

APPROVED
by Order of
the General Director of
CC "SPB Clearing" (JSC)
No. 291 of 31 March 2023

**INSTRUCTIONS ON THE PROCEDURE FOR ASSIGNING CODES TO (UPDATING CODES OF) CLEARING
MEMBERS AND THEIR CLIENTS IN THE KAZAKHSTAN MARKET
of Central Counterparty "SPB Clearing" (Joint-Stock Company)**

Moscow, 2023

Table of contents

| | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|
| 1. Terms and definitions | 3 |
| 2. General provisions | 3 |
| 3. Procedure for the assignment of the Clearing Member Identifier | 4 |
| 4. Procedure for generating the Registration Code of the Clearing Member | 4 |
| 5. Procedure for assigning the Registration Codes to the Clients of the Clearing Members | 5 |
| 6. Procedure for assigning Registration Codes to Second-Tier Clients | 6 |
| 7. Procedure for assigning the Short Code of the Clearing Member/Clearing Member's Client/Second-Tier Client | 7 |
| 8. Procedure for updating the Registration Code of the Clearing Member/Clearing Member's Client/Second-Tier Client in case of any change in details of the Clearing Member, Clearing Member's Client or Second-Tier Client | 7 |
| Appendix 1 | 9 |
| CLIENTS message | 9 |
| ANSWER_CLIENTS message | 10 |
| CLIENT_ONLINE | 11 |
| ANSWER_CLIENT_ONLINE message | 12 |
| Appendix 2 | 15 |
| Appendix 3 | 20 |

1. Terms and definitions

Clearing Member Identifier shall mean a unique code consisting of letters, numbers or their combinations assigned by the CC to the Clearing Member in accordance with the Clearing Rules.

Identification Data of the Clearing Member shall mean the information about the Clearing Member contained in the documents and (or) information submitted in order to be registered as a Clearing Member in accordance with the Clearing Rules.

Identification Data of the Clearing Member's Client/Second-Tier Client shall mean information about the Clearing Member's Client/Second-Tier Client contained in the client registration application submitted by the Clearing Member for the registration of the Clearing Member's Client/Second-Tier Client.

Foreign broker shall mean a foreign entity that carries out brokerage activities in accordance with its governing law.

Foreign trustee shall mean a foreign entity that, in accordance with its governing law, carries out trust management activities.

Foreign citizen shall mean an individual who has the citizenship of a foreign state.

Foreign legal entity shall mean a legal entity registered in accordance with the laws of a foreign state.

CC shall mean Central Counterparty "SPB Clearing" (Joint-Stock Company).

Clearing Member's Client shall mean a Clearing Member's Client registered by the CC in accordance with the Clearing Rules and these Instructions.

Second-Tier Client shall mean a Clearing Member's Client who is the client of a broker/Foreign broker/trustee/Foreign trustee, who in turn is a Clearing Member's Client, registered by the CC in accordance with the Clearing Rules and these Instructions.

Short Code of the Clearing Member shall mean a unique alphanumeric code of the Clearing Member assigned by the CC in accordance with the Clearing Rules and these Instructions.

Clearing Rules shall mean the rules for carrying out clearing activities in the financial instruments market of Central Counterparty "SPB Clearing" (Joint-Stock Company).

Registration Code of the Clearing Member/Clearing Member's Client/Second-Tier Client shall mean a code assigned by the CC to the Clearing Member/Clearing Member's Client/Second-Tier Client in accordance with the requirements of the Clearing Rules, Federal Law No. 7-FZ dated 07.02.2011 On Clearing, Clearing Activities and the Central Counterparty, and the regulations adopted in accordance therewith.

Russian legal entity shall mean a legal entity registered in accordance with the legislation of the Russian Federation.

Terms not specifically defined in these Instructions are used in the meanings established by the Clearing Rules, as well as Federal Law No. 7-FZ dated 07.02.2011 On Clearing, Clearing Activities and the Central Counterparty and the regulations adopted in accordance with it.

2. General provisions

2.1. These Instructions on the Procedure for Assigning Codes to (Updating Codes of) Clearing Members and their Clients in the Kazakhstan Market of Central Counterparty "SPB Clearing" (Joint-Stock Company) establish the procedure for assigning codes to and updating codes of the Clearing Members and their clients in the Kazakhstan market.

2.2. The CC renders clearing services to the Clearing Members provided that they were registered by the CC in the manner prescribed by the Clearing Rules, these Instructions, Federal Law No. 7-FZ dated 07.02.2011 On Clearing, Clearing Activities and the Central Counterparty and the regulations adopted in accordance therewith.

2.3. The CC registers Clearing Members, as well as, at the request of the Clearing Member, the Clearing Member's Clients and (or) Second-Tier Clients. When registering the Clearing Members, the Clients of the Clearing Members, the Second-Tier Clients, the CC shall assign unique codes to the said persons for them to be identifiable.

2.4. These Instructions define the procedure for:

- assigning codes to the Clearing Members, Clearing Member's Clients, Second-Tier Clients in accordance with the Clearing Rules;
- updating the codes of the Clearing Members, Clearing Member's Clients, Second-Tier Clients in case of any change in the details of the Clearing Member, the Clearing Member's Client or the Second-Tier Client, which were assigned in accordance with the Clearing Rules and these Instructions.

2.5. In accordance with the requirements of the Clearing Rules, Federal Law No. 7-FZ dated 07.02.2011 On Clearing, Clearing Activity and the Central Counterparty and the regulations adopted in accordance therewith, pursuant to the procedure established by these Instructions, the CC, in order to register the Applicant as a Clearing Member, as well as to register the Clearing Member's Clients and the Second-Tier Clients, shall assign the following unique codes to these persons:

- Registration Code of the Clearing Member/Clearing Member's Client/Second-Tier Client;
- Clearing Member Identifier;

- Short Code of the Clearing Member/Clearing Member's Client/Second-Tier Client.

3. Procedure for the assignment of the Clearing Member Identifier

3.1. The Clearing Member Identifier consists of letters, numbers, symbols or their combinations, but of no more than 5 values, the last symbol shall always be the Latin letter "K".

Example of the Clearing Member Identifier:

AAAAA, where AAAAA consists of no more than 5 (five) values (Latin letters, numbers, symbols or their combinations).

