Annex 8

to the Clearing Participant Regulation

L I S T

**of documents to be submitted**

**by clearing participants being foreign legal entities and AIFC participants**

Table 1. Regular reporting to be submitted on an annual basis on or before June 30 of a year following the reporting year

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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 if there is a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements of the clearing participant) confirmed by an audit report | These financial statements must be prepared subject to the international financial reporting standards or financial reporting standards applicable in the United States of America and submitted electronically in .pdf format and must be a scanned copy of the paper copy of these statements |

Table 2. Periodic reporting to be submitted by foreign clearing participants being AIFC participants, "stock" category and/or "derivatives" category on a quarterly basis not later than a date fixed by the regulating body of the state or jurisdiction under the laws the foreign clearing participant or the AIFC participant is established

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| **No.** | **Document** | **Notes** |
| **A** | **1** | **2** |
| 1. | Interim financial statements for the reporting quarter (in case if there is a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements | These financial statements must be prepared subject to the International Financial Reporting Standards or Financial Reporting Standards in effect 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 under the laws of which the foreign clearing participant was establishedTo be submitted electronically in .xls (.xlsx) or .pdf format |
| 2. | Information about values and calculation of prudential | The specified information must be compiled and calculated subject to the laws that |

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|  | standards and/or other standards or indicators that are similar in nature and similar in purpose | established the foreign clearing participant and to be submitted electronically in .xls (.xlsx) or.pdf format |

Table 3. Periodic reporting to be submitted by foreign clearing participants and clearing participants who are AIFC participants, “currency” category on a monthly basis no later than the date established by the regulatory body of the state or jurisdiction under the laws which the foreign clearing participant or participant in the AIFC is established

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| **No.** | **Document** | **Notes** |
| **A** | **1** | **2** |
| 1. | Interim financial statements of the clearing participant for the reporting month | These 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 the requirements established by the regulatory authority of the state or jurisdiction subject to the laws of which the foreign clearing participant or AIFC participant was establishedTo be submitted electronically 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 compiled and calculated subject to the laws that established the foreign clearing participant and to be submitted electronically in .xls (.xlsx) or .pdf format |

Table 4. Documents and information to be submitted by deadlines fixed in this annex

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| **No.** | **Document** | **Deadline** | **Notes** |
| **A** | **1** | **2** | **3** |
| 1. | Information about violation by the clearing participant of prudential standards and/or other similar in nature and similar in purpose standards or indicators calculated subject to the laws of the state under the laws of which this foreign clearing participant was established | Within one business day after the violation takes place | The specified information shall be presented as an official letter indicating the violated standard (norm, limit) and the date of such violation and the measures taken to eliminate it. The letter must be submitted electronically in .pdf format and be a scanned copy of the paper copy of this letter. |
| 3. | Updated questionnaire of the clearing participant on organization of internal control in terms of ensuring compliance with the regime of international economic sanctions | Within three business days after the clearing participant receives information and/or documents confirming changes in 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 the 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 after the relevant decision has been made. | In .pdf format. |
| 5. | Information about changes in the legal and/or actual location of the clearing participant and | No later than five business days after the day of change | In .pdf format. |

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

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| --- | --- | --- | --- |
| **No.** | **Document/ information** | **Date of occurrence** | **Notes** |
| **A** | **1** | **3** | **3** |
| 1. | Document confirming 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.It shall be also submitted as an original (original document) or a notarized copy.In case of submitting an electronic document, notarization shall not be required if it is possible to verify authenticity of the document through the Internet resource of the authority that issued this electronic document |
| 5. | Information about a court decision on compulsory liquidation or reorganization of the clearing participant, as well as on compulsory liquidation or reorganization of its subsidiaries and related entities | Date of entry into force of the relevant court decision | In .pdf format. |
| 6. | Information about decisions made by the general meeting of shareholders or the sole shareholder of the clearing participant | Date of adoption of a decision by the general meeting of shareholders (participants) or the sole shareholder (participant) | In .pdf format. |
| 8. | Information about composition of the shareholders of the clearing participant and/or on changes in the composition of shareholders holding 10 percents or more of the voting shares (participatory interests) of the clearing participant | Date of receipt by the clearing participant of documents confirming registration of changes | In .pdf format. |
| 9. | Information about occurrence of extraordinary circumstances, as a result of which property of the clearing participant was destroyed, book value of which was 10 percents or more of the total assets of the clearing participant | Date of occurrence of emergency circumstances | In .pdf format. |

