

APPROVED

By resolution of the Exchange Board of
Limited Liability Company
“UKRAINIAN RESOURCE EXCHANGE”

Minutes No. 9 _dated October 12, 2023

REGULATIONS
to acquire the status of a member of the commodity exchange,
Limited Liability Company
“UKRAINIAN RESOURCE EXCHANGE”

1. General provisions

1.1. The Regulations to acquire the status of a Member of the Commodity Exchange, Limited Liability Company “Ukrainian Resource Exchange” (hereinafter referred to as the Regulations) have been developed in accordance with the Laws of Ukraine on Capital Markets and Organized Commodity Markets, on Commodity Exchanges, on Prevention and Counteraction to Legalization (Laundering) of Proceeds from Crime, on Terrorist Financing and Financing of the Proliferation of the Mass Destruction Weapons, other regulations governing the organization of trade in products on commodity exchanges, Rules of the Limited Liability Company "Ukrainian Resource Exchange" (hereinafter referred to as the Exchange Rules) and other internal documents of the Limited Liability Company “Ukrainian Resource Exchange” (hereinafter referred to as the Exchange).

1.2. The Regulations describe the terms and conditions to acquire the status of an Exchange member, the requirements for documents to be submitted to acquire the Exchange membership, the procedure for making a decision on granting the status of an Exchange member, the procedure for registering clients of Exchange members on the Exchange.

1.3. All terms and concepts used herein shall have the meaning stipulated by applicable laws of Ukraine, the Exchange Rules and other internal documents of the Exchange.

1.4. The Regulations, as well as amendments hereto, shall be approved by the Exchange Board, become effective on the date determined by the decision of the Exchange Board, and shall be posted on the Exchange's website at <http://urb.ua>.

1.5. The Exchange shall ensure non-disclosure and preservation of information contained in the documents submitted to the Exchange in accordance with these Rules, except when such information is disclosed/provided by the Exchange in compliance with the laws, the Exchange Rules and other internal documents of the Exchange.

2. Terms and conditions to acquire the status of an Exchange member

2.1. The status of an Exchange member may be acquired by:

- legal entities (residents and non-residents of Ukraine);
- individual entrepreneurs, i.e. individual entrepreneurs (residents of Ukraine) and individuals engaged in entrepreneurial activities (non-residents of Ukraine).

2.2. A foreign person who is a resident of a state engaged in the armed aggression against Ukraine within the meaning of Article 1 of the Law of Ukraine on Defense of Ukraine, as well as a person who has been sanctioned in accordance with resolutions of the United Nations Security Council, other international organizations, decisions of the Council of the European Union or other interstate associations of which Ukraine is a member (party), which provide for restrictions or bans on trade and/or financial transactions, may not acquire the status of an Exchange member.

2.3. In order to become a member of the Exchange, the person specified in clause 2.1 hereof (hereinafter referred to as the applicant) shall:

- submit to the Exchange an application form to acquire the status of an Exchange member and documents specified for each separate category of applicants in accordance with Section 3 hereof;
- register at least one broker on the Exchange who will carry out exchange trading on behalf of the Exchange member;
- accede to the public agreement authorizing to carry out the exchange trading (Annex 1 hereto), published on the Exchange's website at <http://urb.ua>, by submitting an accession application to the Exchange (Annex 2 hereto).

2.4. If the Exchange Board decides to grant the membership status to the applicant, the latter shall pay the admission fee on the basis of the invoice issued by the Exchange within three (3) business days from the date of invoice.

The amount of the admission fee shall be determined by the Exchange's Tariffs posted on the Exchange's website.

The admission fee may be paid by non-residents in foreign currency. In this case, the amount of the admission fee in foreign currency shall be equivalent to the amount of the admission fee set in hryvnia converted at the official exchange rate of the National Bank of Ukraine as of the date of the Exchange's invoice.

3. Requirements to documents to be submitted for acquiring the Exchange member's status

3.1. In order to acquire the status of an Exchange member, **legal entities that are residents of Ukraine** shall go to the "Transition to Trading" section (i.urb.ua) on the Exchange's website, tap the link "Sign up" (i.urb.ua/registration) and fill in an electronic application form to acquire the status of an Exchange member (Annex 3 hereto), to which they shall attach public key certificates with the .cer or .crt extension of a person who is authorized to sign Exchange agreements on behalf of the legal entity (the legal entity's manager or another authorized person who has right to sign), of the person (persons) who shall act as a broker (brokers), and colored scanned copies of the following documents that must be valid at the time of their submission:

3.1.1. An extract or excerpt from the Unified State Registry of Legal Entities, Individual Entrepreneurs and Public Organizations (the extract must be issued at least 1 month prior to its submission to the Exchange).

