**Annex 2-1**

to the Regulation on Clearing Participants

*(This appendix was included following a decision of the Board of Directors of the Clearing Centre dated December 3, 2024)*

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of documents to be provided by the candidate – an electronic trading system participant to obtain the status of a clearing participant of KASE Clearing Centre JSC

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| **Item No.** | **Document name** | **Requirements for documents provided** | **Notes** |
| **A** | **1** | **2** | **3** |
| 1. | A valid license issued to the candidate by an authorized body and confirming the candidate's right to carry out brokerage and/or dealer activities in the securities market, or another document granting the candidate the specified right | A copy of a license or other document must be a scanned copy of their paper versions, certified by a notary, apostilled and provided in electronic form in .pdf format. |  |
| 2. | A valid license issued to the candidate by an authorized body and confirming the candidate's right to conduct banking operations in national and/or foreign currencies, including the execution of transactions (carrying out exchange operations) with foreign currencies, or a license to organize exchange operations with foreign currency (except for the organization of exchange operations with foreign currency in cash) or another document granting the candidate the right to conduct transactions (carrying out exchange operations) with foreign currencies | A copy of a license or other document must be a scanned copy of their paper versions, certified by a notary, apostilled and provided in electronic form in .pdf format. |  |
| 3. | A document indicating the details of the candidate's personal accounts in Central Securities Depository JSC, which will be used to carry out settlements by the Clearing Centre for the purpose of executing transactions concluded at the Exchange's trades |  | Applies only to  candidates for clearing participants in the "stock" category |
| ~~4~~. | Letter of assurance of the candidate's compliance with the minimum requirements for the organization of risk management and internal control systems | The information must contain a self- assessment card of the risk management system, compiled in accordance with the form of Appendix 14 to the Regulation on Clearing Participants, as well as other documents that allow the Clearing Centre to assess the compliance of the candidate’s risk management system with the | In any  form with the attachment of a self-assessment card of the risk management system in accordance with form Appendix 9 to the Regulation |

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|  |  | IOSCO recommendations or the requirements for the risk management system established by the applicable regulatory legal act of the authorized body. |  |
| 5. | Letter of assurance of compliance with the international economic sanctions regime (sanctions restrictions) |  | According to the form established by the Clearing Centre, which is available on the website |
| 6. | Questionnaire on issues of organizing counteraction to legalization (laundering) of proceeds from crime and financing of terrorism, with the attachment of documents specified in the questionnaire | Documents confirming the accuracy of the information specified in the application form must be provided in the form of originals (originals) or notarized and apostilled copies . | According to the form established by the Clearing Centre, which is available on the website |
| 7. | Questionnaire on issues of organizing internal control in terms of ensuring compliance with the international economic sanctions regime (sanction restrictions) |  | According to the form established by the Clearing Centre, which is available on the website |
| 8. | A document with signature samples of the candidate's first manager and his deputies, the candidate's chief accountant and his deputies, persons authorized to interact with the Clearing Centre, the host exchange on behalf of the candidate | The document must be notarized and apostilled. | If the applicable legislation does not provide for the presence of this document and/or notarization of the authenticity of signature samples in this or a document similar in purpose, then the authenticity of signature samples in this or a document similar in purpose must be certified in accordance with the applicable legislation or internal documents of such candidate |
| 9. | Annual financial statements for the last completed financial year (in the case of a subsidiary(ies) – consolidated financial statements and separate financial  statements of the candidate), confirmed | Financial statements must be prepared in accordance with international financial reporting standards and the legislation of the  Republic of Kazakhstan on | It is permitted to submit financial statements for the completed  financial year |

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|  | by an auditor's report | accounting and financial reporting.  Copies of the specified documents must be:   1. stitched, numbered, signed by a person authorized to interact with the Clearing Centre and/or the receiving exchange 2. provided in electronic form in .pdf format and are scanned copies of the paper version of these documents | preceding the last completed financial year if the application for admission to clearing participants is submitted within the first four months from the end date of the last completed financial year. |
| 10. | Interim financial statements (in the case of a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements of the candidate) for the reporting period preceding the date of filing the application for admission to clearing participants and agreed upon with the authorized division | Financial statements must be prepared in accordance with international financial reporting standards and the legislation of the Republic of Kazakhstan on accounting and financial reporting.  Copies of the specified documents must be:   1. stitched, numbered, signed by a person authorized to interact with the Clearing Centre and/or the receiving exchange 2. provided in electronic form in .pdf format and are scanned copies of the paper version of these documents | Provision is not required if less than four months have passed from the end of the calendar year to the date of filing the application for admission to clearing participants. |
| 11. | Letter from the registering exchange on the inclusion of a candidate in its register of participants in the electronic trading system | The letter from the registering exchange (hereinafter referred to as the exchange) must contain the following information:   1. about the category of membership on the exchange; 2. on the date of acceptance of the candidate as a member of the exchange; 3. on financial instruments, the right to participate in tenders, which the candidate has; 4. the presence (absence) of cases of the exchange applying any measures of influence to the candidate during the last three years preceding the day the letter was sent; 5. on the candidate’s compliance with the requirements of this exchange; 6. on inclusion in the register of remote access participants |  |