4. Procedure for generating the Registration Code of the Clearing Member

4.1. The Registration Code of the Clearing Member - Russian legal entity shall consist of:

- Clearing Member Identifier (AAAAA);
- Underscore character "_";
- Russian Taxpayer Identification Number (INN) of the Clearing Member (CCCCCCCCCC);
- Underscore character "_";
- Bank Identification Code (BIC) (for a credit institution) (DDDDDDDDDD).

Example of the Registration Code of the Clearing Member - Russian legal entity:
AAAAA_CCCCCCCCCC_DDDDDDDDD, where:

*AAAAA is the Clearing Member Identifier;
CCCCCCCCCC is INN;
DDDDDDDDDD is BIC.*

4.2. The Registration Code of the Clearing Member - Foreign legal entity with a INN consists of:

- Clearing Member Identifier (AAAAA);
- Underscore character "_";
- INN of the Clearing Member (CCCCCCCCCC);
- Character "/";
- Additional Clearing Member Identifier (BBBBBBBBBB);
- Character "/";
- BIC (for the Clearing Member - foreign bank, if any) or SWIFT code, the first five characters of which are "SWIFT" (for the Clearing Member - foreign bank if there is no BIC) (DDDDDDDDDDDD);
- Underscore character "_";
- a three-digit numeric code of the country in which the Clearing Member is registered, in accordance with the All-Russian Classifier of Countries of the World (GGG).

One of the following parameters shall be used as the Additional Clearing Member Identifier;

- Tax Identification Number (hereinafter - TIN), the first three characters of which are "TIN";
- Registration number in the country of registration, the first three characters of which are "REG" (in the absence of a TIN);
- Legal Entity Identifier (hereinafter - LEI), the first three characters of which are "LEI" (in the absence of a TIN and a registration number).

Example of the Registration Code of the Clearing Member - Foreign legal entity with a INN:
AAAAA_CCCCCCCCCC/REGBBBBBBBBBB/DDDDDDDDDD_GGG_, where:

*AAAAA is a Clearing Member Identifier;
CCCCCCCCCC is INN of the Clearing Member;
BBBBBBBBBB - the Registration Number of the Clearing Member in the country of registration is used as the Additional Clearing Member Identifier;
DDDDDDDDDD is BIC of the Clearing Member - foreign bank;
GGG is a three-digit code of the country in which the Clearing Member is registered, in accordance with the All-Russian Classifier of Countries of the World.*

4.3. The Registration Code of the Clearing Member - Foreign legal entity without a INN consists of:

- Clearing Member Identifier (AAAAA);
- Underscore character "_";

- Code of the foreign entity (hereinafter referred to as the KIO (stands for the first letters of the Russian "код иностранной организации"), the first three characters of which are "KIO", or the Additional Clearing Member Identifier (if there is no KIO) (BBBBBBBBBBB);
- Symbol "/";
- BIC (for the Clearing Member - foreign bank, if any) or SWIFT code (for the Clearing Member - foreign bank if there is no BIC) (DDDDDDDDDDDD);
- Underscore character "_";
- A three-digit numeric code of the country, in which the Clearing Member is registered, in accordance with the All-Russian Classifier of Countries of the World (GGG).

One of the following parameters is used as the Additional Clearing Member Identifier:

- Tax Identification Number, the first three characters of which are "TIN" (in the absence of KIO);
- Registration number in the country of registration, the first three characters of which are "REG" (in the absence of KIO and TIN);
- Legal Entity Identifier, the first three characters of which are "LEI" (in the absence of KIO, TIN and the registration number)

Example of the Registration Code of the Clearing Member - Foreign legal entity that does not have a INN: AAAAA_TINBBBBBBBBBBB/SWIFTD DDDDDDDDDDD_GGG_, where:

AAAAA is a Clearing Member Identifier;

BBBBBBBBBBB – TIN is used as the Additional Clearing Member Identifier;

DDDDDDDDDD is SWIFT code of the Clearing Member - foreign bank;

GGG is a three-digit code of the country, in which the Clearing Member is registered, in accordance with the All-Russian Classifier of Countries of the World.

4.4. For Foreign legal entities registered in the territory of the Republic of Kazakhstan, BIN (Business Identification Number) is used as the Additional Identifier, the first three characters of which are "TIN".

4.5. If the Clearing Member is an international organisation, the Registration Code of the Clearing Member shall include the three-digit numeric code "998".

4.6. The Registration Code of the Clearing Member – securities trustee/management company, in addition to the information specified in clause 4.1 of these Instructions, also includes the type of the trustee and the Identification Data of the Clearing Member, as assigned in accordance with Appendix 2 hereto.

4.7. The Registration Code of the Clearing Member - securities trustee contains the code of the trustee's client (trustor) and is assigned according to the number of specified clients.

An example of the Registration Code of the Clearing Member - securities trustee:

| Trustee type | Clearing Member Registration Code | Comments |
|--------------------|--------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Securities trustee | AAAAA_CCCCCCCCCC/YY/XXXXXXXXXX X/GGG_FF | YY is the identification of the trustor type XXXXXXXXXX is the trustor identification GGG is the code of the country of registration of the trustor that is a Foreign legal entity or Foreign citizen, specified in accordance with the All-Russian Classifier of Countries of the World. In case the trustor is not a Foreign legal entity and a Foreign citizen, GGG is not indicated. FF is the identification (type) of the Clearing Member that is a trustee / management company in accordance with Appendix 2. |

5. Procedure for assigning the Registration Codes to the Clients of the Clearing Members

5.1. The Registration Code of the Clearing Member's Client consists of:

- Registration Code of the Clearing Member;
- Underscore character "_";
- Identification Data of the Clearing Member's Client assigned in the form specified in Appendix 2 to these Instructions (EEEEEEEEEEEE);
- Underscore character "_";
- Type of the Clearing Member's Client - one to two symbols, determined in accordance with Appendix 2 hereto (FF);

- Underscore character "_";
- A three-digit code of the country of registration of the Clearing Member's Client - a Foreign legal entity or a Foreign citizen, corresponding to the All-Russian Classifier of Countries of the World (GGG).

If the Clearing Member's Client is an individual without citizenship, the Registration Code of this Clearing Member's Client shall include the three-digit numeric code "000".

If the Clearing Member's Client is an international organisation, the Registration Code of this Clearing Member's Client shall also include the three-digit numeric code "998".

Example of the Registration Code of the Clearing Member's Client:

AAAAA_CCCCCCCCCC_EEEEEEEEEEE_FF_GGG

5.2. The Registration Code of the Clearing Member's Client - securities trustee, in addition to the information specified in clause 5.1. of these Instructions, also includes the type of trustee.

