transactions executed on the trading organised by the Exchange. | |
| **Trading Member Code** | | | | Unique alphanumeric code assigned by the Exchange to Trading Member in accordance with the requirements of the regulatory acts for financial markets, as well as the Admission Rules. | |
| **Code of Trading Member’s Client (Client Code)** | | | | Unique alphanumeric code assigned by the Exchange to Trading Member’s Client in accordance with the laws of the Russian Federation and the Admission Rules. | |
| **Commission Fee** | | Exchange charge paid by the Trading Members for the services of organised trading conduct. | | | |
| **Committee** | | Council of a section of the respective Exchange Market acting on a basis of the respective Provision on the Committee. | | | |
| **Trading Member’s short name in the Trading System (Short Name)** | | The Trading Member’s short name is an alphabetic and/or numerical code assigned by the Exchange to a Trading Member that allows such Trading Member to be unambiguously identified in the Trading System. The information on Trading Members’ short names is posted on the Exchange website and/or disclosed via the Trading System. | | | |
| **My Account page** | | | | | Dataware for the Trading Member’s access to the Exchange website page that presents the information on the Trading Member’s data currently available on the Exchange, documents and information regarding participation of the Trading Member in on-exchange trading, as well as the information required for the Trading Member to generate and to submit/receive certain types of electronic messages and documents. | |
| **Market Maker** | | | | A Trading Member having concluded with the Exchange a contract for support of prices, demand, supply and/or volume of trading in certain financial instruments. | |
| **Procedure for Submission of Information and Statements** | | | | The procedure for submission of information and statements approved by the authorised Exchange body and determining the composition, formats and time periods for submission to the Exchange of the information and statement by the Candidates/Trading Members, disclosed on the Exchange website. | |
| **Trading Rules** | | | | Internal document(s) of Moscow Exchange containing the terms and conditions of the contract for rendering of the services of organised trading conduct, as well as establishing the procedure for the organised trading conduct on the respective Exchange Market of the Exchange. For each Exchange Market certain Trading Rules are provided. | |
| **Clearing Rules** | | | | Internal document(s) of a Clearing House containing the terms and conditions of the contract for rendering of the clearing services, as well as establishing the procedure for determination, accounting and fulfilment (termination) of obligations under the transactions executed on the respective Exchange Market of the Exchange. | |
| **EDI (Electronic Documentary Interchange) Rules** | | | | Rules of Electronic Documentary Interchange approved by the Exchange authorised body. | |
| **Software-Hardware Complex of the Technical Centre (SHC of TC)** | | | | Entirety of software and hardware of the Technical Centre utilized to provide services to a Trading Member in accordance with contracts concluded between the Trading Member and the Technical Centre. | |
| **View-only Identifier** | | | | Unique alphanumeric code assigned to Trading Member for analysis of the progress and results of trading and/or monitoring of trading and its results. | |
| **Trading System** | | | | Subsystem of SHC of TC (Trading System) intended for transactions execution by the Trading Members, as well as preparation of documents upon the results of trading in accordance with the Rules for Trading on the Respective Exchange Market of the Exchange. | |
| **Electronic Data Interchange System (EDI System)** | | | | System of interchange of electronic documents in accordance with the EDI Rules. | |
| **Technical Centre (TC)** | | | | Organisation providing support and functioning of SHC of TC and providing the Trading Members with integrated technological servicing and/or information and technical maintenance. The Moscow Exchange shall act as the Technical Centre. | |
| **Trading Member’s Trading Identifier (Trading Identifier)** | | | | Unique alphanumeric code (user’s login) assigned to a Trading Member for requests filing for the purpose of transactions conclusion, as well as execution of other operations in accordance with the procedure provided for by the Admission Rules and Trading Rules. | |
| **Clearing Member** | | | | A legal entity provided with clearing services by a Clearing House on the basis of the contract concluded therewith. | |
| **Trading Member** | | | | A legal entity admitted to participation in the organised trading on the Exchange Market of Moscow Exchange in accordance with the requirements hereof. | |
| **Forms of the Documents submitted by the Candidates/Trading Members in accordance with the Rules of Organised Trading of Moscow Exchange (Forms of Documents)** | | | | Internal document of the Exchange containing the forms of the documents to be submitted by the Candidates/Trading Members to Moscow Exchange in accordance with the Rules for admission to participation in organised trading of the Exchange approved by the Exchange and posted on the Exchange website in the Internet. | |
| **Central Counterparty** | | | | Non-banking credit institution-Central Counterparty National Clearing Centre (CCP NCC) clearing on the Exchange Markets of Moscow Exchange and functioning as the central counterparty in accordance with the procedure provided for by the Trading Rules and Clearing Rules. | |
|  | | | |  | |

1. The terms not especially defined herein shall be used as established in the laws and other regulatory acts of the Russian Federation, Charter of the Exchange, Trading Rules and other Internal Documents of the Exchange as well as the Clearing Rules and other internal documents of the Clearing Centre, internal documents of the Technical Centre.

# Section 02. GENERAL PROVISIONS

## Article 02.01. Purpose of the Admission Rules

1. Admission rules to participation in organised trading of the Moscow Exchange comprise of:
   * Admission rules to participation in organised trading of the Moscow Exchange. Part I. General Section (hereinafter, the “General Section of Admission Rules”);
   * Admission rules to participation in organised trading of the Moscow Exchange. Part II. FX Market and Precious Metals Market (hereinafter, the “FX Market and Precious Metals Market Admission Rules”);
   * Admission rules to participation in organised trading of the Moscow Exchange. Part III. Derivatives Market (hereinafter, the “Derivatives Market Admission Rules”);
   * Admission rules to participation in organised trading of the Moscow Exchange. Part IV. Standardised OTC Derivatives Market (hereinafter, the “Standardised OTC Derivatives Market Admission Rules);
   * Admission rules to participation in organised trading of the Moscow Exchange. Part V. Equity & Bond Market Section and Repo Market Section (hereinafter, the “Equity & Bond Market Admission Rules”);
   * Admission rules to participation in organised trading of the Moscow Exchange. Part VI. Deposit Market Section (hereinafter, the “Deposit Market Admission Rules”).
2. The FX Market and Precious Metals Market Admission Rules, Derivatives Market Admission Rules, and the Standardised OTC Derivatives Market Admission Rules, Equity & Bond Market Admission Rules and the Deposit Market Admission Rules shall be separately referred to as the ‘Special Section of Admission Rules”, and jointly as the “Special Sections of Admission Rules”.
3. The General Section and Special Sections of Admission Rules shall be hereinafter separately referred to also as the “Sections of Admission Rules”, and jointly as the “Admission Rules”.
4. The Admission Rules are developed in accordance with the laws of the Russian Federation, Charter of the Exchange and the Trading Rules.
5. The Admission Rules shall determine the requirements to the Candidates and Trading Members, their rights and obligations, requirements for the ways and frequency of the Trading Members Identification, procedure for registration of the Trading Members and their clients in the Exchange Trading System, disciplinary measures applied to Trading Members, procedure for access, restrictions, suspension, resumption and termination of admission of the Trading Members to trading, types of payments made by the Trading Members, as well as the procedure for settlement of disputes and disagreements which may arise between the Trading Members, as well as between the Exchange and the Trading Member(s).
6. All Appendices hereto shall be an integral part hereof.
7. The Admission Rules, other Internal Documents of the Exchange regulating the procedure for participation in the organised trading and transactions execution on the Exchange Markets, resolutions of the Exchange shall be communicated to Trading Members and shall be binding for the Trading Members.

## Article 02.02. Procedure for Approval, Amending and Validation of the Admission Rules

1. The Admission Rules, amendments hereto, as well as the date and the procedure for validation of the Admission Rules shall be approved by the Exchange.
2. The Admission Rules approved by the Exchange, as well as the amendments hereto, including the Admission Rules as amended shall be disclosed on the Exchange website upon their registration with the Bank of Russia and shall be validated not earlier than in five (5) days upon the date of their disclosure. The effective date of the Admission Rules, the amendments hereto, including the Admission Rules as amended shall as well be disclosed on the Exchange website in the Internet.
3. The information of approval and validation of the Admission Rules, as well as all amendments hereto shall be additionally communicated to Trading Members not later than in three (3) business days prior to validation thereof by sending of an information message in any of the following ways:
4. in the electronic form via Trading System;
5. in the form of an electronic message or document via e-mail or EDI;
6. in other way allowing definite identifying of the date of the information message sending.

## Article 02.03. Procedure for Notification of the Trading Members

1. Unless otherwise provided for by the Admission Rules, the information subject to submission to the Candidates/Trading Members in accordance herewith shall be communicated to the Candidates/Trading Members by sending them of and information message in one of the following ways:
   1. in the electronic form via Trading System;
   2. in the form of an electronic message or document via EDI;
   3. in the form of a message via e-mail;
   4. in the form of an electronic message or document via My Account section of the Participant;
   5. in writing by courier;
   6. by disclosing of the information on the website of the Exchange in the Internet;
   7. in other way allowing definite identifying of the date of the information message sending.
2. The date of notification of the Trading Member providing information in the ways provided for by Sub-clauses a)—d) of Clause 1 of this Article hereof shall be deemed the date of receipt of the information message by the Candidate/Trading Member. When providing information in the way provided for by Sub-clause e) of Clause 1 of this Article hereof, the date of notification of the Candidate/Trading Member shall be the date of the information disclosure on the Exchange website in the Internet.
3. If the Candidate/Trading Member is not notified in writing, upon request of this Candidate/Trading Member a written information message shall be issued thereto.
4. The information messages in writing shall be sent to the addresses specified by the Candidates/Trading Members in the Legal Entity Questionnaire submitted thereby to the Exchange in accordance with the Procedure for Submission of Information and Statements.

## Article 02.04. Procedure for Documents Execution and Submission to the Exchange

Unless otherwise provided for by the Admission Rules, the documents execution and submission thereof to the Exchange shall be performed as follows:

1. Documents submitted by the Candidate/Trading Member to the Exchange in accordance with the Admission Rules shall be executed in the official language of the Russian Federation, signed by the authorised official, and documents on paper shall be certified by the seal (if any) of the Candidate/Trading Member. Erasures and corrections in the documents shall not be allowed.
2. For submission by the Candidate/Trading Member of the documents (hereinafter — the “submitted documents”) to the Exchange the Candidate/Trading Member shall preliminary or at the same time submit the following documents to the Exchange:
   1. the document certifying the respective powers of the person having signed the submitted documents;
   2. the document containing the sample signature of the person having signed the documents submitted on paper;
   3. The document containing the sample impression of the seal (if any) of the Candidate/Trading Member valid as at the date of submission of documents on paper to the Exchange.

In all cases of submission to the Exchange of the abovementioned documents one should follow the rules established for such documents by Appendix No. 01 hereto.

1. The forms of the documents submitted by the Candidate/Trading Member to the Exchange in accordance with the Admission Rules are contained in the Admission Rules and/or the Forms of Documents disclosed on the Exchange website in the Internet.

The documents which form is provided for by the Admission Rules shall be submitted on paper. The documents which form is provided for in the Forms of Documents may be submitted to the Exchange on paper or in the form of an electronic documents using EDI.

1. The Exchange shall be entitled to refuse accepting of the submitted documents of the Candidate/Trading Member in the following cases:
   1. inconformity of the documents submitted to the forms approved by the Admission Rules/Forms of Documents;
   2. incompleteness and (or) incompliance of the submitted documents with the requirements to the documents execution established by the Admission Rules/Forms of Documents.
2. In the cases specified in Clause 4 of this Article the Candidate/Trading Member having submitted the documents shall be entitled to:
   1. eliminate violations of the requirements for execution and submission of the documents. In this case the date of the documents submission shall be deemed the date of submission of the documents with eliminated violations, and these documents shall be reconsidered in accordance with the procedure established by the Admission Rules;
   2. revoke the documents submitted to the Exchange.
3. In case the Candidate/Trading Member submits to the Exchange the documents containing violations of the requirements for their execution or submission, or in case of submission of incomplete set of documents, such violations shall be eliminated, and the missed documents shall be submitted within five (5) business days after informing of the Candidate/Trading Member by the Exchange of incompliance of the documents submitted thereby with the requirements of the Exchange. Unless within the term specified the violations are not eliminated or the required documents are not submitted, the Exchange shall notify the Candidate/Trading Member in accordance with the procedure established by the Admission Rules of rejection to consider these documents.
4. The individuals representing the interests of the Candidate/Trading Member on the basis of the Power of Attorney/other legal basis shall submit to the Exchange their personally signed consent for the personal data processing executed in the form disclosed on the Exchange website, unless otherwise provided for by the requirements of the laws of the Russian Federation.
5. Within one (1) business day from the date of the Power of Attorney cancelation the Candidate/Trading Member shall inform the Exchange on cancelation of the Power of Attorney issued by the Candidate/Trading Member for representing of its interests on the Exchange.

