

# **RULES FOR PROVIDING TECHNICAL ACCESS TO MOSCOW EXCHANGE SOFTWARE AND HARDWARE COMPLEX FOR USERS**

## **1. Overview**

- 1.1 The procedure for giving Technical Access to Users is set out in accordance with the Terms of Integrated IT Service available on the Technical Center's website at <http://moex.com/a1819>, internal documents of the Technical Center and these Rules constituting an integral part of the Terms of Integrated IT Service.
- 1.2 Terms used in these Rules have the meanings ascribed to them in Russian laws and regulatory acts, the Moscow Exchange's Charter, trading rules and admission rules, admission regulation for MOEX's Money Market and other regulations of Moscow Exchange, clearing rules and other regulations of the Clearing Center as well as regulations of the Technical Center.
- 1.3 These Rules may be amended or supplemented. The Rules as amended from time to time are available at <http://moex.com/a1819>.
- 1.4 To bring the process of operation of the User's hardware and software used for Technical Access to the TC SHC under control, the User must appoint an employee (the "Service Administrator") who will be responsible for:
  - Technical maintenance and the hardware and software safety;
  - Ensuring restricted access to the hardware and software;
  - Timely instant communication with the Technical Center's technical support service.
- 1.5 The User must indicate relevant and reliable information about the Service Administrator in the Legal Entity Questionnaire submitted under the Information and Reporting Provision Rules available at <https://fs.moex.com/files/7500>.
- 1.6 The requirements and technical specification set out in these Rules are also applicable if the User assigns the right to use the software under the Integrated IT Service Terms to its Clients. In this case, the User shall be responsible for ensuring that the Clients meet the requirements set out in these Rules while connecting the software to the Technical Center's SHC under the Integrated IT Service Terms.

## **2. Technical specifications for Technical Access via Remote Workstation**

- 2.1 To get Technical Access to the TC SHC Subsystems by using Remote Workstations provided under the Agreement, the User should contact the Technical Center and then take actions to acquire and install a Remote Workstation by following instructions received from the Technical Center. It is the User's responsibility to install, put into operation and maintain a Remote Workstation, or hire at its own expense specialized companies (a specialized firm (including

the Technical Center) to do those things with the assistance of, and under control of the Technical Center.

- 2.2 The connectivity scheme used on Remote Workstations must comply with one of MOEX's prescribed schemes for access to the TC SHC which are available at <https://www.moex.com/s653>.
- 2.3 If operating a Remote Workstation requires the use of certified cryptographic tools as part of the Moscow Exchange Electronic Data Interchange (EDI) System, the User must follow the EDI Rules and other regulations of the Technical Center on electronic data interchange when transmitting data via a public communication channel.
- 2.4 If cryptographic tools of the Moscow Exchange EDI System are used on a Remote Workstation, cryptographic keys used on that workstation must have scope defined in the Terms of Integrated IT Service.
- 2.5 Form and format of electronic documents sent via a Remote Workstation to deliver User's orders and/or order cancellation instructions that are going to be submitted to the TC SHC are determined by software used by the User.

### **3. Technical specifications for Technical Access via Reuters/Bloomberg Workstations**

- 3.1 Reuters/Bloomberg Workstations are connected to the Exchange directly by using systems developed by Reuters/Bloomberg. The systems are enabled and operated in accordance with the rules of use of Reuters/Bloomberg software.
- 3.2 Technical support needed to keep Reuters/Bloomberg Workstations connected is provided directly by Reuters/Bloomberg's technical support services pursuant to terms and conditions of the agreement between the User and Reuters/Bloomberg.

### **4. Technical specifications for Technical Access via User Software**

- 4.1 A connectivity scheme applied to User Software must be in line with one of network connectivity schemes prescribed by MOEX for connection to the TC SHC (please refer to <https://www.moex.com/s653>) and one of the API connectivity options (please refer to section 'DMA interfaces' at <https://www.moex.com/s346>).
- 4.2 The User undertakes to meet MOEX Technical Center Requirements for User Software and connection thereof to the TC SHC available at <https://fs.moex.com/files/10663>.
- 4.3 Any User Software available for connection to the TC SHC and Subsystems is subject to certification pursuant to the Moscow Exchange Procedure for User Software Certification available at <https://www.moex.com/s745>.