5.3. The Registration Code of the Clearing Member's Client - securities trustee contains the Registration Code of the trustee's client (trustor) and is assigned according to the number of specified clients.

Example of the Registration Code of the Clearing Member's Client - securities trustee:

| Trustee type | Registration Code of the Clearing Member's Client | Comments |
|--------------------|--------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Securities trustee | AAAAA_CCCCCCCCCC_EEEEEEEEEEE/YY/XXX XXXXXXXX/GGG_FF | YY is the trustor type identification. XXXXXXXXXX is the trustor identification. GGG is the code of the country of registration of the trustor that is a Foreign legal entity or Foreign citizen, specified in accordance with the All-Russian Classifier of Countries of the World. In case the trustor is not a Foreign legal entity and f Foreign citizen, GGG is not indicated. FF is the identification (type) of the Clearing Member that is a trustee / management company in accordance with Appendix 2. |

5.4. If the Clearing Member's Client is a broker or a Foreign legal entity established in one of the states specified in subclauses 1 and 2 of clause 2 of Article 51.1. of Federal Law No. 39-FZ dated 22.04.1996 On the Securities Market, then the specified Clearing Member's Client shall have the Registration Codes of the Clearing Member's Client assigned to it according to the number of clients of such a broker (Foreign legal entity) in accordance with Clause 5 of these Instructions.

5.5. When assigning the Registration Code of the Clearing Member's Client, the CC undertakes to ensure the uniqueness and originality of the assigned value.

6. Procedure for assigning Registration Codes to Second-Tier Clients

6.1. The CC registers a Second-Tier Client by assigning the Registration Code of the Second-Tier Client to the specified Client in accordance with the requirements of these Instructions, Federal Law No. 7-FZ dated 07.02.2011 On Clearing, Clearing Activities and the Central Counterparty and the regulations adopted in accordance therewith.

6.2. At the time of submission of the application form for registration of clients (Second-Tier Clients) of the Clearing Member (CLIENTS messages) (the "Application Form") for registration of the Second-Tier Client, the Clearing Member's client that is a broker / Foreign broker / trustee / management company/Foreign trustee for such Second-Tier Client shall be registered by CC. Additionally, the completed documents for this the Clearing Member's client, for the purposes of identification of the Beneficiaries of Income and Intermediaries in Securities of Foreign Issuers (as defined in Article 46 of the Clearing Rules on the Financial Instruments Market of Credit Central Counterparty "SPB Clearing" (joint-stock company)) shall be submitted by the Clearing Member.

6.3. The Registration Code of the Second-Tier Client consists of:

- Registration Code of the Clearing Member;
- Underscore character "_";

- Identification details of the Second-Tier Client, assigned in accordance with Appendix 2 to these Instructions (EEEEEEEEEE);
- Underscore character "_";
- Second-Tier Client type - one to two characters, determined in accordance with Appendix 2 hereto (FF);
- Underscore character "_";
- Three-digit code of the country of registration of the Clearing Member's Client - a Foreign Broker or a Foreign Trustee, corresponding to the All-Russian Classifier of Countries of the World (GGG).

If the Second-Tier Client is an individual without citizenship, the Registration Code of this Second-Tier Client includes the three-digit numeric code "000".

If the Second-Tier Client is an international organisation, the Registration Code of this Second-Tier Client includes the three-digit numeric code "998".

If a Foreign broker/Foreign trustee, in accordance with the governing law, is prohibited from a cross-border transfer of information necessary for registering a second-tier client, a unique code assigned to a second-tier client by a Foreign broker/Foreign trustee is used.

Example of the Registration Code of the Second-Tier Client:

AAAAA_CCCCCCCCCC_EEEEEEEEE_FF_GGG

6.4. The Registration Code of the Second-Tier Client being the trustor contains the type of trustee, as well as the Identification Data of the Clearing Member's Client, assigned in accordance with Appendix 2 to these Instructions.

Example of the Registration Code of the Second-Tier Client:

AAAAA_CCCCCCCCCC_EEEEEEEEE_FF

6.5. The Registration Code of the Second-Tier Client being the trustor corresponds to the Registration Code of the Clearing Member's Client - securities trustee.

6.6. The Registration Codes of the Second-Tier Clients correspond to the Registration Code of the Clearing Member's Client who is a broker, trustee, Foreign Broker or Foreign Trustee, who in turn is the Clearing Member's Client.

7. Procedure for assigning the Short Code of the Clearing Member/Clearing Member's Client/Second-Tier Client

7.1. The Short Code of the Clearing Member consists of letters, numbers or combinations thereof, but of no more than 12 values and corresponds to the Clearing Member Identifier.

Example of the Short Code of the Clearing Member:

xxxxxxxxxxx, where xxxxxxxxxxx is 12 (twelve) characters.

7.2. The Short Code of the Clearing Member is assigned by the CC.

7.3. The Clearing Member is entitled to register additional Short Codes of the Clearing Member.

7.4. The Short Code of the Clearing Member's Client/Second-Tier Client consists of letters, numbers or their combinations, but of no more than 12 values.

Example of the Short Code of the Clearing Member's Client/Second-Tier Client:

xxxxxxxxxxx, where xxxxxxxxxxx consists of 12 (twelve) characters (letters, numbers, their combinations).

7.5. The Short Code of the Clearing Member's Client/Second-Tier Client is assigned by the Clearing Member upon registration of the Clearing Member's Client/Second-Tier Client.

7.6. The Clearing Member is entitled to register additional Short Codes of the Clearing Member's Client/Second-Tier Client.

8. Procedure for updating the Registration Code of the Clearing Member/Clearing Member's Client/Second-Tier Client in case of any change in details of the Clearing Member, Clearing Member's Client or Second-Tier Client

8.1. The CC updates the Registration Codes of the Clearing Members/Clearing Member's Clients/Second-

Tier Clients in case of changes in their information.

The CC updates:

- 1) Registration Codes of the Clearing Members on the basis of the application for updating the Registration Code of the Clearing Member, in the form of Appendix 3 to these Instructions;
- 2) Registration Codes of the Clearing Member's Clients/Second-Tier Clients on the basis of the application for client registration, indicating the value of the Transaction Type "U" in the form specified in Appendix 1 to these Instructions;

8.2. The Clearing Member is entitled to submit an application for updating the Registration Code only if its Identification Data is changed. Simultaneously with the said application, the Clearing Member undertakes to submit documents and (or) information confirming such changes.