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

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| --- | --- | --- | --- |
| **No.** | **Document** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 1. | Information about receipt by the clearing participant of a permit (license) to carry out any types of activities, suspension or termination of permissions (licenses) previously received by the clearing participant to carry out any types of activities (actions), with copies of relevant documents (permits, licenses, other) | Date of receipt by the clearing participant of the relevant documents confirming the receipt by the foreign clearing participant of a permission (license) to carry out any types of activities (actions), suspension or termination of permissions (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 conduct of banking operations in foreign and national currencies must be notarized.In case of submitting an electronic document, notarization shall not be 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 seizure of property) of the clearing participant, value of which is 10 percents or more of the total book value of the assets of the clearing participant | Date of receipt by the foreign clearing participant of the decision to seize the property (release the seizure of property) 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 the relevant judicial notice (summons) in a civil case related to a corporate dispute | In .pdf format. |
| 4. | Information about (re)pledge of the property of the clearing participant in an amount of 10 percents or more of the total book value of the assets of this clearing participant, as well as release of (re)pledge of the property of the clearing participant in an amount of 10 percents or more of the total book value of assets of this clearing participant | Date of receipt by the clearing participant of documents confirming (re)pledge registration agreement – in relation to property, pledge of which is subject to registration under the laws of the country of residence.Date of entry into an agreement on (re)pledge of property of a foreign clearing participant – in relation to property, the pledge of which is not subject to registration under the laws of the country of residence.Date the clearing participant received documents confirming release of the property of the foreign clearing participant from (re)pledge. | In .pdf format. |

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| **No.** | **Document** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 5. | Information about receipt by the clearing participant of a loan in the amount of 25 percents or more of the total book value of the assets of the clearing participant, as well as on full repayment of the principal debt and accrued interest on this loan | Date the clearing participant enters into a loan or credit facility agreement or the clearing participant repays in full the principal debt and charged interest on this loan or credit facility.When the total amount of received and outstanding loans, taking into account accrued interest within one credit facility, reaches 25 percents or more of the total book value of the clearing participant's assets. | In .pdf format. |
| 6. | Information about changes by the clearing participant to its core activities | Date of receipt of the charter and/or amendments to the charter registered with the authorized body | In .pdf format. |
| 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 clearing participant’s shareholders and/or investors, subject to the charter and prospectus for issue of its securities, unless the applicable laws provide for other deadlines for bringing information to the attention of security holders.Date of a failure of the clearing participant to comply with the terms and conditions stipulated by the prospectus for issue of non-government bonds. | In .pdf format. |
| 8. | Information about imposition of sanctions, enforcement measures on the clearing participant and/or on its individual employees by the courts, bodies of inquiry and investigation, bodies of enforcement proceedings in criminal and civil cases pending in their proceedings; to seize its property | Date of receipt of information by the clearing participant | In .pdf format. |

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| **No.** | **Document** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 9. | Information about a failure to comply with the requirements of the laws of the state under the laws of which the clearing participant was established, for which any enforcement measures have been applied to it by the regulatory body | 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 trading with all or individual financial instruments, on suspension or termination of the membership in all or individual case | Date of receipt of information by the clearing participant | In .pdf format. |
| 11. | Information about a failure to comply with the requirements imposed by a foreign (stock) exchange, where the foreign member is a member, to its members, and as a result of this, application of any measures of influence to it by this exchange | Date of receipt of information by the clearing participant | In .pdf format. |