3.1.2. Applicant's Articles of Association.

If the applicant acts on the basis of the model Articles of Association, the founders' decision

to incorporate a company acting on the basis of the model Articles of Association or the members' decision to operate on the basis of the model Articles of Association signed by all founders (members) shall be submitted. The founders' decision must contain information on the name of the company operating on the basis of the model Articles of Association, the list of founders (members), the amount of the authorized capital, the number of shares in the authorized capital held by each member, and the method of making contributions (in cash and/or in kind), on delegating the authority to the manager to carry out significant transactions (sign contracts) and to certify the copies of statutory and other documents.

3.1.3. Balance sheet and income statement for the last reporting period.

3.1.4. An extract from the registry of VAT payers (if the applicant is a VAT payer) or a single tax payer's certificate.

3.1.5. An order (decision) or other document on the appointment of the applicant's manager and a person who is authorized on behalf of the legal entity to draw up and sign documents, including Exchange agreements.

3.1.6. Passport and certificate of assignment of the identification number of the applicant's manager and a person who is authorized on behalf of the legal entity to draw up and sign documents, including Exchange agreements.

3.1.7. Statement of consent of the personal data subject to the processing of his/her personal data signed by the applicant's manager and by a person who is authorized on behalf of the legal entity to draw up and sign documents, including Exchange agreements (Annex 6 hereto).

3.1.8. An order on hiring a person (persons) who shall act as a broker (brokers), unless it is the applicant's manager (or not only the manager), or another document confirming his/her powers.

3.1.9. Passport and certificate of assignment of identification number to a person (persons) who shall act as a broker (brokers) (unless it is the manager (or not only the manager) of the legal entity) .

3.1.10. Statement of consent of the personal data subject to the processing of his/her personal data, signed by the person(s) who shall act as a broker (brokers) (unless it is the legal entity's manager) (Annex 6 hereto).

3.1.11. Power of attorney (powers of attorney) for the person (persons) who shall act as a broker (brokers) (Annex 7 hereto).

3.1.12. Questionnaire of the legal entity who it the Exchange's client to comply with the Law of Ukraine on Prevention and Counteraction to Legalization (Laundering) of Proceeds from Crime, Terrorist Financing and Financing of Proliferation of the Mass Destruction Weapons (Annex 8 hereto).

3.1.13. Certificate of ownership structure and data on ultimate beneficial owners (controllers) of a legal entity containing a schematic representation of the ownership structure of the legal entity on the basis of which the Exchange shall identify all available ultimate beneficial owners.

The certificate on the ownership structure and data on the ultimate beneficial owners (controllers) of the legal entity must be signed by an authorized official of the applicant, who is a legal entity, and bear a seal (if any).

3.1.14. Protocol (decision) or an extract from the Protocol (decision) on delegating the authority to the manager to carry out significant transactions (sign contracts) and to certify the copies of statutory and other documents.

3.1.15. Application for accession to a public agreement authorizing to conduct exchange trading.

3.2. In order to acquire the status of the Exchange member, **individual entrepreneurs that are residents of Ukraine** shall go to the "Transition to Trading" section (i.urb.ua) on the Exchange's website, tap the link "Sign up" (i.urb.ua/registration) and fill in an electronic

application form to acquire the status of an Exchange member (Annex 4 hereto), to which they shall attach public key certificates with the .cer or .crt extension of a person **who is authorized to sign Exchange agreements on behalf of the applicant (individual entrepreneur or another authorized person who has right to sign)**, the person (persons) who shall act as a broker (brokers), and colored scanned copies of the following documents that must be valid at the time of their submission:

3.2.1. An extract or excerpt from the Unified State Registry of Legal Entities, Individual Entrepreneurs and Public Organizations (the extract must be issued within 1 month prior to its submission to the Exchange).

3.2.2. Tax return for the last reporting period.

3.2.3 An extract (certificate) from the registry of single tax payers and an extract from the registry of VAT payers (if the applicant is a VAT payer).

3.2.4. An order (decision) or other document on the appointment of a person who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements.

3.2.5. Passport and certificate of assignment of the identification number of the applicant and a person who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements.

3.2.6. Statement of consent of the personal data subject to the processing of his/her personal data signed by the applicant and by a person who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements (Annex 6 hereto).

3.2.7. Passport and certificate of assignment of the identification number to the person(s) who shall act as a broker(s) (unless it is an individual entrepreneur).

3.2.8. Statement of consent of the personal data subject to the processing of his/her personal data, signed by the person (persons) who shall act as a broker (brokers) (unless it is an individual entrepreneur) (Annex 6 hereto).

