

APPROVED

NAMEX Order No. HTБ/П-40

31 March 2022

CEO of NAMEX

_____ N.A. Zakharov

DOCUMENT FORMS
TO BE SUBMITTED BY CANDIDATES/TRADING MEMBERS
AT NAMEX COMMODITY AUCTIONS

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1. General Provisions

- 1.1. The Document Forms to be submitted by Candidates/Trading Members at NAMEX Commodity Auctions have been developed in line with the Rules for Organised Trading at NAMEX Commodity Auctions (hereinafter, the Trading Rules), the Rules for Admission to Participation in Organised Trading at Commodity Auctions of NAMEX (hereinafter, the Admission Rules), subject to applicable laws and regulations in respect of financial markets.
- 1.2. These Document Forms set out the forms of documents to be submitted by the Candidates/Trading Members on paper or as electronic documents pursuant to the Admission Rules and the Electronic Document Interchange Rules (the EDI Rules).
- 1.3. NAMEX announces approval and coming into effect of the Document Forms, read with amendments and additions, along with the text of the document on NAMEX's website no later than three (3) days prior to the effective date, unless otherwise is decided by NAMEX.
- 1.4. Terms used in the Document Forms have the meanings given to them in the Admission Rules, Trading Rules, EDI Rules and other NAMEX's internal documents.

2. Document forms to be submitted by Candidates/Trading Members on paper or as electronic documents signed using EDI

2.1. Application for participation in trading

to NAMEX CEO

**APPLICATION FOR ACCESS TO PARTICIPATION IN ORGANISED TRADING AT NAMEX
COMMODITY AUCTIONS**

city of Moscow

_____ 20__

_____, the Applicant,
(Legal Entity's full name)

hereby applies for access to organised trading at NAMEX commodity auctions and for category:

- *Auction Participant*
- *Auction Client*

You are kindly requested to issue Trading and View-only Identifiers for the persons named below:

No.	Identifier Type:	Full name of the person authorised to use the identifier for the Applicant:
1.	<i>Trading Identifier</i>	
2.	<i>View-only Identifier No.1</i>	
3.	<i>View-only Identifier No.2</i>	

The Applicant

- *has read and accepted the Rules of Organised Trading at Commodity Auctions of National Mercantile Exchange;*
- *has read and accepted the Rules for Admission to Participation in Organised Trading at Commodity Auctions of National Mercantile Exchange.*
-

Authorised person's signature

(signature)

(Full name)

L.S.

2.2. Questionnaire form

QUESTIONNAIRE FORM

*Entity's full name in Russian (as in the Entity's Charter)	
*Entity's abbreviated name in Russian (as in the Entity's Charter)	
*Location (as in the Entity's Charter)	
*Mailing address	
*Taxpayer Number (INN)	
*Tax Registration Reason Code (KPP)	
Individual Entrepreneurs: *Passport series and number	
Individual Entrepreneurs: *Principle state registration number of individual entrepreneur (OGRIP)	

Legal Entities: *Principle state registration number (OGRN)	
*Is the Entity a VAT payer? (YES/NO)	<input type="checkbox"/> - YES <input type="checkbox"/> - NO
* Does the Entity prepare quarterly reports?	<input type="checkbox"/> - YES <input type="checkbox"/> - NO
*Entity's contact phone number(s) / e-mail(s)	
Website used for disclosures	
*Data on the Entity's Chief Executive (Full name, title)	
Executive's telephone number	

Fields marked with an asterisk (*) are mandatory

I hereby consent to disclosure of the following details about the Trading Member at NAMEX's website: contact phone number(s)/email address for communications between the seller and the buyer under the purchase and sale agreement concluded at organised trading.

[Authorised person's title]

[Full name]

[Authorised person's signature, seal]

____ 202_

2.4. Application for change in the category

(on the Entity's letterhead)

NAMEX

APPLICATION FOR CHANGE IN HE CATEGORY

_____,
(Trading Member's full name)

Trading Member's ID: _____,

Pursuant to the Rules for Admission to Participation in Organised Trading at Commodity Auctions of NAMEX, we hereby request to change the Trading Member's category

from category _____

to category _____

(Executive's title) _____ / Full name /

L.S.

_____ 20____

Executed by: Full name, tel. _____

2.5. APPLICATION ON CHANGES IN INFORMATION ABOUT TRADING AND VIEW-ONLY IDENTIFIERS AT NAMEX COMMODITY AUCTIONS

(on the Entity's letterhead)

NAMEX

APPLICATION ON CHANGES IN INFORMATION ABOUT TRADING AND VIEW-ONLY IDENTIFIERS

_____,
(Trading Member's full name)

Trading Member's ID: _____,

Pursuant to the Admission to Participation in Organised Trading at Commodity Auctions of National Mercantile, you are kindly requested:

1. to cancel the Trading Member's IDs under:

No.	Identifier type: (Trading/View-only)	Full name of the person authorised to use the identifier for the Applicant:
1.		
2.		
..		

2. to cancel the Trading Member's Identifiers under:

No.	Identifier:
1.	
2.	
..	

(Executive's title) _____ / Full name /

L.S.

_____ 20____

Executed by: Full name, tel. _____

Appendix No. 01
to Document Forms to be submitted by
Candidates/Trading Members in accordance with the
Rules for Organised Trading at NAMEX Commodity
Auctions

How electronic interaction with Candidates/Trading Members in case of submission of electronic documents is organised

1. Candidates/Trading Members shall submit electronic documents in accordance herewith and with the EDI Rules. To submit electronic documents, Candidates/Trading Members having access to MOEX EDI in accordance with the EDI Rules may use Moscow Exchange's e-mail.
2. If Moscow Exchange's e-mail is used, Candidates/Trading Members shall file electronic documents as attachments to e-mails.
3. Electronic documents shall be generated as file in *.DOC* or *.RTF using document forms provided in section 2 of this document. Electronic document files shall not include non-confirmed changes.
4. Electronic document files generated in the required format and in accordance with the form prescribed herein shall be signed by the electronic signature of the Candidate/Trading Member. Electronic document files may be signed with an electronic signature verification key certificate (ESVKC) issued by the certifying authority, specifying an authorised individual acting on behalf of the EDI Participant as the ESVKC holder. The Candidate/Trading Member may use the ESVKC of any scope of use.
5. Once signed, the electronic document file containing confidential information shall be encrypted.
6. The Candidate/Trading Member and the NAMEX acknowledge that the electronic document generated and transmitted in accordance with the above procedure shall have the same legal effect as a paper document signed by a handwritten signature of the sender's authorised person and affixed with the seal of the Candidate/Trading Member (irrespective of whether such a paper document exists or not). If the electronic document is signed with an electronic signature using an electronic signature verification key certificate (ESVKC) without indication of the authorised person, such individual shall be deemed signed by a person acting on behalf of the legal entity under constituent documents.
7. When electronic documents are received:
 - a) The electronic document file, if encrypted, is decrypted;
 - b) electronic signature and signatory's authorisations are checked;
 - b) the file name is checked for correctness;
 - r) the file with the electronic document is checked for document format and form consistency.

8. The document will be accepted if the check results are successful. Otherwise, an electronic message is sent to the electronic document sender with the reason for refusing the electronic document for execution.
9. Electronic documents accepted for execution shall be maintained for a period of 5 (five) years.
10. Both enhanced qualified electronic signature and enhanced non-qualified electronic signature as defined in applicable Russian legislation may be used for signing electronic documents.
11. Electronic signature shall be affixed/verified, and files with electronic documents be encrypted/decrypted in accordance with the EDI Rules using the appropriate Cryptographic Information Protection Facility.