- 4.4 The User should choose Software and enter into an agreement with the Software provider, or develop a system that meets MOEX Technical Center requirements for User Software on its own or in conjunction with a third-party developer, and then get it certified according to the Rules.
- 4.5 The User Software is subject to testing within the Technical Center's testing environment. It is tested by the User itself or an authorized developer, by using the User's test ID(-s).
- 4.6 The User undertakes to connect only certified User Software to the TC SHC and notify the Technical Center of the software so connected.
- 4.7 The User Software must be operated strictly in compliance with provisions of these Rules for the rules of connection of User Software to the TC SHC as well as instruction and guides developed by the software provider and agreed with the Technical Center in terms of data protection.
- 4.8 The User is fully responsible for any actions made in the TC SHC by using the User Software as well as in relation to running the User Software.
- 4.9 If running the User Software requires the use of certified cryptographic tools as part of the Moscow Exchange Electronic Data Interchange (EDI) System, the User must follow the EDI Rules and other regulations of the Technical Center on electronic data interchange when transmitting data via a public communication channel.
- 4.10 If cryptographic tools of the Moscow Exchange EDI System are used in conjunction with the User Software, cryptographic keys used for that software must have scope defined in the Terms of Integrated IT Service.
- 4.11 The User is responsible for disclosing, reproducing and/or disseminating any information related to operation of the TC SHC and covered by professional secrecy, as well as for disclosing, reproducing and/or disseminating any other information related to operation of the TC SHC, in cases where the User has not been authorised to disclose, reproduce and/or disseminate that information by the Technical Center.
- 4.12 The User is fully responsible for actions of its Clients made by using the User Software, also for disclosing, reproducing and/or disseminating by Clients any information related to operation of the TC SHC and covered by professional secrecy, as well as for disclosing, reproducing and/or disseminating by Clients any other information related to operation of the TC SHC that was made available to them as a result of their use of the User Software, except where the Client has been authorised to disclose, reproduce and/or disseminate that information by the Technical Center.
- 4.13 The Technical Center is not liable for any failure of the User Software to operate and/or for actions made by the User or its Clients by using the User Software including mistakes and

violations made by the User in its capacity as Trading Member/Participant at order entry.

- 4.14 If the User provides access to information on operation of the TC SHC to its Clients in their use of the User Software, it shall enter into agreements (supplementary agreements) with the Clients stipulating the Client's obligation not to disclose, reproduce and/or disseminate any information related to operation of the TC SHC and covered by professional secrecy, as well as disclose, reproduce and/or disseminate any other information related to operation of the TC SHC that was made available to the Client as a result of its use of the User Software, except where the Client has been authorised to disclose, reproduce and/or disseminate that information by the Technical Center.
- 4.15 The Integrated IT Service Administrator is responsible for operation of the User Software on the part of the User.

## **5. Technical specifications for arranging a dedicated area for the Technical Center's premises in the user premises**

### 5.1 Overview

- 5.1.1 The provisions of this Section are intended to apply to users with remote access to MOEX's services who use leased lines and ConnectMe to connect to the MOEX SHC as they defined on the Technical Center's website at <https://www.moex.com/s653>.
- 5.1.2 If technically possible, the dedicated area of the Technical Center's network can be arranged based on the User's network equipment (the "local segment of the Technical Center's network"). In the local segment, a Remote Workstation, User Software and/or other software or hardware installed at the User's site and endorsed by the Technical Center may be installed.
- 5.1.3 The dedicated local segment of the Technical Center's network is implemented at the User's site by using its connection switches.
- 5.1.4 To have a local segment of the Technical Center's network at its site, the User should enter into an agreement with the Technical Center and submits a service request covering the structure chart of the local segment and type of its network equipment. The Technical Center may require, if necessary, that the User provide more documents, signed by its authorised representative, that give further specifications and/or details on the segment implementation. The Technical Center handles the User's service request and sends a written reply to the User. It may reject the local segment request from the User if the local segment scheme proposed by the User pose a possible threat to the Technical Center's network or other Users.
- 5.1.5 If the Technical Center accepts the User's request, the User installs, makes settings on, and configures the needed equipment by itself.
- 5.1.6 After the preparations are finished, the authority to manage the router providing Technical Access to the TC SHC is passed to representatives of the Technical Center in the form of a temporary administrative password.

## 5.2 Usage environment and terms of network equipment support:

5.2.1 The User is fully responsible for technical support and maintained of all network devices used to run the local segment of the TC's network.

5.2.2 The User must take all necessary measures to ensure data processing security; it is fully responsible for ensuring the necessary security of that local segment.