8.3. The Clearing Member monitors on its own the relevance and reliability of the Identification Data of the Clearing Member, the Clearing Member's Client and (or) the Second-Tier Client. The CC is not responsible for the irrelevance and unreliability of the information provided by the Clearing Members.

8.4. If the CC was not provided with the up-to-date (modified) information and (or) the details of the Clearing Member, the Clearing Member's Clients and (or) Second-Tier Clients, the CC shall not be liable for the discrepancy between the Registration Code of the Clearing Member/Registration Code of the Clearing Member's Client/Registration Code of the Second-Tier Client and the up-to-date information.

8.5. The CC undertakes to update the Registration Code of the Clearing Member/Registration Code of the Member's Client/Registration Code of the Second-Tier Client no later than the next business day after receiving the relevant application from the Clearing Member, as specified in clause 8.1 hereof.

8.6. The Registration Code of the Clearing Member/Registration Code of the Clearing Member's Client/Registration Code of the Second-Tier Client shall be updated by making changes to the register of the Clearing Members, clients and Sub-Clients.

8.7. The CC undertakes to notify the Clearing Member of the updated Registration Code of the Clearing Member/Registration Code of the Clearing Member's Client/Registration Code of the Second-Tier Client not later than the business day following the date of making changes to the register of the Clearing Members, clients and Sub-Clients. The CC notifies the Clearing Member of the updated Registration Code of the Clearing Member at the address specified in the Questionnaire, or by sending a notification in the form of an Electronic Document with an Electronic Signature by sending report MFB82 Notification of Registered Codes/Short Codes of the Clearing Member's Clients and (or) the Clearing Member.

to the Instructions on the Procedure for Assigning Codes to (Updating Codes of) Clearing Members and their Clients of Central Counterparty "SPB Clearing" (Joint-Stock Company)

Form of the Application for Registration of the Clearing Member's Client

CLIENTS message

A maximum of 2,000 lines shall be allowed in a single CLIENTS message, not counting the message header. To be completed in relation to an individual Client, transmitted in a separate line after the header line (i.e. starting from the second line of the message), empty lines are not allowed. The format of the message is as follows:

| No. | Designation | Comments | Clearing Member's details * | MaxSize | M/O |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|---------|-----|
| 1 | Short code of the Client | Specified by the Clearing Member. Latin letters must be used, digits and "_" symbol (underscore) are allowed. | | C12 | M |
| 2 | Transaction type | A – Client registration D - deleting a Client U - editing the Client's data | | C1 | M |
| 3 | Client Identification | Client type | | C3 | M |
| 4 | Client identification data | Client identification data | | C64 | M |
| 5 | Client country code | To be filled in according to the All-Russian Classifier of Countries of the World (3 digital characters). For Russian legal entities and citizens of the Russian Federation, this field is filled in with a dash (0x2D) or an empty line. For stateless persons - the constant "000". | | C3 | O |
| 6 | Reserve field | | | C16 | O |
| 7 | Reserve field | | | W28 | O |
| 8 | Reserve field | | | C6 | O |
| 9 | Reserve field | | | W19 | O |
| 10 | Reserve field | | | W23 | O |
| 11 | A note that it is allowed to conclude agreements with the participation of the Central Counterparty on the basis of applications submitted at the expense of the same Client ¹ . | Text constant (with quotes) "РАЗРЕШИТЬ КРОСС-СДЕЛКИ" | | W24 | O |
| 12 | An IIA agreement was concluded with the Client (30 alphabetic characters) ² | A note of an individual investment account agreement concluded with the Client shall be the phrase "ЗАКЛЮЧЕН ДОГОВОР О ВЕДЕНИИ ИИС" inserted in this field. | | W32 | O |
| 13 | Full name of an individual client or full name of a legal entity client | Full name or full company name of the client shall be indicated for the purposes of the report on OTC REPO transactions and OTC derivatives transactions for the Repository. For clients with types | | W512 | O |

| | | | | | |
|--|--|-----------------------------------------------------------------------------------------------------------------|--|--|--|
| | | 1L, 11, 12, 13, 14, 16, 17, 2L, 21, 22, 23, 25, 26, 27, 30, this field indicates the name of the Client-Broker. | | | |
|--|--|-----------------------------------------------------------------------------------------------------------------|--|--|--|

* fill in for application form in Microsoft Word

For types 9, 9A, 1L, 11, 12, 13, 14, 16, 17, 2L, 21, 22, 23, 25, 26, 27, 30 at the time of submission of the application form for registration of the Second-tier client, the Clearing Member's client that is a broker / Foreign broker / trustee/ Foreign trustee/ management company for such client shall be registered. Additionally, the completed documents for this Clearing Member's client shall be submitted by the Clearing Member for the purposes of identification of the Beneficiaries of Income and Intermediaries in Securities of Foreign Issuers (as defined in Article 46 of the Clearing Rules).

In case of registration of the additional Client's Short Code, trading operations with such Client Short Code indicated will be allowed from the next trading day.

¹ - Regardless of whether the field is filled in, the permission shall be valid to conclude contracts with the participation of the Central Counterparty on the basis of applications submitted at the expense of the same Client. This permission shall be valid until the end of the trading day, on which the Clearing Member's Client has been registered.

² – to be filled in by Clearing Member - Russian legal entity only for individual citizens of the Russian Federation.

ANSWER_CLIENTS message

The message is sent in response to a CLIENTS message. Each processing result in the message is transmitted in a separate line after the header lines (i.e. starting from the third line of the message), blank lines are not allowed. The format of the line with the response to the message is as follows:

| No. | Designation | Comments | MaxSize | M/O |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|---------|-----|
| 1 | Short code of the Client | From the message being replied to | C12 | M |
| 2 | Transaction type | From the message being replied to | C1 | M |
| 3 | Client identification | From the message being replied to | C3 | M |
| 4 | Client identification data | From the message being replied to | C64 | M |
| 5 | Client country code | From the message being replied to | C3 | O |
| 6 | Reserve field | From the message being replied to | - | O |
| 7 | Reserve field | From the message being replied to | W26 | O |
| 8 | Reserve field | From the message being replied to | C6 | O |
| 9 | Reserve field | From the message being replied to | W19 | O |
| 10 | Reserve field | From the message being replied to | W23 | O |
| 11 | A note that it is allowed to conclude agreements with the participation of the Central Counterparty on the basis of applications submitted at the expense of the same Client | From the message being replied to | W24 | O |
| 12 | An IIA agreement was concluded with the Client (30 alphabetic characters) | From the message being replied to | W32 | O |
| 13 | Processing result number | List of codes of processing results, delimiter character ";" | C32 | M |
| 14 | Description of the processing result | List of descriptions of processing results, delimiter character ";" | W255 | O |
| 15 | Registration code assigned to the Client specified in the line of the original document in accordance with the legislation of the Russian Federation | To be specified only for a successful transaction of adding or changing a Client | W64 | O |
| 16 | Full name of an individual client or full name of a legal entity client | From the message being replied to | W512 | O |

