**Annex 10**

to the Regulation on Clearing Participants

A C T I O N S

for concealment or late disclosure of information

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| **Ordinal number of a violation** | **Periodic reporting** | | **Information about current activities** |
| **The clearing participant warned about a supposed violation** | **The clearing participant failed to warn about a supposed violation** |
| First | Warning | Forfeit in the amount of 10 MCIs | Warning |
| Second | Forfeit in the amount of 5 MCIs | Forfeit in the amount of 15 MCIs | Forfeit in the amount of 10 MCIs |
| Third | Forfeit in the amount of 10 MCIs | Forfeit in the amount of 20 MCIs | Forfeit in the amount of 20 MCIs |
| Fourth | Forfeit in the amount of 20 MCIs | Forfeit in the amount of 30 MCIs | Forfeit in the amount of 30 MCIs |
| Fifth | Forfeit in the amount of 50 MCIs | Forfeit in the amount of 60 MCIs | Forfeit in the amount of 40 MCIs |
| Sixth or any subsequent | Submission to the Management Board for study of the issue of the possibility of sending recommendations to the Exchange to remove the clearing participant from participation in trades in all or individual financial instruments according to membership categories assigned to it, as well as the issue of applying a forfeit in an amount increased by 30 MCIs relative to the amount of the last of the previously presented forfeits. | | |