3.2.9. A notarized power of attorney (powers of attorney) issued to the person (persons) who shall act as a broker (brokers) (Annex 7 hereto).

3.2.10. Questionnaire of an individual entrepreneur/individual engaged in entrepreneurial activity (non-resident of Ukraine) who is a client of the Exchange in compliance with the Law of Ukraine on Prevention and Counteraction to Legalization (Laundering) of Proceeds from Crime, Terrorist Financing and Financing of Proliferation of the Mass Destruction Weapons (Annex 9 hereto).

3.2.11. Application for accession to a public agreement authorizing to conduct the exchange trading.

3.3. In order to acquire the status of the Exchange member, **legal entities and individuals engaged in entrepreneurial activity that are non-residents of Ukraine** shall go to the "Transition to Trading" section (i.urb.ua) on the Exchange's website, tap the link "Sign up" (i.urb.ua/registration) and fill in an electronic application form to acquire the status of an Exchange member (Annex 5 hereto), to which they shall attach colored scanned copies of the following documents that must be valid at the time of their submission:

3.3.1. A document from a trade, bank or court registry, etc. issued within one month before the date of submission of documents for acquiring the membership (except for the registration certificate) by an authorized body of a foreign state confirming the state registration of a non-resident legal entity in the country of its domicile.

3.3.2. Certificate issued by the bank where the non-resident's account is opened, bank account number.

3.3.3. Certificate signed by an authorized person of a non-resident legal entity with a seal

(if any) or another document containing information on the ownership structure of such legal entity, on the basis of which the Exchange shall identify all available ultimate beneficial owners (controllers), issued within one month before the date of documents submission by the applicant.

3.3.4. Questionnaire of the legal entity that is the client of the Exchange (Annex 8 hereto) or questionnaire of the individual entrepreneur/individual engaged in entrepreneurial activity (non-resident of Ukraine) that is the client of the Exchange (Annex 9 hereto), respectively, in compliance with the Law of Ukraine on Prevention and Counteraction to Legalization (Laundering) of Proceeds from Crime, Terrorist Financing and Financing of Proliferation of the Mass Destruction Weapons.

3.3.5. Employment agreement (contract, order, minutes, Articles of Association or another document) of the legal entity's manager and a person, who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements, containing information on the term and scope of his/her powers.

3.3.6. Identity document of the legal entity's manager/individual entrepreneur and a person, who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements.

3.3.7. Statement of consent of the personal data subject to the processing of his/her personal data, signed by the legal entity's manager/individual entrepreneur and a person, who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements. (Annex 14 hereto).

3.3.8. Power of attorney for the person(s) who shall act as a broker (brokers), executed in compliance with the laws of the country where the non-resident person is officially registered (unless it is the manager/individual engaged in entrepreneurial activity). The power of attorney must comply with the standard power of attorney authorizing a person to act as a broker as set forth in Annex 7 hereto.

3.3.9. A document certifying the identity of the person(s) who shall act as a broker(s).

3.3.10. Statement of consent of the personal data subject to the processing of his/her personal data, signed by the broker (unless it is the manager) (Annex 6 or Annex 14 hereto).

3.3.11. Application for accession to a public agreement authorizing to conduct exchange trading (Annex 13 hereto).

3.3.12. Documents issued by the authorized public authorities of the country of residence of a non-resident in accordance with the laws of that country must be legalized (bear the consular legalization or apostille) in accordance with the procedure established by law, unless otherwise provided for by international agreements.

3.3.13. If necessary, within the proper verification procedure under the legislation of Ukraine, the Exchange reserves the right to demand additional statutory documents, other documents, including financial statements, in case of need.

3.3.14. All documents presented in a foreign language shall be submitted to the Exchange in the original language together with a notarized translation into Ukrainian.

3.4. The application form filled in electronically on the Exchange's website shall be downloaded by the applicant in the form of a document, signed and stamped (if a seal is available), scanned and uploaded together with scanned copies of the documents specified in sub-clauses 3.1-3.3 hereof.

3.5. Should the Exchange Board decide to grant membership status to the applicant that is the resident of Ukraine, the latter shall send (provide) a notice of granting membership to the registered office of the Exchange within three (3) business days from the date of receipt at the e-mail address specified in the application form to acquire the status of the Exchange member:

3.5.1. Original documents, which in accordance with this section of the Rules were created

by the applicant in accordance with the standard forms specified in annexes hereto, and scanned copies of which were uploaded by the applicant to acquire the status of the Exchange member.