In case of failure to submit to the Exchange of the specified notice, the Candidate/Trading Member shall be liable for the actions performed by the person representing the Candidate/Trading Member whereof the Powers of Attorney has been cancelled.

1. The documents submitted on paper to the Exchange may be sent by regular mail or by courier to the address of the Exchange or a branch thereof.

## Article 02.05. Procedure for Submission to the Exchange/Receipt from the Exchange of the Documents in the Form of an Electronic Document

1. The documents in the form of an electronic document shall be submitted by the Candidates/Trading Members to the Exchange in accordance with the EDI Rules.
2. The list of the documents submitted in the form of the electronic documents, the categories of these documents in accordance with EDI Rules, as well as formats of the files containing these documents shall be provided for by the Internal Documents of the Exchange that identify the forms and formats of documents provided/received by Candidates/Trading Members.
3. In order to submit and receive the documents in the form of electronic documents the Trading Member shall meet the conditions established by EDI Rules.
4. Upon fulfilment by the Candidate/Trading Member of the conditions established by EDI Rules the original documents to be submitted by the Exchange to the Candidate/Trading Member on paper shall be transferred to the Candidate/Trading Member in the form of electronic documents and shall discontinue to be transferred on paper beginning from the third (3) business day after fulfilment by this Candidate/Trading Member of the conditions established by EDI Rules.
5. Upon fulfilment by the Candidate/Trading Member of the conditions established by EDI Rules the original documents to be submitted by the Candidate/Trading Member to the Exchange on paper may be transferred by the Candidate/Trading Member to the Exchange in the form of electronic documents beginning from the business day following the day of fulfilment by this Candidate/Trading Member of the conditions established by EDI Rules.

## Article 02.06. Ways and Frequency of Candidates/Trading Members Identification

1. The Candidates/Trading Members shall undertake identification by way of:

* submitting documents in accordance with Appendix No 01 hereto when being admitted to trading;
* submitting documents on a regular basis in accordance with terms and conditions established herein.

1. The Candidate/Trading Member shall ensure relevance, accuracy and completeness of the set of documents submitted to the Exchange for the purpose of its identification. Whereby:

* In the event that the information as contained in the documents that have been earlier submitted by the Candidate for admission to trading in accordance with   
  Appendix No 01 hereto changes, the Candidate should notify the Exchange thereof in writing and to deliver the documents confirming such amendments not later than five (5) business days after their affective date.
* In the event that the information as contained in the documents that have been earlier submitted by the Candidate for admission to trading in accordance with Appendix No 01 hereto changes, the Candidate should deliver the documents confirming such amendments as follows:
* documents, as necessary to generate the Trading Member Code assigned by the Exchange in accordance with Article 05.01. in the General Section of the Admission Rules, shall be provided not later than ten (10) business days after their effective date;
* other documents shall be provided not later than five (5) business days after their affective date.

The above documents shall be provided in electronic form. Furthermore, the Trading Member should provide the power of attorney issued to the person authorised to sign documents with a digital signature under this Clause, except for when the electronic document has been signed with the CEO’s digital signature.

1. The Exchange shall be entitled to claim for the Candidate/Trading Member to submit additional information, including the information characterizing their financial state. The information shall be submitted within the time limit specified in the request, and if such time limit is not specified, within five (5) business days from the date of the Candidate/Trading Member receives the request from the Exchange.

In case the specified time limit is not sufficient for response to the request of the Exchange, the Candidate/Trading Member shall send to the Exchange the explanations of the reasons for the delay in submission of the information requested specifying the dates when the required information will be prepared and delivered to the Exchange.

1. For the purpose of obtaining of the information of the Candidate/Trading Member the Exchange shall be entitled to use the information of the legal entity from the official sources, including the electronic service of the Federal Tax Service.
2. For control purposes, Trading Members should submit to the Exchange information and statements in accordance with the Procedure for Submission of Information and Statements.
3. Trading Members should at least once a year provide a Legal Entity Questionnaire form electronically in accordance with Procedure for Submission of Information and Statements.
4. Forms, formats and deadlines for submission of documents for identification and for the purposes hereof shall be captured in the Procedure for Submission of Information and Statements.
5. The Exchange shall be entitled to verify the authenticity of the documents and information submitted by the Candidate/Trading Member.
6. The Trading Member’s failure to submit the information and reporting within the terms established shall be the ground for rejection of its admission to participation in trading/suspension of the admission to trading.
7. The provisions of this Article shall not apply to the Bank of Russia, Federal Treasury and the Central Counterparty.

## Article 02.07. Rights and Obligations of Trading Members

1. The Trading Member shall be entitled to:
2. participate in the organised trading of the Exchange on the respective Exchange Market provided that the conditions determined in the Admission Rules and Trading Rules of the Exchange are fulfilled;
3. receive reporting and other documents upon the results of trading in accordance with Trading Rules and Admission Rules;
4. have access to the information, including the information of the Exchange provided (disclosed) by the Exchange to Trading Members with regard to the requirements of the laws of the Russian Federation and in accordance with the procedure provided for by the Admission Rules, Trading Rules of the Exchange and the Procedure for using the Exchange’s Market Data;
5. provide the Client with the Market Data with regard to the provisions established by the Trading Rules and other Internal Documents of the Exchange and the Procedure for using the Exchange’s Market Data;
6. send to the Exchange the proposals for improvement of organisation of trading;
7. receive the status of a Market Maker on the basis of the relevant contract concluded with the Exchange/ to refuse of the status of the Market Maker in accordance with the terms and conditions of the contract concluded, if so provided by the Trading Rules;

Within the Relevant Category, a Trading Member shall be entitled to place orders and execute transactions in accordance with procedures established in the Trading Rules:

1. Trading Members shall:
2. perform its activity in the Exchange in good faith;
3. comply with the requirements established by the laws of the Russian Federation, including the Bank of Russia regulatory acts, Admission Rules, and the Trading Rules of the Exchange;
4. timely and in full pay for the commission fee and other payments established by the Exchange in the Internal Documents that set out the size, times and procedures fees of the Exchange as of Organiser of Trading and Technical Centre are due. Obligations of payment of the commission fees of the Exchange and Technical Centre for the Trading Member not being the Clearing Member shall be fulfilled by the Clearing Member determined in accordance with the Clearing Rules;
5. timely and in full submit the information in accordance with the requirements and forms established by the Admission Rules and other Internal Documents of the Exchange that set out requirements regarding the information submitted to the Exchange by Trading Members, including the information provided for by the laws of the Russian Federation and required for registration of the clients in the Trading System, as well as the information and reporting to be submitted in accordance with the Procedure for Submission of Information and Statements;
6. fulfil its obligations related to participation in the trading with observance of the conditions determined by the Internal Documents of the Exchange;
7. fulfil its obligations arisen from the contracts concluded with the Exchange;
8. observe the confidential treatment to the information having become known to Trading Member, when performing transactions, and not being the Market Data, with regard to the provisions contained in the Trading Rules;
9. use the Market Data in accordance with the procedure provided for by the Trading Rules;
10. execute the resolutions adopted by the Exchange;
11. follow the procedure for settlement of disputes and conflicts as established hereby;
12. not take the actions destabilizing the market, in case of such actions taking, provide the Exchange with the written explanations on these facts;
13. except for the cases established by the Clearing Rules, not assign the rights of claim and/or not transfer the debt on its obligations arisen due to operations execution on the Exchange to other Trading Member or any third parties (this requirement shall not apply to the Clearing House while performing functions of the Central Counterparty);
14. deliver to the Exchange the list of insiders as and when set forth in the Russian Federation laws and regulations.
15. The Trading Member shall notify the Exchange in writing of suspension/termination of the right to banking operations, conclusion of transactions for purchase and sale of foreign currency, precious metals; conclusion of the contracts being the derivative financial instruments, of re-registration of the license of the professional participant of the financial market for broker activity (among others, broker activity license only in conclusion of the contracts being derivatives the underlying asset of which is a commodity), and/or dealer activity, and/or securities management activity, and licenses for activities subject to licensing, as provided for in the Special Sections of the Admission Rules, suspension of its (their) effect or cancelation thereof, not later than on the operating day following the day of the specified circumstances occurrence.
16. For the Trading Member’s Personal Account purposes, a Trading Member should appoint a person authorised to provide access to and control over authorised use of the Trading Member’s Personal Account.

## Article 02.08. Warranties and representations

* 1. In pursuance with Article 431.2 of the Civil Code of the Russian Federation the Candidate/Trading Member shall represents and warrants that in order to be admitted to trading and to execute trades, the Candidate/Trading Member has received all consents and approvals from state authorities and other third parties as required by the laws, the Charter and other documents that regulate operations of the Candidate/Trading Member
  2. If there is a breach of warranties, or such warranties occurred to be invalid and/or inaccurate at the time of obtaining of in the period of admission to trading/executing trades by the Trading Member, the Exchange shall have the right to terminate admission to trading and/or demand for compensation by way of damages occurred due to such breach or invalid and/or inaccurate representation.
  3. If there is a breach of warranties, or such warranties occurred to be invalid and/or inaccurate at the time of obtaining of in the period of admission to trading/participation in the organised trading and executing trades by the Trading Member that results in claims from the third parties and/or state authorities, including but not limited to, directives from the Bank of Russia, the Candidate/Trading Member that has breached the warranties or made inaccurate representations shall reimburse all the losses and expenses incurred by the Exchange, including those related to reimbursement of third party loss and/or payment of penalty associated with claim settlement.

# Section 03. REQUIREMENTS TO TRADING MEMBERS

## Article 03.01. Requirements to Trading Members

1. Only the legal entities meeting the requirements of the laws of the Russian Federation and the Admission Rules may be the Trading Members.
2. The Trading Members on the Exchange Markets specified in the Admission Rules shall be divided into the categories depending on the requirements to them, scope of rights and obligations established by the Admission Rules and/or the Trading Rules. The rights and obligations of the Trading Members, the requirements thereto may differ depending on the Trading Member category.
3. The categories of Trading Member and additional requirements to Trading Members of a particular category are established in the Special Sections of Admission Rules for each Exchange Market.
4. The Trading Member shall comply with requirements specified here above and in the Special Sections of Admission Rules throughout the entire admission period. Should the Trading Member fail to comply, admission to trading for such Trading Member may be suspended/terminated in accordance with procedures set in the Admission Rules.

# Section 04. ADMISSION TO PARTICIPATION IN TRADING

## Article 04.01. General Requirements for Admission to Participation in Trading

1. In order to get admission to participation in trading the Trading Member shall meet the following conditions:
2. to submit to the Exchange the Application for Admission to Trading according to the form provided in the Forms of Documents;
3. to submit to the Exchange the documents in accordance with the list specified in Appendix No. 01 hereto;

In case any document specified in Appendix No. 01 hereto has been previously submitted to the Exchange, the Candidate, as preliminary agreed with the Exchange, may be released from the obligation to submit that document.

1. to get admission to the clearing service in the Clearing House as a Clearing Member and/or (for the FX Market and Precious Metals Market, Derivatives Market and Standardised OTC Derivatives Market) to have available Clearing Registers opened by a Clearing House for a Clearing Member admitted to trade on the given exchange market and being a party to a transaction executed by a Trading Member, other than the Clearing Member, which are required to be indicated in the orders placed by such Trading Member in accordance with the Clearing Rules (the given information shall be submitted by the Clearing House).

The Candidate shall also submit a Power of Attorney authorising the Trading Member to execute trades on behalf of such Clearing Member (if trades are executed on behalf of the Clearing Member).

