**Kazakhstan Stock Exchange JSC**

**LETTER OF ASSURANCE**

By this letter \_\_\_\_\_\_\_\_ *(full name of the Exchange's client, BIN (registration number – for non-residents)* (hereinafter – the Exchange's client), guarantees that in the course of its activities it complies with the regime of international sanctions of the US, the European Union, the UK and other applicable legislation, and, inter alia, **assures** that:

* the Exchange's client does not cooperate, does not provide and/or purchase services from any persons/clients/counterparties in respect of whom sanctions restrictions or prohibitions have been applied;
* operations and/or transactions of the Exchange's client are not aimed at evading, circumventing, and do not have the purpose of evading or violating established restrictions/ international sanctions of the US, the European Union, the UK and other applicable legislation;
* does not conduct and/or facilitate any significant transaction/transactions for or on behalf of any person operating/previously involved in the technology, defense and related industries, such as logistics, construction, aerospace or manufacturing industries of the Russian Federation's economy or other sectors of the economy that can be defined as supporting the military-industrial complex of the Russian Federation (RF) (hereinafter referred to as sectors of the economy supporting the military-industrial complex of the Russian Federation);
* does not conduct and/or facilitate any significant transaction/transactions, and/or does not provide any services related to the Russian military-industrial complex of the Russian Federation, including direct/indirect sale, supply or transfer to the Russian Federation of any goods or class of goods, which are determined by authorized persons/authorities of the US[[1]](#footnote-1), EU and UK[[2]](#footnote-2);
* does not maintain accounts, transfer funds or provide other financial services (including payment processing, transfers, trade finance, insurance) of any persons located in the Russian Federation or abroad that support the military-industrial complex of the Russian Federation, as well as for persons included in the list of persons operating in economic sectors supporting the military-industrial complex of the Russian Federation;
* does not provide direct/indirect assistance in the sale, supply or transfer of certain goods to Russian importers or companies supplying these goods to the Russian Federation;
* does not assist companies or individuals in circumventing US sanctions against the Russian military-industrial complex.

We confirm that the information contained in this letter of assurance is complete and accurate as of the date indicated below.

We hereby undertake to immediately notify Kazakhstan Stock Exchange JSC in the event of changes in the information and circumstances specified in this letter of assurance.

[Position of the authorized person] [signature] [Last name, initials]

[Seal impression (if available)] [Date of signing]

1. From the list of goods defined in accordance with Section 11(a)(ii) of the Executive Order 14024 of the U.S. President dated April 15, 2021 (link: <https://ofac.treasury.gov/media/932446/download?inline>). [↑](#footnote-ref-1)
2. Dual-use goods that cannot be exported from the EU to the Russian Federation in accordance with Regulation (EU) 2021/821 of the European Parliament and of the Council of 20 May 2021 and prohibited goods in accordance with the UK's Russia (Sanctions) (EU Exit) Regulations 2019. [↑](#footnote-ref-2)