**Annex 2**

to the Clearing Participant Regulation

L I S T

of documents to be submitted to obtain the status

of the clearing participant of KASE Clearing Center JSC

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| **No.** | **Document** | **Requirements to documents to be submitted** | **Notes** |
| **A** | **1** | **2** | **3** |
| 1. | A valid license issued to the candidate by an authorized body or a foreign regulatory body and confirming a right of the candidate to carry out brokerage and/or dealer activities on the securities market, or another document granting the candidate the specified right | A copy of the license or another document must be notarized and provided electronically in .pdf format, as well as scanned copies of paper versions of these documents |  |
| 2. | A valid license issued to the candidate by an authorized body or a foreign regulatory body and confirming a right of the candidate to conduct banking operations in national and/or foreign currencies, including to carry out transactions (exchange operations) with foreign currencies, or a license to organize exchange operations with foreign currency (except for organizing the exchange transactions with cash foreign currency) or another document granting the candidate the right to carry out transactions (carry out exchange transactions) with foreign currencies | A copy of the license or another document must be notarized and provided electronically in .pdf format, as well as scanned copies of paper versions of these documents |  |
| 3. | Annual financial statements for the last completed financial year (in case of a subsidiary (subsidiaries) - consolidated financial statements and separate financial statements of the candidate), confirmed by an audit report | A copy of the license or another document must be notarized and provided electronically in .pdf format, as well as scanned copies of paper versions of these documentsA copy of the license or another document must be notarized and provided electronically in .pdf format, as well as scanned copies of paper versions of these documentsThe specified financial statements must be prepared subject to the international financial reporting standards and the laws | 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 |

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| **No.** | **Document** | **Requirements to documents to be submitted** | **Notes** |
| **A** | **1** | **2** | **3** |
|  |  | of the Republic of Kazakhstan related to accounting and financial reporting (for legal entities of the Republic of Kazakhstan) or financial reporting standards in force in the United States of America (for non-residents, participants of the AIFC).Copies of these documents must be: 1) bound, numbered, signed by a person authorized to interact with the Exchange2) provided electronically in .pdf format and must be scanned copies of the paper version of these documents | submitted within the first four months from the end date of the last completed financial year |
| 4. | Interim financial statements (in case of a subsidiary organization (subsidiaries) - consolidated financial statements and separate financial statements of the candidate) for the reporting period preceding the date of filing an application for admission to clearing participants and agreed 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 related to accounting and financial reporting (for legal entities of the Republic of Kazakhstan) or financial reporting standards in force in the United States of America (for non-residents, participants of the AIFC).Copies of these documents must be: 1) bound, numbered, signed by a person authorized to interact with the Exchange;2) provided electronically 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 an application for admission to clearing participants |
| 5. | Information on values of prudential standards calculated by the candidate subject to requirements of the authorized body or the foreign regulatory body 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 data must be bound, numbered, and signed by a person authorized to interact with the Exchange. |  |
| 7. | A document indicating details of accounts of the candidate with Central Securities Depository JSC, which will be used to carry out settlements by the Clearing Center for the purpose of settlement of transactions closed at trades conducted by the Exchange |  | This shall be applied only to candidates for clearing participants in the “stock” category |
| 8. | A document indicating details of a current bank account of the candidate in Kazakhstan tenge, which will be used to |  |  |

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| **No.** | **Document** | **Requirements to documents to be submitted** | **Notes** |
| **A** | **1** | **2** | **3** |
|  | carry out cash settlements by the Clearing Center for the purpose of settlement of transactions closed at trades conducted by the Exchange |  |  |
| 9. | Letter of assurance of candidate’s compliance with the minimum requirements for organization of risk management and internal control systems established by the authorized body |  |  |
| 10. | Letter of assurance of compliance with the regime of international economic sanctions |  |  |