Annex 8

to Regulation on Clearing Participants

L I S T

**of documents to be submitted by clearing participants – foreign legal entities, including electronic trading system participants and AIFC participants**

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

Table 1. Periodic reporting to be submitted annually no later than June 30 of the year following the reporting year, or no later than the date established by the regulatory authority of the state or jurisdiction

under whose laws the clearing participant was established

*(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** | **Notes** |
| **A** | **1** | **2** |
| 1. | Annual financial statements of the clearing participant for the last completed financial year (in case of a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements of the clearing participant, confirmed by an auditor's report. | The specified financial statements must be prepared subject to the international financial reporting standards or financial reporting standards in force in the United States of America and provided electronically in .pdf format and must be a scanned copy of the paper version of these statements |

Table 2. Periodic reporting to be submitted by clearing participants in the "stock" category and/or "derivatives" category on a quarterly basis no later than the date established by the regulatory authority of the state or jurisdiction under whose laws

the clearing participant was established

*(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** | **Notes** |
| **A** | **1** | **2** |
| 1. | Interim financial statements for the reporting quarter (if there is a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements | The specified financial statements must be prepared subject to the international financial reporting standards or financial reporting standards in force in the United States of America, and must consist of statements of financial position and comprehensive income, or the financial statements must be prepared subject to requirements established by the regulatory authority of the state under laws of which the foreign clearing participant is established  It shall be provided in electronic form in .xls (.xlsx) or .pdf format |
| 2. | Information about values and calculation of prudential standards and/or other standards or indicators that are similar in nature and similar in purpose | The specified information must be prepared and calculated subject to the laws by which the foreign clearing participant is established and provided electronically in .xls (.xlsx) format or  .pdf format |

Table 3. Periodic reporting provided by clearing participants of the "currency" category on a monthly basis no later than the date established by the regulatory authority of the state or jurisdiction under whose laws the clearing participant was established

*(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** | **Note** |
| **A** | **1** | **2** |
| 1. | Interim financial statements of the clearing participant for the reporting month | The specified financial statements must be prepared subject to international financial reporting standards or financial reporting standards in force in the United States of America and must consist of statements of financial position and comprehensive income, or the financial statements must be prepared subject to the requirements established by the regulatory authority of the state or jurisdiction under whose laws the foreign clearing participant or AIFC participant is established  It shall be provided in electronic form in .xls (.xlsx) or .pdf format |

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| 2. | Information about values and calculation of prudential standards and/or other standards or indicators that are similar in nature and similar in purpose | The specified information must be prepared and calculated subject to the laws by which the foreign clearing participant is established and provided in electronic form in  .xls (.xlsx) or .pdf format |

Table 4. Documents and information to be submitted within timeframe fixed by this annex

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| **No.** | **Document** | **Deadline of submission** | **Notes** |
| **A** | **1** | **2** | **3** |
| 1. | Information about violation by the clearing participant of prudential standards and/or other standards or indicators similar in nature and similar in purpose calculated subject to the laws of the under laws of which this foreign clearing participant is established | Within one business day from the date of occurrence of the violation | The specified information is presented in the form of an official letter indicating the violated standard (norm, limit) and the date of such violation and actions taken to eliminate it. The letter must be presented electronically in  .pdf format and be a scanned copy of the paper version of this letter. |
| 3. | Updated questionnaire of the clearing participant on issues of organizing the internal control in terms of ensuring compliance with the international economic sanctions regime | Within three business days after the date of receipt by the clearing participant of information and/or documents which confirm the change of information in the previously submitted questionnaire |  |
| 4. | Information about a change (changes, including election) in the composition of the executive body of the clearing participant, as well as in the composition of the management body or supervisory board of the clearing participant, if presence of such body is provided for by the charter of this clearing participant, indicating the composition of the relevant body of the clearing participant | Within three business days following the day of taking the relevant decision. | In .pdf format |
| 5. | Information about a change in the registered office and/or visiting address of the clearing participant and | Not later than five business days after the day of the change | In .pdf format |

Table 5. Documents and information to be submitted within 10 business days after occurrence of the event

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| **No.** | **Document/ information** | **Date of occurrence** | **Notes** |
| **A** | **1** | **3** | **3** |
| 1. | Document which confirms state (re)registration) of the clearing participant | Date of receipt by the clearing participant of a certificate (statement) of state re- registration | In .pdf format  Subject to the applicable laws.  Also provided in the form of the original or a notarized copy.  In case of providing an electronic document, notarization is not required if it is possible to verify authenticity of the document through the Internet resource of the authority that issued this electronic document  In .pdf format |
| 5. | Information about a court decision on forced liquidation or reorganization of the clearing participant, as well as about forced liquidation or reorganization of its subsidiaries and related entities | Date of entry into force of a relevant court decision | In .pdf format |
| 6. | Information about decisions taken by the general meeting of shareholders (participants) or the sole shareholder (participant) of the clearing participant | Date of taking the decision by the general meeting of shareholders (participants) or the sole shareholder (participant) | In .pdf format |
| 8. | Information about composition of shareholders (participants) of the clearing participant, and/or about a change in the composition of shareholders (participants) holding 10 and more percents of the voting shares (interests) of the clearing participant | Date of receipt by the clearing participant of documents which confirm registration of changes | In .pdf format |
| 9. | Information about occurrence of circumstances of an extraordinary nature, as a result of which property of the clearing participant was destroyed book value of which made 10 and more percents of the total assets of the clearing participant | Date of occurrence of circumstances of an extraordinary nature | In .pdf format |