1. to execute a contract for integrated technological services with the Technical Centre for technical access to trading organised by the Exchange.
2. to get access to the Electronic Data Interchange System of Moscow Exchange on the respective Exchange Market in accordance with the EDI Rules;
3. to get access to My Account page;
4. to meet all the requirements for admission to trading on the respective Exchange Market determined by the relevant provisions in the Special Sections of Admission Rules.
5. The Exchange shall be entitled to establish the special terms and conditions and the procedure for admission to trading in respect of the Bank of Russia, the Central Counterparty and other persons in the cases provided for by the laws of the Russian Federation.
6. Unless otherwise established hereby, the Central Counterparty and the Bank of Russia shall get admission to participation in trading upon completion of all procedures provided for by separate agreements concluded by the Exchange with the Central Counterparty and the Bank of Russia.

## Article 04.02. Procedure for Admission to Participation in Trading

1. The documents shall be executed and submitted by the Candidate to the Exchange in accordance with the procedure provided for by Article 02.04. hereof.
2. When considering the issue on admission to trading, the Exchange, at its own discretion, shall be entitled to hold meetings and consultations with the Candidate’s representatives.
3. Within ten (10) business days from the date of fulfilment by the Candidate of the terms and conditions for admission to trading provided for by Article 04.01 hereof the Exchange shall adopt a preliminary resolution on providing of the Candidate with admission to trading on the respective Exchange Market or the resolution on rejection to provide the Candidate with admission to trading on this market.

In case the set of the documents submitted by the Candidate to the Exchange is incomplete and/or the Exchange has requested for additional documents, the specified time period shall start from the date of receipt by the Exchange of complete set of the requested documents necessary for adoption of the preliminary resolution on providing of the Candidate with admission to trading.

1. In case the Candidate does not comply with the requirements established hereby or the Exchange has other grounds for rejection to admit it to trading, as well as in case of availability of information on the facts of the Candidate’s failure to fulfil obligations thereby on any of the Exchange Markets, facts of indebtedness, availability of information on the facts of unfair actions in the Exchange Market(s) or other circumstances, the Exchange may reject to provide the Candidate with admission to trading.
2. If it is necessary to obtain an expert opinion on the issue on admission of the Candidate to trading, the Exchange shall be entitled to address to the Committee of the respective Exchange Market. In this case the resolution on admission of the Candidate to trading shall be adopted with regard to the Committee’s recommendations.
3. In adoption of the preliminary resolution on admission of the Candidate to trading on the respective Exchange Market the Exchange shall issue an invoice to the Candidate to pay for the Admission Fee/Charge for Registration as a Clearing House in the cases and in accordance with the procedure provided for herein, in case such an Admission Fee/Charge for Registration as a Clearing House is established by the Exchange.
4. The Candidate shall pay the Admission Fee within one (1) month from the date of sending by the Exchange of the invoice specified.

In case the specified Candidate fails to pay the Admission Fee within one (1) month from the date of sending by the Exchange of the invoice specified, the Exchange shall be entitled to adopt a resolution on rejection to admit the Candidate to trading on the respective Exchange Market.

1. The Exchange shall adopt a final resolution on admission of the Candidate to trading on the respective Exchange Market, as well as determine the date of admission of the Candidate to trading within three (3) business days from the date of payment by the Candidate of the Admission Fee and signing of the contract using the form prescribed by Appendix No. 02 to the General Part of Admission Rules, submitted by this Candidate to the Exchange as a part of the documents pursuant to Appendix No. 01 to the General Section of Admission Rules (unless it is concluded by the Candidate and the Exchange before).

In case claims for payment of the Admission Fee are absent, on the day of preliminary resolution adoption the Exchange shall adopt a final resolution on admission of the Candidate to trading on the respective Exchange Market, as well as determine the date of admission of the Candidate to trading and sign the contract submitted by this Candidate to the Exchange as a part of the documents pursuant to Appendix No. 01 to the General Section of Admission Rules (unless it was concluded by the Candidate and the Exchange before).

In the absence of requirements to pay the Contribution for Admission, the Exchange on the date of preliminary decision shall make the final decision on admitting of Candidate to trading on the relevant Exchange market, as well as determines the date of Candidate admission to trades and signs a contract, submitted by the candidate as part of the documents in accordance with Appendix No 01 hereto (unless it was concluded by the Candidate and the Exchange before).

1. Provision of the contract for rendering of the services of organised trading conduct concluded by the Candidate before October 21, 2013 providing for termination of such a contract from the date of exclusion from the Trading Membership on all markets (sections) shall be considered as provisions on termination of such a contact from the date of termination of admission to trading on all the markets (sections), on which the Exchange renders the services of organised trading conduct.
2. In case of rejection to get admission to trading on the of the Exchange Markets the Candidate may repeatedly apply for provision of admission and the respective documents for admission to trading on this Exchange Market, but not earlier than in six (6) calendar months from the date of adoption by the Exchange of the resolution on rejection to admit it to trading. The repeated Application for provision of admission and the respective documents shall be filed and considered in accordance with the procedure similar to that established hereby for the Application for provision of admission filed for the first time.
3. Information on admission of the Candidate to trading (or rejection to admit), information related to the issues of its admission to trading shall be communicated to the Candidate by sending thereto of a written notice within not more than five (5) business days from the date of adoption of such a resolution.
4. Information on admission of the Candidate to trading shall be disclosed on the website of the Exchange in the Internet not later than in five (5) business days from the date of adoption of the respective resolution of the Exchange.
5. In case of reorganisation of the Candidate/Trading Member on the basis of its application or after the reorganisation of the Candidate/Trading Member on the basis of its legal successor’s application the Exchange may in full or partly count the Admission Fee as payment of the Admission Fee of this successor, in case they obtain the admission to trading on the respective Exchange Market.
6. In each certain case the Exchange shall be entitled to provide for the conditions, procedure and terms for the set-off of the Admission Fee. If an expert opinion on the set-off of the Admission Fee is needed, the Exchange has the right to address a relevant Committee of a certain Exchange market. In this case a decision on the set-off of the Admission Fee is taken by the Exchange considering the Committee’s recommendations.

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# Section 05. REGISTRATION OF TRADING MEMBERS

## Article 05.01. Registration of Trading Members

1. The procedure of registration of a Candidate as a Trading Member shall provide for assignment by the Exchange the following unique codes (designations) to such Trading Member:

* Trading Member code assigned in accordance with the requirements of the Russian Federation laws and requirements of the Exchange;
* Trading Member Identifier.
* Trading Member’s short name in the Trading System

1. The Exchange shall notify the Trading Member of the assigned Trading Member Code, Trading Member’s Identifier and Trading Member’s short name by sending of the notice in accordance with the procedure established by Article 02.03 hereof.
2. The Exchange shall update the Trading Member Code based on the data delivered by the Trading Member in accordance with Article 02.06 hereof not later than on the business day following the day the Trading Member has delivered the said data to the Exchange.
3. For execution of the transactions with participation of the Central Counterparty on the basis of the requests filed at the expense of the same Trading Member (cross transactions), the Trading Member, if it is provided for by the Trading Rules, shall file the application executed in accordance with the Forms of Documents.

## Article 05.02. Procedure for Assignment/Issuing of Trading/View-Only/SMA IDs and Bank of Russia Monitor ID

1. The Technical Centre shall assign/issue IDs provided for herein in accordance with an agreement for integrated technological service, if their use is required by the Trading Rules for the relevant exchange market. Total number of Trading IDs/View-only IDs to be assigned to a Trading Member may be limited by a decision of Exchange.
2. The Technical Centre shall assign trading IDs to Trading Members to receive technical access to the Trading System via RM REUTERS or RM Bloomberg, if the Trading Rules provide so the given market.
3. The Technical Centre shall issue SMA IDs to the Trading Member for delivering them to the clients, if the Trading Rules provide so for the given exchange market.
4. The Bank of Russia monitors the trading, on the Equity & Bond Market, FX and Precious Metals Markets based on Bank of Russia’s Monitor IDs.

To obtain/cancel the Bank of Russia’s Monitor ID, the Bank of Russia shall submit an application to the Technical Centre for obtaining/cancellation of Monitor ID executed in accordance with the established form.

1. Powers given for certain Trading IDs/View-only IDs/SMA IDs shall be limited/cancelled by the Technical Centre.
2. Trading/View-Only/SMA IDs, IDs for getting access to the Trading System via RM REUTERS or RM Bloomberg obtained by a Trading Member shall be cancelled by the Technical Centre at the initiation of a Trading Member.

All Trading/View-Only/SMA IDs, IDs for getting access to the Trading System via RM REUTERS or RM Bloomberg, obtained by a Trading Member for the given market, shall be cancelled in the event that Trading Member’s admission to trading on the given market is terminated.

1. Trading Members shall be fully responsible for the use of identifiers obtained.

# Section 06. RESTRICTION, SUSPENSION AND TERMINATION OF ADMISSION TO TRADING

## Article 06.01. Restriction of Trading Member’s Admission to Trading

1. The Admission Restriction Mode shall apply on the FX Market and Precious Metals Market, Derivatives Market and the Standardised OTC Market. This Article shall not apply to participants on the Equity & Bond and Deposit Markets.
2. The Admission Restriction Mode shall be understood as the temporary mode, under which the Trading Member shall be entitled to execute transactions in the Trading System, including file, change and revoke the orders only for the following purposes of:

* obligations termination (on the foreign currency market and precious metals market);
* close of the existent positions accounted in the sections of the Position Accounting Register of the Trading Member (on the Derivatives Market);
* increase of the Funding Ratio in accordance with the Clearing Rules (on the Standardised OTC Derivatives Market).

In case the Admission Restriction Mode is established in respect of the Trading Member, the latter shall not be entitled to execute the transactions in the Trading System, including file, change and revoke the orders, which may cause:

* increase of obligations (on the foreign currency market and precious metals market);
* opening of the positions accounted in the sections of the Position Accounting Register of the Trading Member (on the Derivatives Market);
* decrease of the Funding Ratio in accordance with the Clearing Rules (on the Standardised OTC Derivatives Market).

1. The Exchange shall be entitled to introduce the Admission Restriction Mode in respect of the Trading Member in the event that the Exchange receives information that evidences (in the opinion of the Exchange) the alleged breach of Admission Rules, Trading Rules, Clearing Rules, and the Russian Federation laws. Admission restriction becomes effective on the date of resolution of the Exchange on Admission Restriction Mode;
2. The Exchange introduces the Admission Restriction Mode in respect of the Trading Member in the event that the Bank of Russia takes a decision to cancel professional market participant license that gives the time limit to take necessary actions for termination of obligations towards clients arising in the course of relevant professional activities. Whereby, the Admission Restriction Mode shall be introduced not later that on the business day following the date the information of license cancellation has been received by the Exchange.

Specifics of the Admission Restriction Mode procedure for different Exchange Markets in the events referred to herein are described in the relevant provision in the Special Sections of Admission Rules.

1. The Admission Restriction Mode may be cancelled by resolution of the Exchange, upon elimination of the grounds for the Admission Restriction Mode establishment.