CLIENT_ONLINE message

The message may be transmitted only for the registration of one Client on the basis of a previously booked Short Code of the Client. The message line format is as follows:

| No. | Designation | Comments | Clearing Member Details* | MaxSize | M/O |
|-----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|---------|-----|
| 1 | Short Code of the Client | To be specified by the Clearing Member. Latin letters must be used, digits and "_" symbol (underscore) are allowed. | | C12 | M |
| 2 | Transaction type | "K" - registration of the Client on the basis of the previously booked Short Code | | C1 | M |
| 3 | Client Identification | Client type | | C3 | M |
| 4 | Client's Identification Data | Client identification data | | C64 | M |
| 5 | Client's Country Code | To be filled in according to the All-Russian Classifier of Countries of the World (3 digital characters). For Russian legal entities and citizens, this field is filled in with a dash (0x2D) or an empty line. For individuals without citizenship - the constant "000" | | C3 | O |
| 6 | Reserve field | | | C16 | O |
| 7 | Reserve field | | | W28 | O |
| 8 | Reserve field | | | C6 | O |
| 9 | Reserve field | | | W19 | O |
| 10 | Reserve field | | | W23 | O |
| 11 | A note that it is allowed to conclude agreements with the participation of the Central Counterparty on the basis of applications submitted at the expense of the same Client ¹ | Text constant (with quotes) "РАЗРЕШИТЬ КРОСС-СДЕЛКИ" | | W24 | O |
| 12 | An IIA agreement was concluded with the Client (30 alphabetic characters) ² | A note of the agreement concluded with the Client for maintaining an individual investment account shall be the phrase "ЗАКЛЮЧЕН ДОГОВОР О ВЕДЕНИИ ИИС" in this field. | | W32 | O |
| 13 | Full name of an individual client or full company name of a legal entity client | Full name or full company name of the client to be indicated for the purposes of the report on OTC REPO transactions and OTC derivatives transactions for the Repository. For clients with types 1L, 11, 12, 13, 14, 16, 17, 2L, 21, 22, 23, 25, 26, 27, 30, this field indicates the name of the Client-Broker. | | W512 | O |

* fill in for application form in Microsoft Word

Activation based on a message is only available to Client with previously booked Client Short Code. Change of Client identification data (operation type = U) via CLIENT_ONLINE message is not allowed. Deletion of a Client (operation type=D) via CLIENT_ONLINE message is not allowed.

For types 9, 9A, 1L, 11, 12, 13, 14, 16, 17, 2L, 21, 22, 23, 25, 26, 27, 30 at the time of submission of the Applications for activation of a previously booked of Client Short Code, the client that is a broker / Foreign broker / trustee/ Foreign trustee/ management company for such Client of a client of a Clearing Member shall be registered. Additionally, the completed documents for this client shall be submitted by the Clearing Member for the purposes of identification of the Beneficiaries of Income and Intermediaries in Securities of Foreign Issuers (as defined in Article 46 of the Clearing Rules).

In case of registration of the additional Client's Short Code, trading operations with such Client Short Code indicated will be allowed from the next Trading day.

¹ Regardless of the field being filled in, execution of agreements with the participation of Central counterparty based on orders submitted at the expense of the same Client is allowed. This permit remains valid till the end of the Trading day, when the Client of the Clearing Member was registered.

² - filled in by Clearing Members, that are Russian entities, only for individuals, who are citizens of the RF.

ANSWER_CLIENT_ONLINE message

The message is sent in response to a CLIENT_ONLINE message. The processing result is transmitted in a separate line after the header lines (i.e., in the third line of the message). The format of the line with the response to the message is as follows:

| No. | Designation | Comments | MaxSize | M/O |
|-----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|---------|-----|
| 1 | Short Code of the Client | From the message being replied to | C12 | M |
| 2 | Transaction type | From the message being replied to | C1 | M |
| 3 | Client Identification | From the message being replied to | C3 | M |
| 4 | Client's Identification Data | From the message being replied to | C64 | M |
| 5 | Client's Country Code | From the message being replied to | C3 | O |
| 6 | Reserve field | From the message being replied to | C16 | O |
| 7 | Reserve field | From the message being replied to | W26 | O |
| 8 | Reserve field | | C6 | O |
| 9 | Reserve field | | W19 | O |
| 10 | Reserve field | | W23 | O |
| 11 | A note that it is allowed to conclude agreements with the participation of the Central Counterparty on the basis of applications submitted at the expense of the same Client ³ | From the message being replied to | W24 | O |
| 12 | An IIA agreement was concluded with the Client (30 alphabetic characters) | From the message being replied to | W32 | O |
| 13 | Processing result number | List of processing result codes, delimiter character ";" | C32 | M |
| 14 | Description of the processing result | List of descriptions of processing results, delimiter character ";" | w512 | O |
| 15 | Registration code assigned to the Client indicated in the line of the original document | To be indicated only for a successful transaction | W64 | O |
| 16 | Full name of the client that is an individual or legal entity | From the message being replied to | W512 | O |

Format of messages provided for the registration of the Clearing Member's Clients and Second-Tier Clients

Text messages are used for the exchanging:

- File extension: *.txt
- Encoding: win-1251
- Each line starts with the first character
- Field delimiter in lines: tab character (0x09)
- The number of delimiters in a line shall strictly comply with the specification
- Line delimiter: combination of characters <CR>+<LF> and (0x0A,0x0D)
- A feature of the end of the message is an empty line, while the number of lines is also indicated in the message header.

The first line of the statement message contains a header; the remaining lines contain the statements themselves. The first two lines of the response message contain the header:

- first line – response message details;
- second line - a copy of the first line from the message to which the response is given, plus two fields with the processing results.

The rest of the lines contain statements from the original message, supplemented with the results of their processing.

If critical errors are detected during the processing of the message header with statements, then the response messages shall not include the statements from the body of the message being responded to.