3.5.2. Duly certified copies of the documents, scanned copies of which were submitted by the applicant to acquire the status of the Exchange member in accordance with subclauses 3.1-3.2 hereof, respectively, except for the documents specified in clause 3.5.1 hereof.

3.5.3. A copy of the payment order to pay the admission fee in accordance with clause 2.4 hereof.

3.6. Should the Exchange Board decide to grant membership status to an applicant that is the non-resident of Ukraine, the latter shall send (provide) the following documents to the registered office of the Exchange within five (5) business days from the date of receipt of a notice awarding the membership status by e-mail:

3.6.1. Original documents, which in accordance with this section of the Rules were created by the applicant in accordance with the standard forms specified in annexes hereto, and scanned copies of which were uploaded by the applicant to acquire the status of the Exchange member.

3.6.2. Duly certified copies of the documents that must be valid at the time of their submission, with a duly certified translation into Ukrainian, the scanned copies of which were submitted by the applicant to acquire the status of the Exchange member in accordance with clause 3.3 hereof, except for the documents specified in clause 3.6.1 hereof.

3.6.3. A copy of the payment order to pay the admission fee in accordance with clause 2.4 hereof.

3.7. The Exchange members shall provide the Exchange with information on all updates in the data and documents provided by them to acquire the status of the Exchange member within two (2) business days since such updates are made/occur.

The persons who submitted the documents and information shall be liable for the accuracy of the data contained therein and submitted to acquire the Exchange member's status, for actions taken on the basis of such documents and information, for late notification of the Exchange about updates in such documents and information, as well as for replacement or termination of the said documents, and bear the risk of associate adverse consequences, including the financial ones.

4. Procedure for making a decision on granting the Exchange member's status

4.1. The designates person of the Exchange shall:

- check the application form for acquiring the Exchange member's status and the submitted documents for completeness and compliance with these Rules;

- ensure the proper verification of the documents submitted by the applicant in accordance with laws on preventing and combating the legalization (laundering) of proceeds from crime, terrorist financing and financing the proliferation of the mass destruction weapons;

- based on the results of the verification, prepare a conclusion to submit the issue of granting the Exchange member's status to the applicant to the Exchange Board.

4.2. Based on the results of consideration of the application form and the set of documents to acquire the status of the Exchange member, the Exchange Board shall make a relevant decision.

In addition to the general requirements set forth herein, the Exchange Board may also take into account such factors as the applicant's reputation, as well as information on sanctions imposed on the applicant for economic and financial offenses, as well as sanctions imposed on the applicant by commodity exchanges where the applicant has (had) the status of a commodity exchange member (trading participant).

4.3. The decision shall be made by the Exchange Board within five (5) business days from the date of submission of the application form to acquire the status of the Exchange member under the condition of adding to it by the applicant all the necessary documents defined in the section 3 of the Regulations.

4.4. The Exchange Board shall be entitled to request that the applicant submitted additional documents disclosing the content of the information specified in the documents submitted by the applicant in order to make a relevant decision.

In this case, consideration of the application for the Exchange member's status may be extended for another five business days from the date of receipt of additional documents by the Exchange.

4.5. The Exchange Board may decide to refuse to grant the Exchange member's status to the applicant in the following cases:

4.5.1. The Applicant has not attached the public key certificate(s) (if such requirement is provided for in Section 3 hereof) and all required documents specified in Section 3 hereof to the application.

4.5.2. The documents submitted by the applicant are executed and/or certified in violation of Section 3 hereof.

4.5.3. The applicant fails to meet the conditions specified in clause 2.2 hereof.

4.5.4. The consideration of the documents submitted by the applicant results in a refusal to establish business relations in accordance with laws on prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of the mass destruction weapons.

4.5.5. Negative conclusions arising from the second part of clause 4.2 hereof.

4.6. If the Exchange Board makes a positive decision on granting the member's status, the Exchange shall:

- enter the information about the new Exchange member into the registry of trading participants and assign a unique identification code to such Exchange member;

- enter the information about the broker (brokers) of the Exchange member into the registry of exchange brokers and assign a unique identification code (codes) to such broker (brokers);

- within one business day from the date of the decision notify the applicant thereof by sending a relevant message to his/her e-mail address specified in the application form to acquire the Exchange member's status; the message also contains the electronic identifier (EI) for the Exchange member's access to the ETS;

- not later than one business day from the date of the decision, notify the broker (brokers) of the Exchange member on their inclusion in the registry of exchange brokers by sending a relevant message to the broker's (brokers') e-mail address specified in the application form to acquire the status of the Exchange member; the message shall also contain an electronic identifier (EI) for the Exchange member's broker to access the ETS.

- publish information about the same through the Exchange's official website.