## Article 06.02. Suspension of Trading Member’s Admission to Trading

1. For the purpose of the Admission Rules suspension of admission to trading of the Trading Member shall be understood as suspension of acceptance by the Exchange of the Trading Member’s orders and the option for such Trading Member to revoke or change of the orders earlier filed by this Trading Member.
2. The Exchange shall suspend the Trading Member’s admission to trading in one of the following events:
3. obtaining by the Exchange of the information from the Clearing House evidencing (in the opinion of the Exchange) the necessity to suspend the Trading Member’s admission to trading; and (or)
4. obtaining by the Exchange of the information from the Technical Centre evidencing (in the opinion of the Exchange) the necessity to suspend the Trading Member’s admission to trading; and (or)
5. obtaining by the Exchange of the information from the Bank of Russia evidencing (in the opinion of the Exchange) the necessity to suspend the Trading Member’s admission to trading; and (or)
6. prohibition for the Trading Member to operate as the Professional Participant of the Securities Market upon the resolution of the Bank of Russia.
7. Apart from events described in Clause 2 of this Article, The Exchange shall suspend the Trading Member’s admission to trading on the relevant exchange market for any of the following reasons provided for in the Special Sections of Admission Rules:
8. The Exchange shall be entitled to suspend the Trading Member’s admission to trading in case of at least one of the following grounds:
9. the Trading Member’s failure to fulfil the requirements hereof, Trading Rules, and/or other Internal Documents of the Exchange, the Trading Member’s failure to perform the resolutions adopted by the Exchange in accordance with these documents;
10. using by the Trading Member of the Market Data in violation of the procedure established by the Trading Rules;
11. the Trading Member’s non-observance of obligations to submit to the Exchange the information and reporting in accordance with requirements hereof and (or) the laws of the Russian Federation;
12. receipt by the Exchange of the information of the measures taking in respect of the Trading Member for prevention from bankruptcy in accordance with the laws of the Russian Federation on insolvency (bankruptcy);
13. violation by the Trading Member of the requirements of the laws of the Russian Federation, inclusive of the Bank of Russia regulatory acts;
14. the Trading Member’s failure to fulfil the obligations of payment for the services of the Exchange;
15. receipt by the Exchange of the application for suspension of admission of the Trading Member executed in accordance with the Forms of Documents.The specified application shall contain the date beginning from which the Trading Member’s admission to trading shall be suspended, as well as the time period for suspension of admission to trading may be specified;
16. in the event of relevant recommendations from the Committee being in place because the Trading Members has breached the code of business conduct.
17. in the event that the Trading Member resolved on restructuring or undergoes restructuring (except for when such restructures entails termination of activities) (if the Exchange decides that trading suspension is required)
18. occurrence of other circumstances requiring suspension of the Trading Member’s admission to trading in accordance with the Internal Documents of the Exchange and the laws of the Russian Federation.
19. The Trading Member’s admission to trading shall be suspended:
20. no later than on the operating day following the day of obtaining by the Exchange of information being the 2-3—5 of this Article;
21. from the date of adoption by the Exchange of the resolution on suspension of trading in accordance with Sub-clauses a) – f) and h) – j) of Clause 4 of this Article;
22. no later than on the operating day following the day specified by the Trading Member of the Derivatives Market/Trading Member of the Standardised OTC Derivatives Market in the application for suspension of the admission to trading in accordance with Sub-clause g) of Clause 4 of this Article, but not earlier than on the date of receipt of the application by the Exchange.
23. The Exchange shall be entitled to reject suspension of admission to trading for the Trading Member for the reasons specified in Sub-clause g) of Clause 4 of this Article, provided that this Trading Member has outstanding obligations, having sent the respective notice of rejection to such a Trading Member in accordance with the procedure established hereby.
24. In case of suspension of the Trading Member’s admission to trading on the grounds of Clauses 2-4 of this Article, the Trading Member’s admission to trading may be renewed in accordance with Article 06.05 in the General Section of Admission Rules.
25. The Trading Member’s admission to trading shall be suspended (except for the ground set forth in Sub-clause g) of Clause 4 of this Article) for the term lasting till elimination of the grounds for the admission suspension, unless otherwise provided for by the laws of the Russian Federation, Internal Documents of the Exchange or the resolution of the Exchange.
26. The information on suspension of the Trading Member’s admission to trading shall be communicated to Trading Member by sending thereto of a written notice not later than on the operating day following the date of such a resolution adoption.
27. In case of suspension of the admission to trading, the Trading Member’s obligations of payment for the services of the Exchange shall not be terminated, the amount of payment for the services of the Exchange shall not change.

## Article 06.03. Termination of Trading Member’s Admission to Trading

* + - 1. For the purposes of these Rules termination of trading for the Trading Member shall mean the event that the Exchange stops to accept orders from the Trading Member and it becomes no longer possible for such Trading Member to withdraw or change earlier placed orders.
      2. The Exchange shall terminate the Trading Member’s admission to trading in the following events:

1. liquidation of the Trading Member or termination of its activity in case of reorganisation (except for reformation) in cases and in the manner provided for by the laws of the Russian Federation (laws of the state the resident of which is the non-resident bank) or termination of activity of the Trading Member being the international organisation in cases and in the manner provided for by the International Treaty of the Russian Federation in accordance with which the international organisation is established;
2. revocation/cancelation by the Bank of Russia of the license for banking transactions of the Trading Member being the credit organisation;
3. taking decision by the arbitration court on introduction of any of bankruptcy procedures in respect of the Trading Member in accordance with the procedure established by the laws of the Russian Federation;
4. obtaining by the Exchange of the information from the Clearing Centre evidencing (in the opinion of the Exchange) the necessity to terminate the Trading Member’s admission to trading;
5. obtaining by the Exchange of the information from the Technical Centre evidencing (in the opinion of the Exchange) the necessity to terminate the Trading Member’s admission to trading;
6. receipt by the Exchange of the application of the Trading Member for termination of admission to trading in accordance with the sample provided in the Forms of Documents.
   * + 1. Apart from events described in Clause 2 of this Article, the Exchange shall terminate the Trading Member’s admission to trading on the relevant exchange market for any of the following reasons provided for in the Special Sections of Admission Rules:
       2. The Exchange shall be entitled to terminate the Trading Member’s admission to trading in case of at least one of the following grounds:
7. the Trading Member’s failure to fulfil obligations of payment for the services of the Exchange provided for by the Admission Rules in time and in full;
8. appointment of temporary administration in respect of the Trading Member;
9. receipt by the Exchange of the enforcement document in respect of the Trading Member;
10. suspension of admission to trading for the period of over six (6) months;
11. submission by the Trading Member of the knowingly false information of repeated violation of requirements of Article 02.06 hereof;
12. in the event of relevant recommendations from the Committee being in place because the Trading Members has breached the code of business conduct.
13. violation, failure to observe or improper observation by the Trading Member of the requirements of the laws of the Russian Federation, the Admission Rules, documents of the Exchange regulating the use of the Market Data, and other Internal Documents of the Exchange, violation by the Trading Member of the obligations undertaken when obtaining the admission to trading and when concluding contracts with the Exchange, failure to perform the resolutions adopted by the Exchange in accordance with the specified documents;
14. usage by the Trading Member of the Market Data in violation of the procedure established by the Trading Rules;
15. occurrence of other circumstances requiring termination of the Trading Member’s admission to trading in accordance with the Internal Documents of the Exchange and the laws of the Russian Federation.
    * + 1. If it is necessary to obtain an expert opinion on the issue on termination of admission of the Trading Member to trading, the Exchange shall be entitled to address to the Committee of the respective Exchange Market (if any).

In this case the resolution on termination of admission to trading shall be adopted with regard to the Committee’s recommendations.

* + - 1. Admission of an international organisation to trading on the FX Market and Precious Metals Market, Derivatives Market and on the Deposit Market may be terminated also in other cases, in addition to those listed in Clauses 2-4 of this Article, with regard to requirements of the respective international treaty.
      2. The Trading Member’s admission to participation in Exchange trading shall be terminated:

1. not later than on the operating day following the day of obtaining by the Exchange of information being the ground for termination of the admission to trading in accordance with Sub-clauses a)—e) of Clause 2 and with Clause 3 of this Article;
2. from the date of validation of the respective federal law being the ground for termination of the admission to trading for a state corporation in accordance with the FX Market and Precious Metals Market Admission Rules, as well as the Derivatives Market Admission Rules and the Deposit Market Admission Rules;
3. from the day of termination for the Russian Federation of the international treaty in accordance with which the international organisation is established, or from the day of the resolution adoption by the authorised persons of the Parties to the specified international treaty on termination of the international organisation’s activity, or from the day of validation for the Russian Federation of the amendments made to the international treaty and/or the foundation documents of the international organisation, depending on what event is the first, being the grounds for termination of admission to trading for an international organisation in accordance with the FX Market and Precious Metals Market Rules, ;
4. not later than on the business day following the day of disclosure of information on the Bank of Russia’s resolution on cancellation of the Trading Member’s professional market participant license that serves as the ground for termination of admission of such Trading Member to trading in pursuance with the relevant provisions in the Special Sections of Admission Rules, unless the Bank of Russia’s resolution of license cancellation provides for a later date for actions in connection with cancellation of obligations towards clients having arisen in the course of relevant professional activities; or
5. from the end date of the actions in connection with cancellation of obligations towards clients having arisen in the course of relevant professional activities as stated in the Bank of Russia’s resolution of license cancellation of the Trading Member’s professional market participant license that serves as the ground for termination of admission of such Trading Member to trading in pursuance with the relevant provisions in the Special Sections of Admission Rules.
6. not later than on the business day following the day specified by the Trading Member in the application for termination of the admission to trading in accordance with Sub-clause f) of Clause 2 of this Article, but not earlier than on the date of receipt of the application by the Exchange;
7. from the date of adoption by the Exchange of the resolution on the grounds for termination of the admission to trading in accordance with Clause 4 of this Article.
   * + 1. The Exchange shall be entitled to reject termination of admission to trading for the Trading Member on the grounds specified in Sub-clause f) of Clause 2 of this Article, provided that this Trading Member has outstanding obligations, having sent the respective notice of rejection to such a Trading Member in accordance with the procedure established hereby.
       2. In case of termination of the Trading Member’s admission to trading on the grounds of this Article, the Trading Member’s admission to trading cannot be renewed.
       3. The information on termination of the Trading Member’s admission to trading shall be communicated to trading Member by sending thereto of a written notice not later than on the next operating day following the date of such a resolution adoption.
       4. The person previously being the Trading Member may obtain the admission to trading again, but not earlier than in one year after the date of termination of the admission on the respective Exchange Market, unless other time period provided for by the resolution of the Exchange.

## Article 06.04. Information being the Grounds for Restriction/Suspension/Termination of Admission to Trading

1. The Trading Member’s admission to trading may be restricted/suspended/terminated on the grounds of:
2. information evidencing of the circumstances being the grounds for restriction/suspension/termination of admission to trading of the Trading Member;
3. information submitted by the Trading Member in accordance with requirements of the Admission Rules and/or published in accordance with the procedure established by the laws on assignment of temporary administration of the Trading Member and/or on taking decision by arbitration court on introduction of any of bankruptcy procedures in respect of the Trading Member in accordance with the procedure established by the laws of the Russian Federation;
4. a written notice of the Trading Member or written notice of the Bank of Russia (including that sent by facsimile communication) sent to the Exchange address (including upon the request thereof) or the information published by the Bank of Russia in its website on the resolutions adopted by the Bank of Russia on revocation (cancelation) of the Trading Member’s license for banking operations, for banking operations with funds in roubles and in the foreign currency and/or for raising to deposits and placement of precious metals, or an electronic message containing the specified information sent by the Bank of Russia by e-mail to the Exchange address (for the resident credit organisations);
5. a written notice of the Trading Member or a written notice of the central (national) bank or other authorised body of the state of the non-resident bank incorporation sent to the Exchange (including that sent by facsimile communication); and/or the information published by the central (national) bank or other authorised body of the state of the non-resident bank incorporation in the website of the central (national) bank or other authorised body of the state of incorporation on the resolution on revocation (cancelation) of the Trading Member’s license for banking operations provided for by the state of incorporation, as well as for the banking transactions with foreign currency transactions and/or transactions with precious metals; and/or an electronic message sent by central (national) bank or other authorised body of the state of incorporation by e-mail to the Exchange address (for non-resident banks);
6. a written notice of the Trading Member or a written notice of the Bank of Russia (including that sent by facsimile communication) sent to the Exchange address (including upon the request thereof), or the information of the resolutions of the Bank of Russia published by the Bank of Russia on its website and related to suspension of license(s), cancelation of the license(s) of the Professional Participant of the Securities Market provided for by Section 03 in the General Section of Admission Rules, or other prohibition for carrying out by the Trading Member of the professional activity in the Securities Market, or an electronic message containing the specified information sent by the Bank of Russia by e-mail to the Exchange address;
7. notice of the Clearing House;
8. notice of the Technical Centre;
9. appeal of the Chairperson of the Arbitration Centre at the Russian Union of Industrialists and Entrepreneurs and/or appeal of the Trading Member, and/or receiving of information from other sources on the facts of violation by the Trading Member of the procedure for settlement of the disputes and conflicts established by the Admission Rules, Trading Rules, and other Internal Documents of the Exchange;
10. in the event of relevant recommendations from the Committee being in place because the Trading Members has breached the code of business conduct;
11. receipt by the Exchange of the notice of the Bank of Russia of suspension of an option to conclude transactions with the Bank of Russia by the Trading Member;
12. other documents (information) confirming occurrence of the circumstances requiring restriction/suspension/termination of the Trading Member’s admission to trading.

## Article 06.05. Procedure for Renewal of the Trading Member’s Admission to Trading previously Restricted/Suspended

* + - 1. For the purposes of these Rules, renewal of admission to trading for the Trading Member shall mean the event that the Exchange resumes acceptance of orders placed by such Trading Member.