5.2.3 In the local segment, the User must employ software and hardware components that are intended only to provide Technical Access to the TC SHC Subsystems specified in Sections II-IV of these Rules for the User.

5.2.4 The User must not:

- Include the local segment of the Technical Center's network located on its site in any other data network without consent of the Technical Center;
- Change the topology of the local segment of the Technical Center's network.

5.2.5 It is strictly prohibited to exchange data traffic between equipment connected to the dedicated local segment of the Technical Center's network and any other equipment, unless such data traffic is streamed over a router providing Technical Access to the TC SHC.

5.2.6 It is strictly prohibited to use tools for redirecting, intercepting and monitoring traffic within the dedicated segment of the Technical Center's network on the User's site.

5.2.7 The User must not change the configuration on the router providing the Technical Access to the TC SHC based on the local segment of the Technical Center's network without a written consent of the Technical Center.

5.2.7.1 The User is provided with a permanent router password with authority to view the current configuration.

5.2.7.2 To make changes to the router configuration, the User must send a request to the Technical center and get a temporary administrator password. Upon completion of works, the User must inform the Technical Center of the changes made, and then the Technical Center resets the administrator password.

5.2.8 The Technical Center administers the router embedded within the User's local segment of the Technical Center's network by virtue of, and pursuant to the terms and conditions of an agreement between the User and Moscow Exchange.

5.2.9 It is the User's Integrated IT Service Administrator who is responsible for operation of the Technical Center's network segment on the User's site.

## 6. Remote Workstation/Customer Software health check

6.1 Remote Workstation and/or Customer Software health checks are performed only for the Equity & Bond, FX, Precious Metals and Derivatives Markets.

6.2 At the User's request, the Technical Center performs (during the trading hours of the Derivatives, FX, Precious Metals and Equity & Bond Markets) health checks of a remote Workstation, Customer Software and/or a Client of the User and provides automatic deletion of active orders (including orders submitted based on the instructions of the Client connected to the Instruction Processing Subsystem allowing the use of the Sponsored Access IDs) if the

Remote Workstation, Customer Software and/or the Client (save for Reuters/Bloomberg workstations) is found to be not operative, or if a certain trading ID/Sponsored Access ID is suspended in terms of order submission, amendment and cancellation.

- 6.3 The User requests to enable/disable Remote Workstation and/or Customer Software health checks on the relevant market when completing an application form for identifiers which is available on the Technical Center's website at <http://moex.com/a1819>.
- 6.4 Upon receiving the User's request to enable Remote Workstation and/or Customer Software health checks, the Technical Center enables the health check and active order automatic cancellation features for the User within five (5) business days provided that the User's Remote Workstation/Customer Software meets the Technical Center's requirements published at <http://moex.com/a1819>.
- 6.5 After the features are activated by the Technical Center, it may cancel automatically active orders in the TC SHC during the trading hours of the relevant market, if a health check with the use of a certain trading ID is not possible on that market for the remote Workstation and/or Customer Software. Health checks for Remote Workstations and/or Customer Software are performed according to the procedure of the Technical Center.
- 6.6 If a health check initiated based on the User's standing request is not possible for the client-side software, an authorised representative of the Technical Center notifies the User of its inability to cancel the User's orders, in one of the ways set out in Paragraph 13.6 of the Terms.
- 6.7 If active orders supposed to be cancelled by the Technical Center have been already filled, they are not available for cancellation by the Technical Center.
- 6.8 The User may request that the functionality for health checks and automatic cancellation of active orders be deactivated in respect of the certain market by making the necessary marks in the application on identifiers which is performed by the Technical Center within five (5) business days.
- 6.9 The Technical Center accepts no responsibility for losses the User may incur as a result of Remote Workstation and/or Customer Software health checks and cancellation of its active orders.

## **7. Technical specifications for Technical Access to the Instruction Processing Subsystem**

- 7.1 Remote Workstation and Customer Software employed by the User to perform technical access to the Instruction Processing Subsystem of a certain market, must meet the requirements set out in these Rules and other regulations of the Technical Center.
- 7.2 If the User provides Technical Access to the Instruction Processing Subsystem to its Clients under the Integrated IT Service Terms, it must ensure that requirements set out in the

Integrated IT Service Terms, these Rules and other Technical Center's regulations are met, as well as it is fully responsible for a failure to comply with those requirements for hardware and software used by the User's Client to perform Technical Access to the subsystem.

