**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 international sanctions regime of the USA, the European Union, the UK and other applicable legislation, and also, among other things, **assures** that:

* the Exchange’s client does not cooperate with, does not provide and/or does not purchase services to/from any persons/clients/counterparties under sanctions restrictions or prohibitions;
* the operations and/or transactions of the Exchange’s client are not aimed at evading, bypassing, and do not have the purpose of evading or violating the established restrictions/international sanctions of the USA, the European Union, the UK and other applicable legislation;
* does not conduct and/or facilitate any significant transaction(s) in the interests or on behalf of any person that is/was previously active in the technology, defense and related industries, such as material support, construction, aerospace or manufacturing industries of the Russian economy or other sectors of the economy that can be defined as supporting the military-industrial complex of the Russian Federation (RF) (hereinafter, the economy sectors supporting the military-industrial complex of the RF);
* does not conduct and/or facilitate any significant transaction(s), and/or does not provide any services related to the Russian military-industrial complex of the RF, including the direct/indirect sale, supply or transfer to the RF of any goods or class of goods that are specified by authorized persons/bodies of the USA[[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 financing, insurance) for any persons located in the RF or outside it who support the military-industrial complex of the RF, as well as for persons included in the list of persons operating in economy sectors supporting the military-industrial complex of the RF;
* does not provide direct/indirect assistance in sale, supply or transfer of certain goods to the Russian importers or companies supplying these goods to the RF;
* does not assist companies or individuals in circumventing the US sanctions against the military-industrial complex of the RF.

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 any changes in the information and circumstances specified in this letter of assurance.

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

[Seal (if any)] [Date of signature]

1. List of items determined pursuant to Section 11(a)(ii) of the US President’s Executive Order 14024 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 RF under Regulation (EU) 2021/821 of the European Parliament and of the EU Council dated May 20, 2021, and prohibited goods under the UK Russia (Sanctions) (EU Exit) Regulations 2019. [↑](#footnote-ref-2)