The Trading Member’s admission to trading previously restricted/suspended shall be renewed provided that the circumstances having caused the restriction/suspension of the admission to trading (except for suspension of the admission on the grounds set forth in Sub-clause g) of Clause 4 of Article 06.02 hereof) are eliminated.

Particulars of renewal of admission to trading on Exchange Markets are described by the relevant provisions in the Special Sections of Admission Rules.

* + - 1. Admission to trading of the Trading Member in case of elimination of the circumstances provided for by this Section and having caused the restriction/suspension of the Trading Member’s admission to trading on the basis of the information obtained by the Exchange and provided in Article 06.04 in the General Section of Admission Rules shall be renewed on the basis of the relevant information received from the sources provided for by the specified Article.

Admission to trading of the Trading Member suspended on the grounds set forth in Sub-clause g) of Clause 4 of Article 06.02 hereof shall be renewed as follows:

* in case the time period for the admission suspension is specified in the application for suspension of the Trading Member’s admission to trading, the Exchange shall renew the admission to trading of the Trading Member upon expiry of the specified period.
* in other cases the Exchange shall renew admission to trading of such a Trading Member upon receipt of the Trading Member’s application for renewal of its admission to trading (in the form established in the Forms of Documents) beginning from the date specified in the application, but not earlier than the trading day following the day of receipt by the Exchange of the application specified.
  + - 1. The Trading Member’s admission to trading shall be renewed provided that the conditions provided for by sections 03 and 04 hereof are observed.
      2. The information on renewal of/rejection to renew the Trading Member’s admission to trading shall be communicated to Trading Member by sending thereto of a written notice not later than on the trading day following the date of such a resolution adoption.

## Section 07. ADMISSION FEE, SUBSCRIPTION FEE, COMMISSION FEE AND OTHER PAYMENTS PAID BY THE CANDIDATES/TRADING MEMBERS

## Article 07.01. Contribution for Admission

1. For the Candidates to be the Trading Members the Exchange shall have the right to establish the Admission Fee. The amount of the Admission Fee shall be established by the Exchange for each market separately.
2. Admission Fee shall be paid by the Candidate on the respective market on a nonrecurring basis and shall not be subject to return. The amount and manner of payment of the Contribution for Admission shall be established by the Exchange. Contribution for Admission may vary for various categories of Trading Members. The information of the amount and manner of payment of the Admission Fee, as well as change of the amount and the manner of payment thereof shall be posted to the website of the Exchange in the Internet within not more than three (3) business days prior to their effective date.
3. Contribution for Admission shall be deposited to the settlement account of the Exchange.
4. The Candidate shall pay the Admission Fee in full based on the invoice issued by the Exchange in accordance with the procedure provided for by the Admission Rules.
5. In case of termination of admission to trading of the Trading Member, the Admission Fee paid thereby shall not be returned.
6. The effect of this Article shall not apply to the Central Counterparty, Federal Treasury and the Bank of Russia.

## Article 07.02. Subscription Fee

* + - 1. The Trading Members of the Derivatives Market and Equity & Bond Market shall pay the Subscription Fee in the amount and in accordance with the procedure established by the Exchange. The information of the amount, manner and terms of payment of the Subscription Fee, as well as change of the amount, manner and terms of payment thereof shall be posted to the website of the Exchange in the Internet within not more than three (3) business days prior to their effective date.
      2. Specifics of subscription fee payment by Trading Members on the Derivatives and Equity & Bond Market markets are described in the Special Sections of the Admission Rules.
      3. The effect of this Article shall not apply to the Central Counterparty.

## Article 07.03. Commission Fee and other Payments

* + - 1. For the services of organised trading the Exchange shall charge the commission fee from the Trading Members, as determined in the Trading Rules.
      2. The amount of the commission fee shall be established by the Exchange. The information of the amount and manner of payment of the Commission Fee, as well as change of the amount and manner of payment thereof shall be posted to the website of the Exchange in the Internet within not more than three (3) business days prior to their effective date.
      3. Unless the Trading Member is a Clearing Member, the obligations of payment of the commission fee for the Trading Member shall be fulfilled by the Clearing Member determined in accordance with the Clearing Rules. The commission fee shall be paid as established by the Clearing Rules.
      4. The Exchange shall be entitled to establish other payments, as well as provide discounts for Trading Members according to the relevant category.

# Section 08. Registration of the Trading Members’ Clients

The Exchange shall register Trading Members’ Clients on the FX, Precious Metals, Derivatives, Equity & Bond and Standardised OTC Derivatives Markets. The Exchange shall register Trading Members’ Clients on the Deposit Market only if such Trading Members act as professional securities market participants holding licenses for securities management activities and/or as an asset management company holding a license for managing investment funds, mutual investment funds and non-governmental pension funds. These provisions shall not apply to other Trading Members on the Deposit Market.

## Article 08.01. Registration and Assignment of Codes to Trading Members’ Clients

* + - 1. The Exchange shall register the Trading Members’ Clients by assignment of codes on the basis of the data received from the Trading Members and/or the Clearing House.   
         When trades for precious metals purchase/sell are executed, the Exchange shall register 2nd level clients in accordance with Technological Features of Registration posted on the Exchange website in the Internet.
      2. For the purpose of codes assignment to the Clients the Trading Member shall submit to the Exchange/Clearing House the information of itself and the Clients provided for by the laws of the Russian Federation and by the Admission Rules, in the manner and format determined by the Technological Features of Registration posted on the Exchange website in the Internet.
      3. For the purpose of codes assignment to the Customers the Trading Member shall have an option to submit other information provided for hereby in addition to the information specified in Clause 2 of this Article hereof, in the manner and format determined by the Registration Technological Features.
      4. The Trading Member shall ensure the compliance of the data containing information required for the Clients registration and the manner of their submission with the requirements established by the Exchange.
      5. In case of change of the information of the Trading Member, Client thereof submitted before by the Trading Member to the Exchange/Clearing House for the purpose of codes assignment, the Trading Member shall submit to the Exchange/Clearing House the updated information in not more than 10 business days from the date of submission to such a Trading Member of the updated information by the Client thereof.
      6. The Trading Member shall in full be responsible for the relevance and authenticity of the information submitted by the Trading Member and containing the data necessary for the Clients registration, as well as for violation by the Trading Member of the procedure for submission of this information.

The Exchange shall have the right to take disciplinary actions towards a Trading Member if such Trading Member violates information submission procedures.

* + - 1. Software for generation and verification of the documents containing the information required for registration of the Clients shall be disclosed on the Exchange website in the Internet.

## Article 08.02. REGISTRATION OF TRADING MEMBERS’ CLIENTS

1. The procedure of registration of the Trading Member’s Clients shall provide for assignment by the Exchange the following unique codes to the Clients:

* Client code assigned in accordance with the laws of the Russian Federation and the Internal Documents of the Exchange;
* Short Client Code proposed by the Trading Member on its own.

1. In respect of the Clients being the foreign legal entities and entitled to carry out the broker activity in accordance with the personal law the Trading Member, as well as in respect of Clients of which the Trading Member filed the information in accordance with Clause 4 Article 08.03 in the General Section of Admission Rules, shall undertake to trace conformity of the state the Client is incorporated in to the criteria established in Sub-clauses 1 and 2 of Clause 2 of Article 51.1 of the Federal Law On Securities Market. In case the state such a Client is incorporated in terminates conforming to the criteria established in Sub-clauses 1 and 2 of Clause 2 of Article 51.1 of the Federal Law On Securities Market, the Trading Member shall cancel registration of such a Client.
2. The Trading Member Client shall be registered during three (3) business days from the date of submission by the Trading Member or the Clearing House (in case such information on the Client is submitted by the Trading Member to the Clearing House) to the Exchange of the Client’s information required for the Client registration.
3. The Exchange shall update the Trading Member Code based on the data delivered by the Trading Member in accordance with Clause 2 Article 08.01 hereof not later than on the business day following the day the Trading Member has delivered the said data to the Exchange
4. The Exchange shall inform the Trading Members on codes assignment to the Clients by sending of notices in the form of the electronic document in accordance with the EDI Rules.
5. Short Client Codes shall be used for filing by the Trading Members of requests for transactions execution in the Trading System.
6. The Exchange shall be entitled to reject the registration or independently cancel the registration of the Clients in case of failure to observe the requirements established above.

## Article 08.03. Submission by the Trading Member of Additional Information in Registration of Clients/Amendment of Clients’ Information

1. When trades in Bank of Russia bonds are supposed to be executed at expense of Clients being credit organisations, a Trading Member on the Equity & Bond Market being a credit organisation in registering this Client may indicate the banking license number issued to such Client in accordance with the format used in the Trading System. The format requirements shall be set by the Exchange in accordance with Article 08.01 hereof.

The Exchange shall check provided banking license number for its validity. The check shall be based on valid banking license data published on the Bank of Russia website. If the banking license number has passed the check for validity, the Client shall be registered with a mark of “credit organization”.

If the Trading Member has not indicated the banking license number of a Client when registering such Client or the license number has not passed the check for validity, such Client shall be registered with a mark of “non-credit organization”.

In the event that, after the Client being a credit institution has been registered by the Exchange, the Bank of Russia cancels or suspends the banking license with the number provided by the Trading Member in registering such Client, the Trading Member shall provide the Exchange with the relevant information in accordance with procedures and format set in Clause 2 Article 08.01 hereof. After receiving the information, the Exchange shall put a mark of “non-credit organisation” for the Client. The Exchange shall change this mark only after it receives from the Trading Member the information on resumption on renewal of the license.

1. When registering an Equity & Bond Market Clients/amending the information of the Clients, the Trading Members shall indicate that at expense of such Client shall be executed trades in securities intended to qualified investors.
2. When registering the Clients being the individuals/amending the information of the Clients being the individuals, the Trading Members shall indicate the information of the fact that the Client has concluded a separate contract for broker servicing or a contract for securities trust management with the Trading Member or broker/trust manager being the client of the Trading Member, suggesting opening and maintenance of the individual investment account.
3. When registering the Clients being credit organisations, the Trading Members shall be entitled to indicate that such Client is licensed for banking operations in RUB and FX.
4. When registering the Clients being insurance organisations, the Trading Members shall be entitled to indicate that such Client is licensed for insurance operations of a certain type.
5. When registering the Clients/amending the Clients’ information, if it is provided for by the Trading Rules, the Trading Members shall be entitled to indicate that trades with the CCP shall be allowed on the basis of the orders filed at the expense of the same such Client (cross trades).
6. When registering the Clients being foreign legal entities, the Trading Member shall be entitled by the personal laws to indicate, in the manner and the format specified in the Technological Features of Registration posted on the website of the Exchange, that such Clients have the right to manage securities.
7. When registering/amending the Clients’ information specified in Clauses 1–7 above, the Trading Members shall put a special mark in accordance with the format used in the Trading System, the requirements for which are determined by the Exchange in accordance with Clause 2 of Article 08.01 hereof.

## Article 08.04. Procedure for the use of handwritten signature analogue use when registering Trading Members' Clients

* + - 1. For the purposes of registering Trading Members' Clients, it is allowed to use handwritten signature analogue (HSA) when signing and submitting electronic documents to register Clients (the Instructions) to the Exchange.
      2. A handwritten signature analogue (HSA) of the Trading Member shall be the Unicode assigned to this Trading Member. For the purpose of this Article, a Unicode shall men a unified unique code, assigned to the Trading Member by the Exchange for the identification purposes when registeringTrading Members' Clients on the relevant exchange market. HAS shall be a requisite for Instructions.
      3. An Instruction shall be considered signed with HSA when the Trading Member summits to the software and hardware package (software and hardware facilities used for trading, settlement or other services provided to Trading and/or Clearing Members\_ such electronic document, subject to successful completion of the authentication procedure (procedure for confirmation of HSA ownership).
      4. The use of a handwritten signature analogue shall produce the same legal consequences as the use of handwritten signatures in accordance with the Russian Federation laws, and the Instructions signed with HAS shall be treated as equal to the documents sighed with handwritten signatures on paper.
      5. Procedure for the use of HSA:

5.1. The Exchange shall ensure safety and integrity of Instructions by utilising a complex of organisational and technical measures, which shall include but not be limited to the following:

5.1.1. usage by the Technical Centre of specialised software and hardware, providing unambiguous identification of the Trading Member's and Central Counterparty's workplace by IP-address, as well as protection of information against unauthorised access;

5.1.2. multiple authentication system to identify Trading Member, placing the Instruction of, in particular:

- verification of ESVKC (electronic signature verification key certificate) used by the Trading Member;

- setting logins/passwords, used by Trading Members, via passport.moex service during registration on the “My Account” page.