7.3 At the request of the Technical Center, the User must submit documents needed to certify the compliance of the hardware and software with the requirements set out in the Integrated IT Service Terms, these Rules and other regulations of the Technical Center.

## **8. Recommendations on, and minimum requirements for parameters of hardware used in facilitating Technical Access to the TC SHC**

8.1 Recommendations on and minimum requirements for the User's software and hardware, as well as requirements for channel bandwidths are set out in the Moscow Exchange Requirements for Customer Software Connection to the TC SHC which are available at <https://www.moex.com/s745>, as well as in the Recommendations on, and Minimum Requirements for Parameters of Hardware used for Technical Access to Moscow Exchange Trading and/or Clearing Systems which are available at <http://fs.moex.com/files/10663>.

8.2 All Users that are trading members:

- Are recommended to have a backup connection to the Primary Data Center of the Technical Center. To facilitate backup connectivity, the Internet or a leased line provided by a telecom carrier other than the User's principal telecom carrier (the list of authorised providers of Moscow Exchange is available at [https://www.moex.com/a1224?utm\\_source=www.moex.com&utm\\_term=784-66](https://www.moex.com/a1224?utm_source=www.moex.com&utm_term=784-66)) may be used;

- Are required to have a backup connection to the Disaster Recovery Data Center of the Technical Center.

Users that are trading members connecting via the colocation facility and/or ConnectME have a backup connection to the Disaster Recovery Data Center over the Internet or ConnectME.

Users that are trading member connecting via the universal scheme with backup over various providers, do not need to have a backup connection to the Disaster Recovery Center.

8.3 All Users are recommended to organize their own telecommunication infrastructure via leased lines provided by two different providers that are accredited partners of Moscow Exchange, for connection to the TC SHC.

8.4 The User must notify the Technical Center of the connection method it employs to connect to the Disaster Recovery Data Center at least once a year.

## **9. Warranty maintenance**

9.1 To get warranty service specified in Section 3 of the Integrated IT Service Terms, the User

should contact the Technical Center's support service by phone or emails published at <https://www.moex.com/s373>.

9.2 Inquiries from Users are accepted and processed during the trading hours on the TC's business days. The trading schedule is available at <https://www.moex.com/s371>.

## **10. Issue and cancellation of Technical Access IDs**

10.1. The User is given a Technical Access ID through an application form for receiving/changing a technical access ID that is described in Paragraph 2.2 of the Integrated IT Service Terms.

10.2. A technical access ID is given to the User within five (5) business days after receiving the application by the Technical Center provided that the Technical Center has no concerns about the application and all technical facilities are available.

10.3. The User receives a rejection notification, if applicable, according to the established procedure within five (5) business days after receiving the application by the Technical Center.

10.4. The Technical Center terminates a technical access ID on the User's initiative within five (5) business days after receiving the relevant application described in Paragraph 2.2 of the Integrated IT Service Terms from the User.

10.5. If the User loses its access to trade on one or more Moscow Exchange's market, all trading rights associated with the User's Technical Access ID as well as all its Technical Access IDs intended exclusively for trading on specific markets, are terminated.

10.6. If the User loses its access to the clearing service on one or more Moscow Exchange's market, all clearing rights associated with the User's Technical Access ID as well as all its Technical Access IDs intended exclusively for the clearing service on specific markets, are terminated.

10.7. If the User loses its access to the trading and clearing services on one or more Moscow Exchange's market, all its Technical Access IDs registered on the relevant markets are terminated.

10.8. If the User wishes to change functionality scope of its Technical Access ID (trading, view-only, clearing, or sponsored access) or the type of the ID (API or terminal), it must terminate its current ID and get a new one paying the registration fee according to the Tariffs.

10.9. If the User needs to limit/change the scope of rights associated with its Technical Access ID, it should apply according to Paragraph 2.2 of the Integrated IT service Terms to the Exchange.

10.10. Suspension of a Technical Access ID at the User's request is not allowed.



- 10.11. The User is fully responsible for the use of Technical Access IDs received.
- 10.12. Upon receiving an entry password for registration of the Technical Access ID in the TC SHC, the User must change the password or apply to the Technical Center for changing the password.
- 10.13. If the User loses its password, it may contact the Technical Center to recover the entry password or get a new one.
- 10.14. The Technical Center may unilaterally suspend a Technical Access ID if it has detected the User's attempts to gain unauthorized access to the TC SHC or other circumstances have occurred that prevent the normal operation of the TC SHC.