FOR A FOREIGN LEGAL ENTITY
- POTENTIAL CLEARING MEMBER

Concerning the Set of Documents to be Submitted by an Applicant Being a Foreign Legal Entity for Access to SPIMEX Clearing Services

To obtain access to clearing services of SPIMEX (hereinafter referred to as the Exchange), the Applicant shall:

1	**Submit to the Exchange a set of constituent documents of the organization and completed forms, and undergo identification to ensure compliance with the requirements specified for a Clearing Member**
2	**Execute Agreements with the Exchange**
3	**Issue a digital signature key certificate (optional)**

The access procedures and methods for submitting documents are determined by:

The Clearing Rules of The Saint-Petersburg International Mercantile Exchange *(link to the document in foreign language)*

The Regulations on Provision of Documents for Access to Clearing Services of The Saint Petersburg International Mercantile Exchange *(link to the document in foreign language)*

Important!

The set of documents varies depending on the country of registration of the Applicant being a foreign legal entity.

To undergo the accreditation procedure, it is necessary to hold a settlement rouble account with a Russian bank (head office or branch), as all settlements are conducted in Roubles.

Prior to preparing the set of documents, a request should be sent to the Exchange at clients@spimex.com to obtain information on the documents required to undergo identification:

- on the list of documents;
- on specific formatting requirements;
- on legalization and certification requirements.

An indicative list of documents to be submitted by an Applicant being a foreign legal entity for access to clearing services on the Exchange is provided below.

Documents prepared in a foreign language must be submitted to the Exchange with a duly certified translation into Russian.

Documents issued, drafted, or certified under foreign law by competent authorities of a foreign state outside the Russian Federation in respect of a foreign entity shall be accepted by the Exchange subject to **legalization**, unless **otherwise*** provided by an international convention, an international treaty of the Russian Federation, or a federal law.

* subject to **a notarized translation.**

The 1993 Minsk Convention on Legal Assistance and Legal Relations in Civil, Family and Criminal Matters. To use documents issued within the territories of the member states of the Minsk Convention, it is required to provide a notarized translation thereof pursuant to Article 13 (Validity of Documents) and Article 17 (Language).

* subject to **apostilization**.

The Hague Convention of 5 October 1961 abolishes the requirement of legalization for foreign official documents. To use documents issued within the territories of the member states of the Hague Convention, an apostille is required.

The set of documents shall be submitted to SPIMEX

in the form of documents or certified document copies executed in hard copy and sent to the Exchange's Moscow office via postal mail or courier service.

Prior to sending the set of documents in hard copy, the prepared documents (completed forms and constituent documents, duly certified and translated into Russian) shall be submitted for review to clients@spimex.com.

Upon review and adjustment, the set of documents shall be sent in hard copy via postal mail or courier service to the Moscow office of the Exchange (at the address: 24 Timura Frunze St., Moscow 119021, SPIMEX, Customer Services).

List of documents* to be submitted by an Applicant being a foreign legal entity for access to clearing services of the Exchange

No.	Document	Certification and legalization requirements
1	**Documents of a foreign legal entity**	
1.1	Identity document	Documents certified under foreign law outside the Russian Federation shall be accepted subject to the appropriate certification or legalization: • **subject to a notarized translation**: pursuant to the 1993 Minsk Convention on Legal Assistance and Legal Relations in Civil, Family and Criminal Matters, to use documents issued within the territories of the member states of the Minsk Convention, a notarized translation thereof shall be required pursuant to Article 13 (Validity of Documents) and Article 17 (Language); • **subject to apostilization**: The Hague Convention of 5 October 1961 abolishes the requirement of legalization for foreign official documents. Documents issued within the territories of the member states of the Convention shall be subject to apostilization. • **subject to consular legalization** (in the event that the company does not meet the criteria specified above).
1.2	Constituent documents	
1.3	Extract from the commercial, banking, or other state register of legal entities of the country of origin of the foreign legal entity	
1.4	A document confirming the authority of a person to perform legal actions on behalf of the foreign legal entity; a power of attorney of a person authorized to act on behalf of the legal entity	
1.5	A document confirming the election (appointment) to the position of the person entitled to act on behalf of the legal entity without a power of attorney (an order, a founders' resolution, a resolution of the general meeting of shareholders or participants, a resolution of another governing authority, etc.)	
1.6	A document confirming the tax registration of the foreign legal entity in its country of origin (a confirmation of the legal entity's non-resident status, a certificate of legal capacity / legal status of the company, etc. If registered for tax purposes in the Russian Federation, a Certificate of Registration of a Foreign Organization with the Tax Authority shall be provided	If registered for tax purposes in the Russian Federation, a notarized copy of the Certificate of Registration of a Foreign Organization with the Tax Authority shall be provided

No.	Document	Document execution specifics	Certification and legalization requirements
2	**Forms established by the Regulations on Provision of Documents for Access to Clearing Services**		
2.1	Questionnaire >> link to the form	To be completed in accordance with the organization's documents, indicating the completion date	Submitted in the original, certified by the organization’s seal and the signature of its authorized person

No.	Document	Document execution specifics	Certification and legalization requirements
2.2	Questionnaire for Electronic Interaction System >> link to the form	To be completed in accordance with the organization's documents, indicating the completion date	Submitted in the original, certified by the organization’s seal and the signature of its authorized person
2.3	Consent to personal data processing (Form A-04) >> link to the form	To be completed in accordance with passport data, indicating the completion date	Provided in the original for the sole executive body of the organization and for the organization's representative, if a power of attorney has been submitted to the Exchange
2.4	Agreement on Provision of Clearing Services >> link to the form	The Exchange shall assign the number and date of the Agreement. The Applicant shall complete the preamble and corporate details. The date should only be filled in under the corporate details.	Provided in original in 2 (two) copies for each of the parties.
2.5	Agreement on Accession to the Rules of Electronic Interaction System>> link to the form	The Exchange shall assign the number and date of the Agreement. The Applicant shall complete the preamble and corporate details. The date should only be filled in under the corporate details.	Provided in original in 2 (two) copies for each of the parties.
2.6	Notice of the Clearing Member Account, Form A-05 >> link to the form	The notice must specify the settlement account and the Bank's details. The Rouble settlement account must be opened with a Russian bank (head office or branch).	Submitted in the original, certified by the organization’s seal and the signature of its authorized person. A bank's certificate of the details of the opened account can be additionally attached.
2.7	Information Sheet >> link to the form	To be completed strictly in accordance with the constituent documents and notes specified in the document	Submitted in the original, certified by the organization’s seal and the signature of its authorized person

No.	Document	Document execution specifics	Certification and legalization requirements
2.8	Self-Certification Questionnaire FATCA-CRS >> link to the form	To be completed strictly in accordance with the constituent documents and notes specified in the document	Submitted in the original, certified by the organization's seal and the signature of its authorized person
2.9	Self-Certification Form >> link to the form	To be completed strictly in accordance with the constituent documents and notes specified in the document	Submitted in the original, certified by the organization's seal and the signature of its authorized person
2.10	*Statement of Circumstances >>* ***Only for Applicants from the PRC and the Hong Kong SAR:*** *link to the form*	*Submitted in the original to confirm the availability of approvals and permits (licenses, certificates, etc., required pursuant to enactments) for the import into the country of commodities purchased at SPIMEX organized trading.*	

*Please note that this list is for reference purposes only and may be non-exhaustive. For up-to-date information, please contact the Customer Services Department (clients@spimex.com).