**Annex 2**

to the Regulation on Clearing Participants

L I S T

of documents to be submitted by a candidate (except for an electronic trading system participant) to obtain the status of a clearing participant of KASE Clearing Centre JSC

*(this heading was changed following a decision of the Board of Directors of the Clearing Centre dated December 3, 2024)*

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| **No.** | **Document** | **Requirements to the document to be submitted** | **Notes** |
| **A** | **1** | **2** | **3** |
| 1. | A valid license issued to the candidate by the authorized agency and confirming the right of the candidate to carry out brokerage and/or dealer activities on the securities market or another document which grants the candidate the specified right. | A copy of the license or another document must be notarized and provided electronically in .pdf format, and also be scanned copies of the paper versions of these documents |  |
| 2. | A valid license issued to the candidate by the authorized agency and confirming the right of the candidate to conduct banking operations in national and/or foreign currencies, including execution of transactions (carrying out exchange operations) with foreign currencies, or a license to organize exchange operations with foreign currencies (except for organizing the exchange operations with foreign currency in cash) or another document granting the candidate the right to conduct transactions (carrying out exchange operations) with foreign currencies | A copy of the license or other document must be notarized and provided electronically in .pdf format, and also be scanned copies of the paper versions of these documents |  |

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| 3. | Annual financial statements for the last completed financial year (if there is a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements of the candidate), confirmed by an auditor's report | The specified financial statements must be prepared subject to the international financial reporting standards and the laws of the Republic of Kazakhstan on accounting and financial reporting. Copies of the specified documents must be: 1) bound, numbered, signed by a person authorized to interact with the Exchange and/or the Clearing Centre; 2) provided electronically in .pdf format and must be scanned copies of the paper version of these documents. | It shall be allowed to provide the specified financial statements for the completed financial year preceding the last completed financial year, if the request for admission to clearing participants is submitted within the first four months from the end date of the last completed financial year. |
| 4. | Interim financial statements (if there is a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements of the candidate) for the reporting period preceding the date of filing the request for admission to clearing participants and agreed upon with the authorized division | The specified financial statements must be prepared subject to the international financial reporting standards and the laws of the Republic of Kazakhstan on accounting and financial reporting. Copies of the specified documents must be: 1) bound, numbered, signed by a person authorized to interact with the Exchange and the Clearing Centre; 2) provided in electronic form in .pdf format and must be scanned copies of the paper version of these documents. | No provision shall be required, if less than four months have passed from the end of the calendar year to the date of filing the request for admission to clearing participants. |
| 5. | Information about values of prudential standards calculated by the candidate subject to the requirements of the Authorized Agency as of the end of the last day of the calendar month preceding the month of filing the request for admission to clearing participants | The information must be bound, numbered, signed by a person authorized to interact with the Exchange and/or the Clearing Centre. |  |

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| 6. | A document that sets out details of accounts of the candidate with Central Securities Depository JSC that will be used to make settlements by the Clearing Centre for the purpose of executing transactions closed at trades to be held by the Exchange |  | This shall be applied only to candidates to clearing participants in the "stock" category |
| 7. | A document that sets out details of a current bank account of the candidate in KZT that will be used to make cash settlements by the Clearing Centre for the purpose of executing transactions closed at trades to be held by the Exchange |  |  |
| 8. | A letter of assurance that the candidate meets the minimum requirements for organization of risk management and internal control systems established by the Authorized Agency |  | In a free form with attachment of a self- evaluation card of the risk management system in the form of annex 9 to the Regulation *(this line was changed following a decision of the Board of Directors of the Clearing Centre dated August 1,*  *2024)* |
| 9. | A letter of assurance on compliance with the international economic sanctions (sanctions restrictions) regime |  | In form fixed by the Clearing Centre which is available on the Internet website *(this line was changed following a decision of the Board of Directors of the Clearing Centre dated August 1,*  *2024)* |
| 10 | Questionnaire on issues of organizing anti-money laundering and counter-terrorism financing with attachment of documents indicated in the questionnaire | Documents which confirm accuracy of the information set out in the questionnaire must be provided in the form of originals or notarized copies | According to the form set by the Clearing Centre which is available on the Internet website *(this line was* |

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|  |  |  | *included following a decision of the Board of Directors of the Clearing Centre dated August 1, 2024 and changed following a decision of the Board of Directors of the*  *Clearing Centre dated December 3, 2024)* |
| 11 | Questionnaire on issues of organizing internal control in terms of ensuring compliance with the international economic sanction regime (sanction restrictions) |  | In form fixed by the Clearing Centre which is available on the Internet website *(this line is included following a decision of the Board of Directors of the Clearing*  *Centre dated August 1, 2024)* |
| 12 | Document with sample signatures of a chief executive officer of the candidate and his deputies, chief accountant of the candidate and his deputies, persons authorized to interact with the Clearing Centre on behalf of the candidate | The specified document must be notarized | If the applicable laws do not provide for presence of this document and/or notarization of authenticity of signature samples in this document or a document similar to it in purpose, authenticity of signature samples in this document or a document similar to it in purpose must be certified subject to the applicable laws or internal documents of such candidate *(this line was included following a decision of the Board of Directors of the Clearing*  *Centre dated August 1, 2024)* |