

APPROVED

NAMEX Order No. HTБ-П-2025-138

09 April 2025

CEO of NAMEX

\_\_\_\_\_ S.A. Naumov

**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

NAMEX

#### APPLICATION FOR ADMISSION TO ORGANISED TRADING AT NAMEX COMMODITY AUCTIONS

city of Moscow

[date of signature]

\_\_\_\_\_  
the Applicant,

(Trading Member Candidate's full name)

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

- *Resident Auction Participant* ☐
- *Resident Auction Client* ☐
- *Non-resident Auction Participant* ☐
- *Non-resident Auction Client* ☐

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

<i>No.</i>	<i>Identifier Type:</i>	<i>Full name of the person authorised to use the identifier for the Applicant:</i>
<i>1</i>	<i>Trading Identifier</i>	
<i>2</i>	<i>View-only Identifier No.1</i>	
<i>3</i>	<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 job title] [Authorised  
person's signature, seal]

[Full name]

#### Note:

If the signatory of this application acts under the power of attorney, please also provide the original power of attorney, or a notarised copy thereof, or a copy certified by the person who issued the power of attorney; or a copy certified by the authorised person himself/herself.

## 2.2. Questionnaire form

### QUESTIONNAIRE FORM (RESIDENTS) (for legal entities/individual entrepreneurs)

1	Full name and the form of incorporation	
2	Mailing address (for correspondence)	
3	Taxpayer Number (INN)	
4	Is the Entity a VAT payer?	<input type="checkbox"/> - YES <input type="checkbox"/> - NO
5	Contact phone number(-s)	
	E-mail address(-s)	

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 job title]

[Authorised person's signature, seal]

[Full name]

[date of signature]

## АНКЕТА ЮРИДИЧЕСКОГО ЛИЦА – НЕРЕЗИДЕНТА LEGAL ENTITY QUESTIONNAIRE FORM (NON-RESIDENTS)

1.	Фирменное наименование организации на русском языке (полное) (при наличии) / Full name of the legal entity in Russian (if any)	
2.	Фирменное наименование организации на русском языке (сокращенное) (при наличии) / Short name of the legal entity in Russian (if any)	
3.	Фирменное наименование организации на иностранном языке (полное) (при наличии) / Full name of the legal entity in foreign language (if any)	
4.	Фирменное наименование организации на иностранном языке (сокращенное) (при наличии) / Short name of the legal entity in foreign language (if any)	
5.	Регистрационный номер юридического лица по месту учреждения и регистрации, дата государственной регистрации / Registration number of the legal entity at the place of establishment and registration, date of state registration	
6.	Налоговый номер в стране регистрации / Tax number in the country of registration	
7.	Адрес юридического лица / Address of the legal entity	
8.	Идентификационный номер налогоплательщика (ИНН) (при наличии) / Taxpayer ID for residents (INN) (if any)	
9.	Код иностранной организации (при наличии) / Foreign company code (FCC) (if any)	
8.	Почтовый адрес (для направления корреспонденции) / Postal address (for correspondence)	
9.	Телефон / Telephone number	
10.	Адрес электронной почты / Email address	
11.	Адрес сайта организации в интернет/доменное имя, указатель страницы предприятия в сети Интернет/ сетевой адрес / Website address / domain name, site page index on the Internet/ network address	
12.	Единоличный исполнительный орган организации (далее – руководитель организации) / Sole executive body (CEO): Ф.И.О. (полностью) / Name and surname Должность / Job title Документ о назначении на должность (наименование, дата, номер) / Document of appointment to the office (description, date, reference number)	

Настоящим выражаю свое согласие на раскрытие на сайте АО НТБ следующей информации об участнике торгов: контактный(ые) телефон(ы)/ адрес электронной почты для взаимодействия продавца и покупателя в рамках договора купли-продажи, заключаемого на организованных торгах.

I hereby express my consent to the disclosure on the NAMEX website of the following information about the trading member: contact telephone(s) / e-mail address for the interaction of the seller and the buyer under the contract of sale concluded on the organized market.

[Должность уполномоченного лица/Job title of the authorised person]

[Подпись уполномоченного лица, печать/  
Signature, Seal]

[И.О. Фамилия/  
Full name]

[указывается дата подписания Анкеты юридического лица-нерезидента/  
Date of signing the Legal Entity Questionnaire Form (Non-residents)]

## 2.3. Application for admission termination

NAMEX

### **APPLICATION FOR ADMISSION TERMINATION at NAMEX COMMODITY AUCTIONS**

city of Moscow

[date of signature]

Hereby

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(Trading Member's full name)

applies for termination of admission to trading at NAMEX commodity auctions.

[Authorised person's job title]

[Authorised person's signature, seal]

[Full name]

Note:

If the signatory of this application acts under the power of attorney, please also provide the original power of attorney, or a notarised copy thereof, or a copy certified by the person who issued the power of attorney; or a copy certified by the authorised person himself/herself.

## 2.4. Application for change in the category

NAMEX

### APPLICATION FOR CHANGE IN HE CATEGORY

city of Moscow

[date of signature]

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(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 the category \_\_\_\_\_

to the category \_\_\_\_\_.

[Authorised person's job title]

[Authorised person's signature, seal]

[Full name]

#### Note:

If the signatory of this application acts under the power of attorney, please also provide the original power of attorney, or a notarised copy thereof, or a copy certified by the person who issued the power of attorney; or a copy certified by the authorised person himself/herself.



## 2.5. Application on changes in information about Trading and View-only Identifiers

NAMEX

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

city of Moscow

[date of signature]

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(Trading Member's full name)

Trading Member's ID: \_\_\_\_\_,

Pursuant to the Admission Rules of National Mercantile Exchange, you are kindly requested:

1. To issue additional ID(-s) to the Trading Member:

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

2. To make changes in the current Id(-s) of the Trading Member:

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

3. To cancel following the ID(-s) to the Trading Member under:

<i>No.</i>	<i>Identifier</i>
<i>1</i>	
<i>2</i>	

...	
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[Authorised person's job title]

[Authorised person's signature, seal]

[Full name]

Note:

If the signatory of this application acts under the power of attorney, please also provide the original power of attorney, or a notarised copy thereof, or a copy certified by the person who issued the power of attorney; or a copy certified by the authorised person himself/herself.

**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 an Electronic Document is received, the file is treated as follows:
  - a) It is decrypted (if necessary);
  - б) The digital signature is checked to prove the signatory's authority;
  - в) 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, the Exchange sends a rejection notice with the reason for the rejection stated, to the sender.
- 9. Electronic Documents accepted for execution shall be kept for 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.