Table 6. Documents and information to be submitted within three business days after date of occurrence of the event

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| **No.** | **Document** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 1. | About obtaining by the clearing participant of a permit (license) to carry out any types of activities, suspension or termination of permits (licenses) previously received by a clearing participant to carry out any types of activities (actions), with attachment of copies of relevant documents (permits, licenses, etc.) | Date of receipt by the clearing participant of relevant documents which confirm obtaining by the foreign clearing participant of a permit (license) to carry out any types of activities (actions), suspension or termination of permits (licenses) previously received by the clearing participant to carry out any types of activities (actions) | Copies of licenses for brokerage and dealer activities on the securities market and for banking operations in foreign and national currencies must be notarized.  In case of providing an electronic document, notarization is not required if it is possible to verify authenticity of the document through the Internet resource of the authority that issued this electronic document |
| 2. | Information about seizure of property (release of property from seizure) of the clearing participant, value of which is 10 and more percents of the total book value of the clearing participant's assets | Date of receipt by the foreign clearing participant of a decision to seize the property (release the property from seizure) of the foreign clearing participant | In .pdf format |
| 3. | Information about initiation of a corporate dispute case in court | Within three business days after the date of receipt by the clearing participant of a relevant court notice (summons) in a civil corporate dispute case | In .pdf format |

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| **No.** | **Document** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 4. | Information about transfer of property of the clearing participant into (re)pledge in an amount equal to 10 and more percents of the total book value of the assets of this clearing participant, as well as release of the property of the clearing participant from (re)pledge in an amount equal to 10 and more percents of the total book value of the assets of this clearing participant | Date of receipt by the clearing participant of documents which confirm registration of a (re)pledge agreement – in relation to property pledge of which is subject to registration under the laws of the country of residence.  Date of entry into a (re)pledge agreement for property of the foreign clearing participant – in relation to property pledge of which is not subject to registration under the laws of the country of residence.  Date of receipt by the clearing participant of documents which confirm release from (re)pledge of the property of the foreign clearing participant. | In .pdf format |
| 5. | Information about raising by the clearing participant of a loan in an amount equal to 25 and more percents of the total book value of the assets of the clearing participant, as well as full repayment of the principal debt and charged interest on this loan | Date of entry by the clearing participant into a loan or credit line agreement or full repayment by the clearing participant of the principal debt and charged interest on this loan or credit line.  When the total amount of received and outstanding loans, given the charged interest within one credit line, reaches 25 and more percents of the total book value of the assets of the clearing participant. | In .pdf format |
| 6. | Information about a change by the clearing participant of its core activities | Date of receipt of the charter and/or amendments to the charter registered with the authorized agency | In .pdf format |

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| **No.** | **Document** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 7. | Information about other events affecting the interests of shareholders (participants) of the clearing participant and/or investors, subject to the charter of the clearing participant, as well as the prospectus for issue of its securities | Date of occurrence of other events affecting the interests of the shareholders of the clearing participant and/or investors, subject to the charter and prospectus for issue of its securities, unless the applicable laws provide for a different timeframe for communicating the information to holders of securities.  Date of failure by the clearing participant to comply with the conditions stipulated by the prospectus for issue of non-government bonds. | In .pdf format |
| 8. | Information about imposition of sanctions, actions on the clearing participant and/or its individual employees by courts, interrogation and investigation bodies, enforcement bodies in criminal and civil cases pending before them; on seizure of its property | Date of receipt of information by the clearing participant | In .pdf format |
| 9. | Information about default on requirements of the laws of the state under laws of which the clearing participant was established, for which any actions were applied to it by the regulatory authority | Date of receipt of information by the clearing participant | In .pdf format |
| 10. | Information about removal of the clearing participant or its trader(s) from participation in trades with all or individual financial instruments, on the suspension or termination of membership in all or individual categories on a foreign (stock) exchange | Date of receipt of information by the foreign clearing participant | In .pdf format |

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| **No.** | **Document** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 11. | Information about default on requirements imposed by a foreign (stock) exchange, where the foreign member is a member, on its members, and application of any actions to it by this exchange as a result of this | Date of receipt of information by the foreign clearing participant | In .pdf format |