5.2. After receiving the Instruction, the exchange-side software will automatically identify the Trading Member, by matching available data of registered Unicode, ESVKC (electronic signature verification key certificate), and registration data passport.moex.

After successful verification, the Instruction is accepted for execution. If the verified data is not matching, the Trading Member is notified on rejection to process the electronic document.

5.3. The Trading Member shall submit Instructions with the use of its own software and secure protocol https via internet, and when getting access to the Web API service.

5.4. The Exchange shall be authorised to take measures to verify that the Instructions have been signed and placed by the Trading Member specifically, and if it reveals that the electronic document has been signed by third parties, to reject it.

5.5. When the Trading Member uses its equipment to deal with the Exchange software and hardware, the Exchange shall take all reasonable precautions to avoid malware infecting such equipment, and minimize the use of public network, and follow any other Rules of the Exchange.

5.6. The Exchange shall have the right to produce on paper an equivalent of the Instruction or any other document, submitted by a Trading Member seeking to register its client.

5.7. Technical support and settlement of conflicts:

5.7.1. In the event of a conflict situation, the Trading Member shall immediately but not later than within three (3) working days or shorter time after the occurrence of such conflict situation, notify the Moscow Exchange about the assumed conflict situation (hereinafter, the Notice).

5.7.2. The Notice shall include information on the substance of the conflict situation and circumstances which, according to the Trading Member, indicate the existence of a conflict situation and the contact name/details. The Notice shall be drawn up in writing and sent by courier or other means providing proof of delivery of correspondence to the addressee.

5.7.3. The Exchange shall, within three (3) working days after received the Notice, verify the existence of circumstances indicating the occurrence of a conflict and send the applicant the information on the results of the inspection and, if necessary, measures taken towards a resolution of the conflict.

## Article 08.05. Formation of Register of the Trading Members and Trading Members’ Clients

1. The Exchange shall maintain the electronic Register of the Trading Members and Trading Members’ Clients.
2. The Register of Trading Members and Trading Members’ Clients shall contain the information provided for by the laws of the Russian Federation.

## Article 08.06. Protection of Interests of Trading Members’ Clients

1. The Trading Members shall be prohibited to take the actions misleading the Clients, including submission of unauthentic reports and other false information. Besides, it does not matter whether the Client has actually been misled or not.

# Section 09. MARKET MAKERS

## Article 09.01. Requirements to a Market Maker

* + - 1. The Market Maker may be the Trading Member having concluded with the Exchange the contract determining the manner and conditions for support of prices, demand, supply or volume of trading (hereinafter — the “Market Maker Contract”).

## Article 09.02. Conditions and Procedure for Provision of Market Maker Status

* + - 1. The Trading Member may function as the Market Maker on the respective market in respect of one or several instruments/one or several securities.
      2. Total number of the Trading Members functioning as Market Makers on the respective market may be limited by resolution of the Exchange.

The Trading Members shall be notified on establishment or change of such limitation within three (3) business days from the date of adoption of such Exchange’s resolution (unless other time period specified by the Exchange) in the ways provided for hereby.

* + - 1. Duties and functions of a Market Maker, as well as control over the Trading Member’s carrying out thereof, shall be performed in accordance with the procedure provided for by the Market Maker Contract and Internal Documents of the Exchange that set requirements to Trading Members with Market Maker functions.
      2. Possibility of re-conclusion of the Market Maker Contract with the Trading Member with which the Market Maker Contract previously concluded has been terminated, shall be determined by the resolution of the Exchange.
      3. The Exchange shall be entitled to pay fee to Trading Member for functioning as the Market Maker. The amount of remuneration, as well as the procedure for calculation and payment of the remuneration shall be determined in accordance with the Market Maker Contract and Internal Documents of the Exchange that set requirements to Trading Members with Market Maker functions.

# Section 10. CONTROL OVER TRADING MEMBERS

## Article 10.01. Procedure for Control Implementation

1. The Exchange shall control compliance of the Trading Members with the requirements established by the Trading Rules and the Admission Rules, observance by the Trading Members and other persons of the rules specified.
2. The Trading Members shall be controlled over by the collection and analysis of the financial and other statements and information submitted by the Trading Members in accordance with the requirements of the laws of the Russian Federation, Admission Rules and the Procedure for Submission of Information and Statement, information of the essential facts and events provided for by the laws of the Russian Federation.
3. The content of the information and statements provided for by this Section, as well as the formats and terms for its submission shall be determined by the Procedure for Submission of Information and Statements approved by the Exchange.

# Section 11. DISCIPLINARY SANCTIONS

## Article 11.01. Disciplinary Sanctions Applied to Trading Members

1. The Exchange as the Organiser of Trading performing control functions in accordance with the requirements of the laws of the Russian Federation may apply the following sanctions to Trading Members having violated the laws of the Russian Federation, Trading Rules, Admission Rules, as well as other Internal Documents of the Exchange:
   * 1. note of warning;
     2. fine;
     3. suspension of admission to trading;
     4. termination of admission to trading.
2. Note of warning is the disciplinary sanction for violation not having caused losses to other Trading Members and the Exchange, applied to Trading Member in the cases provided for by the Internal Documents of the Exchange.

The warning note shall be imposed in writing by the resolution of the Exchange with establishment of the term for elimination of the revealed violations, as well as indication of the possible consequences for the violating Trading Member in case of failure to eliminate or untimely elimination thereby of the specified violations.

1. Fine is the disciplinary sanction applied to the Trading Member upon the resolution of the Exchange in the cases provided for by the Internal Documents of the Exchange.
2. Suspension of admission to trading is the disciplinary sanction applied to Trading Member in the cases provided for by the Internal Documents of the Exchange upon the resolution of the Exchange.
3. Termination of admission to trading is the disciplinary sanction applied to Trading Member in the cases provided for by theInternal Documents of the Exchange, upon the resolution of the Exchange.
4. In the event that Trading Member’s actions pose or may pose a threat to the normal course of trading and (or) clearing, the Exchange may apply one of the following sanctions:
   * + - 1. note of warning;
         2. fine in amount of two hundred and fifty thousand (250,000) roubles;
         3. suspension of admission to trading for a period of up to 6 months;
         4. termination of admission to trading.
5. The sanctions provided for by the Admission Rules shall be applied in accordance with the Internal Documents of the Exchange that include provisions regarding application of such sanctions. Resolution on applications of the sanctions may be adopted by the following bodies:

* Chairperson of the Exchange Executive Board or the person authorised thereby;
* other body, if it is provided for by the Internal Documents of the Exchange that regulate the powers of executive bodies of the Exchange.

1. Information of the revealed violation by the Trading Member of the laws of the Russian Federation and/or theInternal Documents of the Exchange shall be disclosed on the website of the Exchange in the Internet within maximum two (2) business days from the date of revelation of the violation (except for the violations timely eliminated).
2. Information on application of the relevant disciplinary sanctions in respect of the Trading Member for the violation thereof provided for by the internal Documents of the Exchangeshall be disclosed on the website of the Exchange in the Internet within maximum two (2) business days from the date of adoption of the respective resolution.
3. The Trading Member shall be notified on application thereto of the disciplinary sanction in writing not later than in one (1) business day from the date of adoption of the respective resolution by the Exchange.

## Article 11.02. Requirements to Trading Members and Candidates Focused on Conscientious Performance thereby of Professional Activity

1. The Trading Members and Candidates shall conscientiously perform their professional activity on the Exchange; besides, avoid the unreasoned written and/or oral appeals, applications, complaints and other actions causing negative consequences for other Trading Members and their Clients, Candidates, as well as for the Exchange (the “unconscionable conduct”).
2. The conflict situations shall be deemed the situations which may arise between the Trading Members, as well as between the Trading Member(s) and the Exchange, as well as between the Candidate(s) to be the Trading Member and the Exchange, arising in case of violation of the Internal Documents of the Exchange, or in relation thereto, as well as in relation to transactions execution in the organised trading of the Exchange (the “conflict situations”).
3. In case of conflict situations the Trading Members and Candidates shall take all possible measures for settlement thereof by negotiations, with observance of civility, mutual respect and trust, not allowing prejudice, unreasoned criticism, as well as unreasoned written and/or oral appeals, applications, complaints and/or public distribution of the information spoiling the business reputation of the partners.
4. Unconscionable conduct of the Trading Members and Candidates, as well as non-observance thereby of the procedure for the conflict situations consideration shall be deemed violation hereof and shall cause:

* application of the disciplinary sanctions to Trading Members, as provided for in this section hereof;
* rejection to provide the Candidate with admission to trading.

# Section 12. PROCEDURE FOR DISPUTE SETTLEMENT AND ACTIONS OF THE DISPUTING PARTIES DUE TO THE DISPUTE SETTLEMENT

## Article 12.01. Transfer of Disputes for Consideration to the Arbitration Centre at the Russian Union of Industrialists and Entrepreneurs

1. Any disputed and disagreements on the issues of Candidate’s admission to trading, participation in trading and any other issues related to application hereof that arise between Trading Members, and (or) between the Candidate/Trading Member and the Exchange, and (or) between the Trading Member and the Technical Centre, and (or) between the Trading Member and EDI Provider (the “Disputing Parties”), shall be referred to and settled by the Arbitration Centre at the Russian Union of Industrialists and Entrepreneurs (RSPP) ) (the “Arbitration Centre at RSPP”) in accordance with its Regulation effective as of the date of the lawsuit filing.
2. Disputes shall be referred for consideration to the Arbitration Centre at RSPP only upon observance of the pre-trial claim procedure for the disputes settlement.In case of the full or partial rejection of the claim satisfaction or failure to receive the response within seven (7) days from the date of the claim receipt, the applicant shall be entitled to file the lawsuit with the Arbitration Centre at RSPP.
3. Awards of the Arbitration Centre at RSPP shall be ultimate and binding for the Disputing Parties.
4. The award of the Arbitration Centre at RSPP not performed voluntary shall be subject to compulsory performance in accordance with the laws of the Russian Federation or the laws of the country of the compulsory performance location and International Treaties.

## Article 12.02. Duty of the Disputing Parties to Contribute to the Fast and Just Settlement of the Disputes

1. The Disputing Party shall take all possible measures for the arisen dispute to be settled within the shortest time period.For this purpose the Disputing Party shall perform actions necessary for forming of the court composition within the possibly shortest term, provide the court with timely explanations on the case, evidences and other documents and/or materials necessary for the dispute consideration.
2. The Disputing Party shall avoid actions focused at the unreasoned delaying of the dispute consideration procedure in the Arbitration Centre at RSPP.

## Article 12.03. Duty of the Disputing Parties to Contribute to Conclusion and Performance of Amicable Agreement

1. In case the dispute is referred to the Arbitration Centre at RSPP, the Disputing Party shall make best efforts towards settlement of the dispute through amicable agreement.
2. In case of completion of the case proceedings by conclusion of the amicable agreement, the disputing Party shall conscientiously and unfailingly perform the concluded amicable agreement.

## Article 12.04. Duty of the Disputing Parties to Contribute to the Fastest Execution of Awards and Rulings of the Arbitration Centre at RSPP

1. The Disputing Party shall voluntary execute the decision and/or ruling entered by the Arbitration Centre at RSPP within the possibly shortest term.
2. The disputing Party shall avoid actions focused at the unreasoned delaying of the procedure of execution of the decisions and/or ruling entered by the Arbitration Centre at RSPP.

# Section 13. INFORMATION DISCLOSURE AND SUBMISSION

## Article 13.01. Marker Maker Agreements Disclosure

* + - 1. The Exchange shall, within the extent, time limits and procedures established by the laws of the Russian Federation, inclusive of Bank of Russia regulations, disclose information of Trading Members’ market making obligations performance and agreements on securities price maintenance executed by Trading Members on the Equity & Bond Market on its website, and shall notify the Bank of Russia thereof.