Symbols in the specification

- c<x> – allowed characters for the standard message encoding (Cyrillic is not included) with a maximum length of X
- w<x> - allowed characters for the standard message encoding (including Cyrillic) with a maximum length of X
- int is an integer
- n<X>.<Y> – real number with X places to the left and Y places to the right of the decimal point
- underscore – fixed length
- The M/O column contains the following symbols: 000
 - M (mandatory) is a mandatory field (an empty line is not allowed)
 - O (optional) is an optional field (an empty line or "-" character is allowed)

The messages described in this Specification may be in Microsoft Word format.

Message header format

The first line of the incoming message contains the following header fields:

| No. | Designation | Comments | MaxSize | M/O |
|-----|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|-----|
| 1 | Application date | DD.MM.YY (dot delimiter), where DD is a day, MM is a month, YY is a year | c8 | M |
| 2 | Message number | up to 12 uppercase Latin letters or numbers (no spaces). The number must be unique for this type of a document submitted by the Clearing Member on the current date. | c12 | M |
| 3 | Sender identifier | DES (Document Exchange System) Code of the Clearing Member | c7 | M |
| 4 | Recipient identifier | Recipient's DES code: MFBIK –CC "SPB Clearing" (JSC) | c7 | M |
| 5 | Document type | Document type code | c30 | M |
| 6 | Number of lines with statements | Checksum, header line is not taken into account. | Int | M |

The first line of the response message contains the following header fields:

| No. | Designation | Comments | MaxSize | M/O |
|-----|---------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|-----|
| 1 | Application date | DD.MM.YY (dot delimiter), where DD is a day, MM is a month, YY is a year | c8 | M |
| 2 | Message number | up to 12 uppercase Latin letters or numbers (no spaces) | c12 | M |
| 3 | Sender identifier | Recipient's DES code: MFBIK – CC "SPB Clearing" (JSC) | c7 | M |
| 4 | Recipient identifier | DES Code of the Clearing Member | c7 | M |
| 5 | Document type | ANSWER_ + type code of the document being replied to | c30 | M |
| 6 | Number of lines with statements | Checksum, two lines with a header are not taken into account. If any errors have been detected at the stage of processing the incoming message header, then this field shall always be 0. | Int | M |
| 7 | Number of lines with statements processed in a correct manner | Checksum, two lines with a header are not taken into account. If any errors have been detected at the stage of processing the incoming message header, then this field shall always be 0. | Int | M |

The second line of the response message contains the following header fields:

| No. | Designation | Comments | MaxSize | M/O |
|-----|----------------------------------------------------|----------------------------------------------------------------------------|---------|-----|
| 1 | Application date | From the message being replied to | c8 | M |
| 2 | Message number | From the message being replied to | c12 | M |
| 3 | Sender identifier | From the message being replied to | c7 | M |
| 4 | Recipient identifier | From the message being replied to | c7 | M |
| 5 | Document type | From the message being replied to | c30 | M |
| 6 | Number of lines with statements | From the message being replied to | int | M |
| 7 | Code of the processing result of the whole message | Codes of the header processing errors, delimiter character ";" (semicolon) | c32 | O |
| 8 | Text of the processing result of the whole message | Texts of the header processing errors, delimiter character ";" (semicolon) | w512 | O |

The subsequent lines of the response message contain lines with the body from the initial statement, with the processing result for each line.

| No. | Designation | Comments | MaxSize | M/O |
|-----|-------------------------------|-----------------------------------------------------------------------------|---------|-----|
| | Processing result number | List of processing result codes, delimiter character ";" (semicolon) | c32 | O |
| | Processing result description | List of processing result descriptions, delimiter character ";" (semicolon) | w512 | O |

to the Instruction on the Procedure for Assigning Codes to (Updating Codes of) Clearing Members and their Clients of Central Counterparty "SPB Clearing" (Joint-Stock Company)

Identification Data of the Clearing Member's Client/Second-Tier Client:

| Type of the Clearing Member's Client/Second-Tier Client (2 characters max.) | Identification Data of the Clearing Member's Client/Second-Tier Client | Country Code of the Clearing Member's Client | Note |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| Field 3* | Field 4* | Field 5* | |
| 0L – The Client is an individual without citizenship. | Details of the identity document of an individual without citizenship in the Russian Federation ^{(6) (14)} | 000 | applies to clients - individuals without citizenship |
| 1 – The Client is a Russian legal entity. | Client's INN " _ " BIC of the client (for a credit institution) | - | applies to clients - Russian legal entities |
| 3 - The Client is a citizen of the Russian Federation who has reached the age from which a civil passport is issued. | Series and number of a civil passport ^{(6) (9)} | - | applies to clients - RF citizens |
| 4 - The Client is a citizen of the Russian Federation who has not reached the age from which a civil passport is issued (who uses a birth certificate). | Series and number of a birth certificate of a citizen of the Russian Federation ^{(6) (9) (10)} | - | applies to clients - RF citizens |
| 5 –The Client is a citizen of the Russian Federation who has reached the age from which a civil passport is issued, and who is using a foreign passport of a citizen of the Russian Federation for registration (only for Clearing Members being Foreign legal entities). | Series and number of a foreign passport of a citizen of the Russian Federation ⁽⁶⁾ | - | applies to clients - RF citizens, using a Foreign passport of an RF citizen (only for Clearing Members – Foreign legal entities) |
| 6 – The Client is a Foreign legal entity that has a INN. | Client's INN "/" Additional Client Identifier "/" BIC (if any) or SWIFT of the client (if there is no BIC) (for banks) ⁽⁴⁾ | Code of the client's country of registration | applies to clients - Foreign legal entities |
| 7 – The Client is a Foreign legal entity that does not have a INN. | Client's KIO, the first three characters of which are "KIO", or Additional Client Identifier (if there is no KIO) "/" BIC (if any) or SWIFT of the client (if there is no BIC) (for banks) ⁽⁴⁾ | Code of the client's country of registration | applies to clients - Foreign legal entities |
| 7A - The Client is a Foreign citizen. | Details of the identity document of a Foreign citizen ⁽⁶⁾ | Code of the client's country of registration | applies to clients - Foreign citizens |
| 8 ⁽¹³⁾ – The Clearing Member-Trustee or a management company of an investment fund, mutual investment fund and non-state pension fund, carrying out trust management of property (property complex), other than specified in paragraphs six through nine of clause 1.2. of Regulations of the Bank of Russia No. 437-P dated 10/17/2014 On | Code of the Client that is a Trustor ^{(1) (6) (14)} | - | applies to clearing members - Russian legal entities |

| | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|------------------------------------------------------------------|
| Organized Trading Activities, who conclude agreements in the interests of clients (trustors). | | | |
| 8A ⁽¹³⁾ The Clearing Member is a trustee who enters into agreements in the interests of a group of trustors in the event of pooling of securities/funds transferred to trust management in accordance with the Civil Code of the Russian Federation. | Codes of the Clients that are Trustors - through the delimiter "I" ^{(1) (6) (8) (14)} | - | applies to clearing members - Russian legal entities |
| 9 ⁽¹³⁾ – The Client-Trustee or a management company of an investment fund, mutual investment fund and non-state pension fund, carrying out trust management of property (property complex), other than specified in paragraphs six through nine of clause 1.2. of Regulations of the Bank of Russia No. 437-P dated 10/17/2014 On Organized Trading Activities, who conclude agreements in the interests of the client-trustor. | INN of the Client that is a Trustee "/" code of the Client that is a Trustor ^{(1) (6) (7) (14)} | - | applies to clients - Russian legal entities |
| 9A ⁽¹³⁾ – The Client - Trustee for a group of trustors in the event of pooling of securities/funds transferred to trust management in accordance with the Civil Code of the Russian Federation | INN of the Client that is a Trustee "/" codes of the Clients that are Trustors - through the delimiter "I" ^{(1) (6) (8) (7) (14)} | - | applies to clients - Russian legal entities |
| 1L – The Client - Broker acting in the interests of the client who is an individual without citizenship. | Broker's INN "/" details of the identity document of an individual without citizenship in the Russian Federation ^{(6) (7) (14)} | - | applies to second-tier clients – individuals without citizenship |
| 11 - The Client - Broker acting in the interests of the client being a Russian legal entity. | Broker's INN "/" INN of the broker's client "_ " BIC of the broker's client (for a credit institution) ⁽⁷⁾ | - | applies to second-tier clients – Russian legal entities |
| 12 – The Client - Broker acting in the interests of the client being a Foreign citizen | Broker's INN "/" details of the identification document of a Foreign citizen "/" Code of the country of registration of the broker's client ^{(6) (7)} | - | applies to second-tier clients – Foreign citizens |
| 13 - The Client - Broker acting in the interests of the client being a citizen of the Russian Federation, who has reached the age, from which a civil passport is issued | Broker's INN "/" Series and number of the civil passport of the broker's client ^{(6) (7) (9)} | - | applies to second-tier clients – RF citizens |
| 14 - The Client - Broker acting in the interests of the client being a citizen of the Russian Federation, who has not reached the age from which a civil passport is issued (who uses a birth certificate). | Broker's INN "/" Series and number of the birth certificate of a citizen of the Russian Federation ^{(6) (7) (10)} | - | applies to second-tier clients – RF citizens |
| 16 – The Client - Broker acting in the interests of the client being a Foreign legal entity that has a INN. | Broker's INN "/" INN of the broker's client "/" Additional Identifier of the broker's client "/" BIC or SWIFT of the broker's client (for banks) "/" Code of the country of registration of the broker's client ^{(4) (7)} | - | applies to second-tier clients – Foreign legal entities |
| 17 - The Client - Broker acting in the interests of the client being a Foreign legal entity that does not have a INN | Broker's INN "/" KIO of the broker's client, the first three characters of which are "KIO", or Additional Identifier of the broker's client (if there is no KIO) "/" BIC or SWIFT of the broker's client (for banks) "/" Code of the country of registration of the broker's client ^{(4) (7)} | - | applies to second-tier clients – Foreign legal entities |

| | | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|
| 2L – The Client - Foreign Broker acting in the interests of the client being an individual without citizenship | Foreign Broker Identifier "/" details of the identity document of an individual without citizenship in the Russian Federation ^{(5) (6) (7) (14)} | Code of the Foreign broker's country of registration | applies to second-tier clients – individuals without citizenship |
| 21 - The Client - Foreign Broker acting in the interests of the client being a Russian legal entity. | Foreign Broker Identifier "/" INN of the broker's client " _ " BIC of the broker's client (for a credit institution) ^{(5) (7)} | Code of the Foreign broker's country of registration | applies to second-tier clients – Russian legal entities |
| 22 - The Client - Foreign Broker acting in the interests of the client being a Foreign citizen | Foreign Broker Identifier "/" Details of the identity document of a Foreign citizen "/" Code of the country of registration of the Client-Broker ^{(5) (6) (7)} | Code of the Foreign broker's country of registration | applies to second-tier clients – Foreign citizens |
| 23 - The Client-Foreign Broker acting in the interests of the client being a citizen of the Russian Federation who has reached the age from which a civil passport is issued. | Foreign Broker Identifier "/" Series and number of a civil passport ^{(5) (6) (7) (9)} | Code of the Foreign broker's country of registration | applies to second-tier clients – RF citizens |
| 25 – The Client - Foreign Broker acting in the interests of the client being a citizen of the Russian Federation, who has reached the age from which a civil passport is issued, and uses a foreign passport of a citizen of the Russian Federation for registration (only for the Clearing Members being Foreign legal entities) | Foreign broker's identifier "/" Series and number of a foreign passport of an RF citizen ^{(5) (6) (7)} | Code of the Foreign broker's country of registration | applies to second-tier clients – RF citizens, using a foreign passport of an RF citizen (only for Clearing Members – Foreign legal entities) |
| 26 - The Client - Foreign Broker acting in the interests of the client being a foreign legal entity that has a INN | Foreign broker's identifier «/» Client's INN «/» Additional Client Identifier «/» BIC or SWIFT of the client (for banks) «/» Code of the country of registration of the broker's client ^{(4) (5) (7)} | Code of the Foreign broker's country of registration | applies to second-tier clients – Foreign legal entities |
| 27 – Client that is a foreign broker acting in the interests of the client being a Foreign legal entity that does not have a INN | Foreign broker's identifier "/" Client's KIO, the first three characters of which are "KIO", or Additional Client Identifier (in the absence of KIO) "/" BIC or SWIFT of the client (for banks) "/" Code of the country of registration of the broker's client ^{(4) (5) (7)} | Code of the Foreign broker's country of registration | applies to second-tier clients – Foreign legal entities |
| 30 – The Client - Foreign Trustee, acting in the interests of its clients | Foreign Trustee Identifier "/" Client Type "/" Client Identification Data "/" Code of the client's country of registration (for Foreign legal entities and individuals) ^{(1) (6) (7) (9) (17)} | Code of the Foreign trustee's country of registration | applies to all types of second-tier clients |

(1) The Code of the Client - Trustor or the Identification Data of the client of a Foreign trustee shall be specified in the format yy/xxxxxxxxx/zzz, where:

yy is the definition of the type of trustor, in accordance with the formats of "Field 3" (no more than two characters). Possible values: 0L, 1, 3, 4, 6, 7, 7A;

xxxxxxxxx is a sequence of characters identifying the trustor or the client-Foreign trustee, indicated in accordance with the formats of "Field 4" of client types 0L, 1, 3, 4, 6, 7, 7A (the length and format depend on the type).

zzz – for trustors - Foreign legal entities and Foreign citizens (types 6, 7 and 7A), a three-digit code of the country of the trustor is indicated in accordance with the All-Russian

Classifier of Countries of the World. For a trustor with type 0L, "000" shall be indicated.

(4) One of the following parameters shall be used as the Additional Identifier of the Client-Foreign Legal Entity (Types 6, 7, 16, 17, 26, 27, 30):

- *Tax Identification Number, the first three characters of which are "TIN";*
- *Registration number in the country of registration, the first three characters of which are "REG" (if there is no TIN);*
- *Legal Entity Identifier, the first three characters of which are "LEI" (if there is no TIN or registration number);*
- *a unique code, the first three characters of which are "000" (if there is no TIN, registration number or LEI).*

For types 16, 17, 26, 27, 30, in the absence of BIC and SWIFT, "/" is indicated after the Additional Identifier of the broker's client. When specifying the SWIFT of a foreign bank, the first five characters "SWIFT" are used.

(5) The Foreign Broker Identifier (Types 2L-27) is one of the following:

- *Code of the foreign entity (KIO), the first three characters of which are "KIO";*
- *Tax Identification Number, the first three characters of which are "TIN" (in the absence of a KIO);*
- *Registration number in the country of registration, the first three characters of which are "REG" (in the absence of KIO and TIN);*
- *Legal Entity Identifier, the first three characters of which are "LEI" (if there is no KIO, TIN or registration number);*
- *a unique code, the first three characters of which are "000" (if there is no KIO, TIN, registration number or LEI).*

(6) If the Client (Types 0L, 3, 4, 5, 7A, 8, 8A, 9, 9A, 1L, 12, 13, 14, 2L, 22, 23, 25, 30) is a person who has not reached the age, from which a civil passport is issued, who is incapacitated or partially incapacitated, then the code of such a Client shall be followed through a "/" sign by the series and number of the civil passport of a citizen of the Russian Federation or the details of the identity document of a Foreign citizen who is the legal representative of such a Client. If the legal representative is a Foreign citizen, then the details of the identity document of the legal representative being a Foreign citizen shall be followed through a "/" sign by a three-digit country code of the legal representative of the Client in accordance with the All-Russian Classifier of Countries of the World.

For types 5 and 25, a foreign passport of a citizen of the Russian Federation is indicated.

For types 0L, 1L, 2L, "000" is specified as the country code.

For types 22 and 30, in the event that a Foreign broker/Foreign trustee, in accordance with the governing law, is prohibited from cross-border transfer of information necessary for registering a second-tier client, a unique code assigned to a second-tier client by a Foreign broker/Foreign trustee is used, which shall contain no more than 20 characters.

(7) For types 9 - 9A, as well as 1L-30, the identification data of the broker/Foreign Broker/trustee (management company)/Foreign Trustee shall not match with the identification data of the Clearing Member.

(8) When registering a trustee (Client-Trustee), who concludes agreements in the interests of a group of trustors, the codes of all trustors shall be indicated through a delimiter "|".

(9) The series and number of the passport of a RF citizen shall be indicated in the following format: the first 2 digits of the passport series, a space, the next 2 digits of the passport series, a space, and the passport number.

(10) The series and number of a birth certificate of an RF citizen shall be indicated in the following format: Latin characters (from one to six), a space, two Cyrillic characters, a space, six digits.

(11) When changing the identification data of the Client (transaction type = U), it is necessary to fill in all the fields of the application, entering in them the updated data that will be used for this Client in the future. When deleting a Client (transaction type = D), only the short code of the Client and the transaction type shall be specified (other fields to be left blank).

(13) For types 8-9A, the client type is a unique sequence that unambiguously indicates that the Clearing Member or the Clearing Member's Client is acting as a trustee.

(14) Codes of Clients - Individuals using an identity document of an individual without

citizenship are indicated in the following format: a sequence of no more than 20 characters identifying the identity document).

(16) A note that the Clearing Member/The Clearing Member's Client has entered into an agreement with the Client being registered for maintaining an individual investment account may be specified for types 8, 8A, 9, 9A if the trustor is an individual corresponding to 0L, 3, 4, 7A client types.

(17) One of the following parameters is used as the Foreign Trustee Identifier (Types 30):

- *Code of a foreign entity (KIO), the first three characters of which are "KIO";*
- *Tax Identification Number, the first three characters of which are "TIN" (if there is no KIO);*
- *Registration number in the country of registration, the first three characters of which are "REG" (if there is no KIO and TIN);*
- *Legal Entity Identifier, the first three characters of which are "LEI" (in the absence of KIO, TIN and registration number);*
- *a unique code, the first three characters of which are "000" (in the absence of a KIO, TIN, registration number and LEI).*

Type 30 is used for 0L -7A type clients of a Foreign trustee.

to the Instructions on the Procedure for Assigning Codes to (Updating Code of) Clearing Members and their Clients of Central Counterparty "SPB Clearing" (Joint-Stock Company)

_____, 20____

To: CC "SPB Clearing" (JSC)

Application for Updating the Registration Code of the Clearing Member

We hereby kindly request you to update the Registration Code of the Clearing Member in accordance with the established procedure

full name of the entity, its organizational and legal form, Clearing Member Identifier

due to changes in the following Identification Data of the Clearing Member:

| No. | Current Identification Data | New Identification Data |
|-----|-----------------------------|-------------------------|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |

We hereby also confirm the completeness and reliability of all information and documents submitted for the purpose of updating the Registration Code of the Clearing Member in accordance with the internal documents of Central Counterparty "SPB Clearing" (Joint-Stock Company).

position

signature / *full name*

L.S.

To be filled in by the Clearing Centre

Document Ref. No. _____ received on _____._____, 20____
 Signature _____/_____