## Article 13.02. Information Disclosure and Submission

1. Moscow Exchange may disclose the value of trades, inclusive of those made by a Trading Member on behalf of its clients, and the number of Trading Member’s clients, to the extent and in accordance with the laws of the Russian Federation, inclusive of Bank of Russia regulations, internal documents and resolutions of Moscow Exchange.
2. Moscow Exchange may, subject to requirements of the Russian Federation laws, inclusive of Bank of Russia regulations, disclose to Trading Members whether the Exchange has any information of separate brokerage service or securities trust management agreements, with provisions on opening and marinating individual investment accounts, executed between an individual client and a Trading Member, or not.

# Section 14. SUPPLEMENTARY PROVISIONS

## Article 14.01. Liability of the Exchange

1. The Exchange's failure to perform its obligations as of a trade organiser in accordance with the Trading Rules, inclusive of the Admission Rules, will not constitute a breach of these Rules, if caused by the following circumstances:

* technical failures (glitches) in the trading tools (including software failures, as well as any failures, malfunctions, errors of hardware and/or equipment, including that provided by third-party providers engaged by the Exchange);
* attempts to gain unauthorised access to trading systems;
* failures of telecommunication, power supply, air conditioning systems, technical means and/or equipment used to conduct trading (including those provided by third-party providers engaged by the Exchange);
* force-majeure circumstances;
* inability of the Clearing House and/or other organisations whose functioning affects the ability to conduct trading, to function in a normal manner;
* when a Trading Member's Client or a Trading Member uses technical means, equipment and/or software that is not up to the Technical Centre requirements to external soft- and hardware, or to the applicable documentation, and/or technically incompatible with the technical means, equipment and/or software of the Exchange, or which contain errors that affect proper functioning of technical means;
* third-party actions (including those of the Trading Members' and/or Exchange counterparties) or those of the Exchange personnel if such personnel are not to be held responsible in the course of their performance of duties.

**Appendix No. 01**

to Admission Rules

to Participation in Organised Trading

of the Moscow Exchange

Part I. General

**List of Documents**

**Submitted by the Candidate to be a Trading Member**

**of the Moscow Exchange**

**The Candidate to be the Trading Member of the Moscow Exchange shall submit to the Exchange:**

1. The contract for rendering the services of organised trading conduct executed in two original counterparts in accordance with the standard form and signed by the person the powers of which are proved in accordance with Article 02.04 hereof and certified by the Candidate’s seal (if any).
2. The Legal Entity Questionnaire being the Appendix to the Procedure for Submission of Information and Statements and posted to the website of the Exchange in the form of an electronic document and\or on paper.
3. Documents pursuant to the lists for:
4. the Candidate being a legal entity incorporated under the laws of the Russian Federation;
5. the Candidate being the State Corporation;
6. the Candidate being the International Organisation;
7. the Candidate being a bank established under the laws of the foreign country.
8. Consent of the persons specified in the Candidate’s documents sent thereby to the Exchange in accordance herewith for processing of the personal data according to the form available on the website of the Exchange (in case the documents contain the personal data of the personal data subject in accordance with the Federal Law On Personal Data, unless otherwise provided for by the requirements of the laws).
9. In case an individual for whom a copy of a personal identity document is required to be submitted is a foreign citizen (stateless citizen) staying in the Russian Federation, it shall be additionally submitted:

* copy of a document proving the right of the foreigner (stateless citizen) for staying (residing) in the Russian Federation (residence permit, temporary residence permit, visa, other document proving the right of the foreign citizen or the stateless citizen for staying (residing) in the Russian Federation in accordance with the laws of the Russian Federation) certified by the signature of the authorised official and the seal of the Candidate (if any), or the Candidate’s letter drafted in a free form providing the following data about the individual: a last name and a first name, a patronymic (if any), details of a document proving the right of the foreigner (stateless citizen) for staying (residing) in the Russian Federation: a series (if any) and number of the document, the date since which staying (residing) in the Russian Federation is permitted, the date when the right for staying in the Russian Federation expires, certified by the signature of the authorised official and the seal of the Candidate (if any), with the original document proving the right of the foreigner (stateless citizen) for staying (residing) in the Russian Federation or a copy thereof certified by the signature of the authorized official and the seal of the Candidate (if any) to be provided in parallel so as to verify the provided data;
* copy of the migration card certified by the signature of the authorised official and the seal of the Candidate (if any) or the Candidate’s letter drafted in a free form providing the following data about the individual: a last name and a first name, a patronymic (if any), details of the migration card: a number of the card, the date when staying in the Russian Federation begins, the date when staying in the Russian Federation ends, certified by the signature of the authorised official and the seal of the Candidate (if any), with the original migration card or a copy thereof certified by the signature of the authorized official and the seal of the Candidate (if any) to be provided in parallel so as to verify the provided data;
* the letter containing the information of the residence (registration) address or the location address (unless such information is contained in other documents submitted in accordance with this list).

1. Reporting in accordance with the Procedure for Submission of Information and Reporting in the form of an electronic document:

* Credit organisations should provide monthly reports as of twelve last reporting dates, quarterly reports as of four last reporting dates, list of affiliated persons according to Form 0409051 and the list of affiliated persons part of the same group of entities the credit organisation belongs to according to Form 0409052, valid as of the date of documents submission;
* Non-credit organisations performing activities subject to licensing by the Bank of Russia should provide annual reports as of the recent reporting date, quarterly reports as of four last reporting quarters, monthly reports for four last reporting dates (as of 31 March, 30 June, 30 September and 31 December); reports according to Forms 0420402, 0420152 and 0420251 with data of shareholders, data of affiliated persons, valid as of the date of documents submission;
* Non-credit organisations other than those performing activities subject to licensing by the Bank of Russia should provide the annual balance sheet and P&L statements as of the recent reporting date, quarterly reports as of four last reporting quarters and IFRS financial statements (inclusive of consolidated statements) in Russian or English if and when such statements are drafted or published;
* State Corporations and international organisations should provide monthly reports as of four last reporting dates, quarterly reports as of four last reporting dates, IFRS financial statements (inclusive of consolidated statements), in Russian or English, valid as of the date of documents submission;
* Bank incorporated under the laws of a foreign state should provide quarterly reports as of four last reporting dates, the annual balance sheet and P&L statements as of the recent reporting date and IFRS financial statements in Russian or English for the recent reporting year, or, should such be not available, financial statements issued in accordance with laws of the non-resident bank state of establishment certified by an auditor.

1. Other documents that may be requested by the Exchange in the necessary cases, also the Exchange shall be entitled to claim for clarification of the information contained in the previously submitted documents.

The documents submitted by the Candidate shall be valid as of the date of their submission to the Exchange.

Documents submitted in the form of an electronic document shall include a scanned copy of the document. The scanned copy shall be of the original document or any other document executed in accordance with the requirements hereof.

* + - * 1. **The Candidate being a legal entity incorporated under the laws of the Russian Federation shall additionally submit the documents pursuant to the following list:**

1. Copies of the foundation documents of the Candidate as amended and bearing the mark of registration with the federal executive body authorised to perform the state registration of the legal entities. The specified copies shall be certified by the federal executive body authorised to perform the state registration of the legal entities, or by a notary. The original foundation documents may be submitted to the Exchange for making their copies and their certifying by the Exchange’s employee.
2. The Letter signed by the Chief Executive stating that a non-credit organisation, other than a professional securities market participant and/or without a license to perform insurance activities, being a FX Market and Precious Metals Market Candidate complies with requirements set in the Admission Rules. Part II. FX Market and Precious Metals Market (the Letter should be prepared in accordance with the relevant form described in the Forms of Documents and may be submitted electronically or on paper).
3. The Letter signed by the Chief Executive stating that the Candidate complies with requirements set in the Admission Rules. Part VI. Deposit Market Section (the Letter should be prepared in accordance with the relevant form described in the Forms of Documents and may be submitted electronically or on paper).
4. In respect of the Chief Executive:

* original or notarised copy, or a copy certified by the signature of the Chief Executive and the seal of the Candidate (if any) of the resolution of the authorised body of the Candidate (also, the notarised extract from the resolution or the original extract certified by the signature of the person authorised to sign the resolution, or by the signature of the Chief Executive and the seal of Candidate (if any)) on election (appointment) of the Chief Executive;
* copy of the personal identity document of the Chief Executive certified by the signature of the authorised person and the seal of the Candidate (if any), or a letter of a legal entity drafted in a free form, provided the following data of the Chief Executive: last and first name, patronymic (if any), citizenship, details of ID document, date and place of birth, place of residence (registration) address or address of stay, certified with the authorised signature and with the seal of the Candidate (if any), with original Chief Executive’s ID document or a copy thereof certified with the authorised signature and with the seal of the Candidate (if any) to be provided in parallel, so to verify provided data.

1. Original Power of Attorney or the copy certified by a notary, or the copy certified by the person having issued the specified Power of Attorney for the Candidate’s representative authorised to act (operate) for the Candidate in relationship with the Exchange, including the powers to sign the necessary documents.

In case the Power of Attorney grants the powers for execution of the transactions with monetary funds or other assets, the copy of the personal identity document of the Candidate’s representative, certified by the signature of the authorised person and the seal of the Candidate (if any), or the Candidate’s letter drafted in a free form, providing the following data of the Candidate’s representative: last and first name, patronymic (if any), citizenship, details of ID document, date and place of birth, place of residence (registration) address or address of stay, certified with the authorised signature and with the seal of the Candidate (if any), with original Candidate representative’s ID document or a copy thereof certified with the authorised signature and with the seal of the Candidate (if any) to be provided in parallel, so to verify provided data, should be provided in addition.

**II. The Candidate being the State Corporation shall additionally submit the following documents pursuant to the list:**

1. In respect of the Chief Executive of the State Corporation:

* original or notarised copy of the resolution of the authorised body of the State Corporation on appointment of the Chief Executive (also, the notarised extract from the resolution or the original extract certified by the signature of the person authorised for signing of the resolution) provided for by the federal law, determining the status, activity objectives, functions and powers of the State Corporation;
* copy of the personal identity document of the Chief Executive certified by the signature of the authorised person and the seal of the State Corporation, or a letter of the State Corporation drafted in a free form, provided the following data of the Chief Executive: last and first name, patronymic (if any), citizenship, details of ID document, date and place of birth, place of residence (registration) address or address of stay, certified with the authorised signature and with the seal of the State Corporation (if any), with original Chief Executive’s ID document or a copy thereof certified with the authorised signature and with the seal of the State Corporation (if any) to be provided in parallel, so to verify provided data.

1. Original Power of Attorney or the copy certified by a notary, or the copy certified by the person having issued the specified Power of Attorney for the representative of the State Corporation authorised to act (operate) for the State Corporation in relationship with the Exchange, including the powers to sign the necessary documents. In case the Power of Attorney grants the powers to execute the transactions with the monetary funds or other assets, the copy of the identity document of the representative of the State Corporation certified by signature of the authorised official and seal of the State Corporation, or a letter of the State Corporation drafted in a free form, provided the following data of the representative of the State Corporation: last and first name, patronymic (if any), citizenship, details of ID document, date and place of birth, place of residence (registration) address or address of stay, certified with the authorised signature and with the seal of the State Corporation (if any), with original ID document of the representative of the State Corporation or a copy thereof certified with the authorised signature and with the seal of the State Corporation (if any) to be provided in parallel, so to verify provided data, shall be additionally submitted.

**III. The Candidate being the International Organisation shall submit the following documents pursuant to the list:**

1. Notarised certified copy of the International Treaty including foundation documents (including all amendments thereto), or the copy certified by the authorised person of the organisation keeping the international treaties in accordance with the laws of the Russian Federation.
2. Copy of the certificate of international organisation registration with the tax authority (if any), certified by an authorised person’s signature and the seal of the organisation (if any).
3. In respect of the person authorised to act on behalf of the international organisation in accordance with the international treaty and/or the foundation documents (the “Chief Executive”):

* copy of the Minutes certified by a notary or the extract from the Minutes of the Meeting of the Authorised Body of the International Organisation containing the resolution of the Authorised Body of the international organisation on election (appointment) of the Chief Executive;
* copy of the personal identity document of the Chief Executive certified by the signature of the authorised person and the seal of the international organisation (if any), or a letter of the international organisation drafted in a free form, provided the following data of the Chief Executive: last and first name, patronymic (if any), citizenship, details of ID document, date and place of birth, place of residence (registration) address or address of stay, certified with the authorised signature and with the seal of the international organisation (if any), with original Chief Executive’s ID document or a copy thereof certified with the authorised signature and with the seal of the international organisation (if any) to be provided in parallel, so to verify provided data;
* copy of Taxpayer Identification Number (INN) of the Chief Executive of International Organisation certified by the signature of the authorised person and the seal of the international organisation (if any), or a letter in free form specifying INN (if any).

1. Original Power of Attorney or the copy certified by a notary, or the copy certified by the person having issued the specified Power of Attorney for the representative of the international organisation authorised to act (operate) for the international organisation in relationship with the Exchange, including the powers to sign the necessary documents. In case the Power of Attorney grants the powers to execute the transactions with the monetary funds or other assets, the following shall be additionally submitted:

* copy of the identity document of the representative of the international organisation certified by the signature of the authorised official and the seal of the international organisation (if any), or a letter of the international organisation drafted in a free form, provided the following data of the representative of the international organisation: last and first name, patronymic (if any), citizenship, details of ID document, date and place of birth, place of residence (registration) address or address of stay, certified with the authorised signature and with the seal of the international organisation (if any), with original ID document of the representative of the international organisation or a copy thereof certified with the authorised signature and with the seal of the international organisation (if any) to be provided in parallel, so to verify provided data.
* copy of Certificate of Registration with the Tax Authority (INN) of the representative of international organisation certified by the signature of the authorised official and the seal of the international organisation (if any), or a letter in free form specifying INN (if any).

**IV. The Candidate being a Bank established under the laws of the foreign country shall submit the following documents pursuant to the list:**

1. Questionnaire of the financial organisation in accordance with Appendix No. 03 in the General Section of Admission Rules.
2. Effective versions of the foundation documents of the bank and any amendments thereto.
3. The document, confirming the state registration of the bank.
4. Document of registration with the tax authority of the bank (if any).
5. Special permit (license) of the central (national) bank or other authorised body of the state of incorporation the resident of which is the bank for banking transactions provided for by the laws of the state of incorporation the resident of which is the bank, as well as for foreign currency transactions (for admission of the bank to trading with foreign currency on the foreign currency market and precious metals market).
6. Special permit (license) of the central (national) bank or other authorised body of the state of incorporation the resident of which is the bank for banking transactions provided for by the laws of the state of incorporation the resident of which is the bank, as well as for foreign currency transactions and transactions with precious metals (for admission of the bank to trading with precious metals on the foreign currency market and precious metals market).
7. Document certifying registration of the bank with the Tax Authority in the Russian Federation (a notarised copy or certified by the entity) (if any).
8. In respect of the person authorised to act on behalf of the bank in accordance with the foundation documents (the “Chief Executive”):

* the document proving approval for the Bank’s Chief Executive appointment by the authorised body of the country of the bank incorporation (in case such approval is provided for by the laws of the country of the bank incorporation);
* the document of the authorised body of the bank confirming election (appointment) of the Chief Executive;
* copy of the Chief Executive’s identity document or other documents established by the federal law or recognized in accordance with the international treaty of the Russian Federation as the personal identity document;
* copy of the Taxpayer Identification Number (INN) of the Bank’s Chief Executive certified by the signature of the authorised person and the seal of the bank (if any), or the letter in free form specifying INN (if any).

1. Powers of Attorney for the representatives of the bank authorised to act (operate) on its behalf in relationship with the Exchange, in particular providing the powers to sign the necessary documents. In case the Power of Attorney grants the powers to execute the transactions with the monetary funds or other assets, the following shall be additionally submitted:

* copy of the document certified by the signature of the authorised official and the seal of the bank (if any) proving the identity of the representative of the bank or other documents established by the federal law or recognized in accordance with the international treaty of the Russian Federation as the personal identity document;
* copy of Certificate of Registration of the representative of the bank with the Tax Authority (INN) certified by the signature of the authorised official and the seal of the bank (if any), or a letter in free form specifying INN (if any);

The documents (except for copies of identification documents) executed in the territory of the foreign countries shall be legalized or bearing apostille, unless otherwise provided for by the international treaties of the Russian Federation.

The documents (except for copies of ID documents, if the individual possesses a document proving the right for staying in the territory of the Russian Federation (e.g. a visa, a migration card), and documents with signature samples, issued by competent authorities of foreign states, executed in several languages, including Russian), completely or partially executed in a foreign language, shall be translated into Russian. Translated documents and translator’s signature should be properly certified by a notary.

**Appendix No. 02**

to Admission Rules

for Participation in Organised Trading

of the Moscow Exchange

Part I. General

1. *Form of a Contract for rendering services of organized trading with entities having not executed respective contracts for rendering services of organized trading with MICEX SE before the date of MICEX SE merger with the Moscow Exchange*

**Contract for Rendering Services of Organised Trading Conduct No. \_\_\_\_\_\_\_\_\_\_\_\_**

**Moscow \_\_\_\_\_\_\_\_\_\_\_\_, 20 (date)**

|  |  |
| --- | --- |
| **Trading Member**  **(full trade name)** |  |
| **Organiser of Trading** | Public Joint-Stock Company “Moscow Exchange MICEX-RTS” |

1. The Organiser of Trading shall undertake to regularly (systematically) render services of organised trading conduct and other related services to Trading Member in accordance with the Rules of Organised Trading conduct (hereinafter — the "Trading Rules"), and the Trading Member shall undertake to meet the requirements of trading rules and pay for the specified services, unless otherwise set forth in the Russian Federation laws.

2. The composition of the services and the procedure for their rendering as well as other rights and obligations of this Contract related to the Organised Trading Conduct shall be established by the Trading Rules or other Internal Documents of the Organiser of Trading.

The Organiser of Trading shall be entitled to approve separate Trading Rules for each market (section) in which it shall render the services of organised trading conduct (equity, foreign currency markets and precious metals market, derivatives market (market of the derivative financial instruments), others).

3.The Organiser of Trading shall be entitled to unilaterally make amendments to trading Rules and other Internal Documents of the Organiser of Trading in accordance with the procedure established thereby.

4. This Contract shall take effect from the date of signing thereof by the Organiser of Trading and the Trading Member.

5.This Contract shall terminate its effects from the date of termination of admission of the Trading Member to trading on all markets (sections), the services of organised trading conduct on which are rendered by the Organiser of Trading.

|  |  |  |
| --- | --- | --- |
|  | **On behalf of the Trading Member** | **On behalf of the Organiser of Trading** |
| **Full Name** |  |  |
| **Position** |  |  |
| **Grounds for Powers** |  |  |
| **Signature,**  **seal** |  |  |

1. *Form of a Contract for rendering services of organized trading with entities having executed respective contracts for rendering services of organized trading with MICEX SE before the date of MIXEX SE merger with the Moscow Exchange*

**Contract for Rendering Services of Organised Trading Conduct No. \_\_\_\_\_\_\_\_\_\_\_\_**

**Moscow \_\_\_\_\_\_\_\_\_\_\_\_, 20 (date)**

|  |  |
| --- | --- |
| **Trading Member**  **(full trade name)** |  |
| **Organiser of Trading** | Public Joint-Stock Company “Moscow Exchange MICEX-RTS” |

1. The Organiser of Trading shall undertake to regularly (systematically) render services of organised trading conduct and other related services to Trading Member in accordance with the Rules of Organised Trading conduct (hereinafter — the "Trading Rules"), and the Trading Member shall undertake to meet the requirements of trading rules and pay for the specified services, unless otherwise set forth in the Russian Federation laws.
2. The composition of the services and the procedure for their rendering as well as other rights and obligations of this Contract related to the Organised Trading Conduct shall be established by the Trading Rules or other Internal Documents of the Organiser of Trading.

The Organiser of Trading shall be entitled to approve separate Trading Rules for each market (section) in which it shall render the services of organised trading conduct (equity, foreign currency markets and precious metals market, derivatives market (market of the derivative financial instruments), others).

1. The Organiser of Trading shall be entitled to unilaterally make amendments to trading Rules and other Internal Documents of the Organiser of Trading in accordance with the procedure established thereby.
2. This Contract shall take effect from the date of signing thereof by the Organiser of Trading and the Trading Member.
3. Any other contracts regulating services of organised trading between the Organiser of Trading and Trading Members effective on the date of this Contract shall terminate with effect from the date of this Contract.

All outstanding obligations existing between the Organiser of Trading and Trading Members under trades having been executed based on such contracts and other obligations in relation to organised trading having arisen before the effective date of this Contract shall remain in force till they are executed in full.

1. This Contract shall terminate its effects from the date of termination of admission of the Trading Member to trading on all markets (sections), the services of organised trading conduct on which are rendered by the Organiser of Trading.

|  |  |  |
| --- | --- | --- |
|  | **On behalf of the Trading Member** | **On behalf of the Organiser of Trading** |
| **Full Name** |  |  |
| **Position** |  |  |
| **Grounds for Powers** |  |  |
| **Signature,**  **seal** |  |  |

**Appendix No. 03**

to Admission Rules

for Participation in Organised Trading

of the Moscow Exchange

Part I. General

**Financial Institution Questionnaire /**

Опросная анкета финансовой организации

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **1. a) Does your company have an AML compliance program?**  Имеется ли в вашей компании программа обеспечения выполнения требований о противодействии легализации (отмыванию) доходов, полученных преступным путем? | | | | Yes/Да  No/Нет |
| **b)** **Does your company apply all of its AML policies and procedures to all branches and subsidiaries both within and outside of the jurisdiction of domicile of the parent company?**  Требует ли ваша компания соблюдения всех ее положений и порядка противодействия легализации доходов, полученных преступным путем, от всех отделений и дочерних компаний, расположенных как в пределах, так и за пределами юрисдикции, в которой зарегистрирована материнская компания? | | | | Yes/Да  No/Нет |
| **2.** **Does your company have a designated AML Compliance Officer responsible for coordinating and overseeing its AML program?**  Имеется ли в вашей компании должностное лицо, ответственное за координацию и надзор за реализацией программы обеспечения выполнения требований о противодействии легализации доходов, полученных преступным путем?  If “yes,” please provide that person’s name and contact information:  Если «да», укажите, пожалуйста, имя и контактную информацию такого должностного лица: | | | | Yes/Да  No/Нет |
| *Name:*  *Имя:* |  | *Title / Position:*  *Должность:* |  | |
| *Telephone Number:*  *Номер телефона:* |  | *Email Address:*  *Эл. почта:* |  | |
| **3. Does your company have a process for obtaining an independent assessment of its AML program on a regular basis?**  Существует ли в вашей компании порядок проведения на регулярной основе независимой оценки ее программы по обеспечению  выполнения требований о противодействии легализации доходов, полученных преступным путем? | | | | Yes/Да  No/Нет |
| **4. Does your company provide AML training to its relevant employees?**  Предоставляет ли ваша компания соответствующим работникам обучение в области противодействия легализации доходов, полученных преступным путем? | | | | Yes/Да  No/Нет |
| **5. Does your company have policies and procedures to obtain and verify, as applicable, information about the true identity of your customers?**  Существует ли в вашей компании положение и порядок получения и, где необходимо, проверки идентификационных данных ваших клиентов? | | | | Yes/Да  No/Нет |
| **6. Does your company determine the appropriate level of enhanced due diligence necessary for those categories of customers and transactions that you have reason to believe present a heightened risk of illicit activities at or through your company?**  Определяет ли ваша компания надлежащий уровень расширенной комплексной проверки (due diligence) для тех категорий клиентов и операций, в отношении которых у вас имеются основания полагать, что они представляют повышенный риск осуществления незаконной деятельности в вашей компании или посредством вашей компании? | | | | Yes/Да  No/Нет |
| **7. Does your company have policies regarding relationships with Politically Exposed Persons?**  Действуют ли в вашей компании правила касательно взаимоотношений с "политически значимыми лицами"? | | | | Yes/Да  No/Нет |
| **8. Does your company have a policy prohibiting accounts or relationships with banks that do not have a physical presence in any country (i.e. a “shell bank”)?**  Существует ли в вашей компании положение, запрещающее счета или отношения с банками, не имеющими физического присутствия в какой-либо стране (т.н. «банками-оболочками»)? | | | | Yes/Да  No/Нет |
| If you answered “No” to any of the questions, please provide an explanation:  Если вы ответили «Нет» на какой-либо из вопросов, пожалуйста, поясните: | | | | |
|  | | | | |

SIGNATURE / ПОДПИСЬ

|  |  |
| --- | --- |
| Signature / Подпись  X | Date / Дата |
| Print Name / Фамилия и имя печатными буквами | Title / Должность |