4.7. Should the applicant who was granted the status of the Exchange member fails to meet the requirements for submission of documents to the Exchange in accordance with clauses 3.5-3.6 hereof and/or fail to pay the admission fee in accordance with clause 2.4 hereof, such person's membership may be suspended by decision of the Exchange Board until the person fulfills the specified obligations in their entirety.

4.8. Should the Exchange Board decide to refuse to grant membership in the Exchange, the applicant shall be notified thereof by sending a relevant message to his/her e-mail address specified in the application form to acquire the Exchange member's status.

The decision to refuse to grant membership in the Exchange shall specify the grounds and date of such decision.

5. Procedure for registration of the Exchange members' clients at the Exchange

5.1. The Exchange members shall conclude a contract of agency in writing with each client before proceeding with services to the client. This contract shall determine the terms of services and remuneration for services provided to the client, rights and obligations of the parties, and that the services shall be provided thereunder in compliance with laws, the Exchange Rules and other internal documents of the Exchange.

The contract between the Exchange member and the client shall contain the client's obligation to submit information on all updates in the information and documents provided by the client to the Exchange to acquire the status of the Exchange member's client in accordance with this section of the Rules to the Exchange member within one (1) business day from the date of occurrence/appearance of such updates.

The contract between the Exchange member and the client must also provide for the client's liability for violation of the procedure for concluding and fulfilling exchange contracts, which are concluded by the client on the basis of exchange transactions made by the Exchange member for the client's benefit, as set forth in the internal documents of the Exchange.

5.2. In order to acquire the status of the Exchange member's client, **legal entities that are residents of Ukraine** shall go to "Transition to Trading" section (i.urb.ua) on the Exchange's website, follow the "Sign up" link (i.urb.ua/registration) and fill in an electronic application form to acquire the status of the Exchange member's client (Annex 10 hereto), to which they shall attach a public key certificate with the .cer or .crt extension of a person who is authorized to sign Exchange agreements on behalf of the legal entity (the legal entity's manager or an authorized person who has right to sign), and colored scanned copies of the following documents:

5.2.1. An extract or excerpt from the Unified State Registry of Legal Entities, Individual Entrepreneurs and Public Organizations (the extract must be issued at least 1 month prior to its submission to the Exchange).

5.2.2. Applicant's Articles of Association.

If the applicant acts on the basis of the model Articles of Association, the founders' decision to incorporate a company acting on the basis of the model Articles of Association or the members' decision to operate on the basis of the model Articles of Association signed by all founders (members) shall be submitted. The founders' decision must contain information on the name of the company operating on the basis of the model Articles of Association, the list of founders (members), the amount of the authorized capital, the number of shares in the authorized capital held by each member, and the method of making contributions (in cash and/or in kind), on delegating the authority to the manager to carry out significant transactions (sign contracts) and to certify the copies of statutory and other documents.

5.2.3. Balance sheet and income statement for the last reporting period.

5.2.4. An extract from the registry of VAT payers (if the applicant is a VAT payer) or a single tax payer's certificate.

5.2.5. An order (decision) or other document on the appointment of the applicant's manager and a person who is authorized on behalf of the legal entity to draw up and sign documents, including Exchange agreements.

5.2.6. Passport and certificate of assignment of the identification number of the applicant's manager and a person who is authorized on behalf of the legal entity to draw up and sign documents, including Exchange agreements.

5.2.7. Statement of consent of the personal data subject to the processing of his/her personal data signed by the applicant's manager and by a person who is authorized on behalf of the legal entity to draw up and sign documents, including Exchange agreements (Annex 6 hereto).

5.2.8. Questionnaire of the legal entity who is the Exchange member's client to comply with the Law of Ukraine on Prevention and Counteraction to Legalization (Laundering) of

Proceeds from Crime, Terrorist Financing and Financing of Proliferation of the Mass Destruction Weapons (Annex 8 hereto).

5.2.9. Certificate of ownership structure and data on the ultimate beneficial owners (controllers) of a legal entity containing a schematic representation of the ownership structure of the legal entity on the basis of which the Exchange shall identify all available ultimate beneficial owners.

The certificate on the ownership structure and data on the ultimate beneficial owners (controllers) of the legal entity must be signed by an authorized official of the applicant, who is a legal entity, and bear a seal (if any).

5.2.10. Protocol (decision) or an extract from the Protocol (decision) on delegating the authority to the manager to carry out significant transactions (sign contracts) and to certify the copies of statutory and other documents.

5.2.11 A copy of the contract of agency concluded with the Exchange member certified by an authorized official of the applicant and bearing the applicant's seal (if any).

5.3. In order to acquire the status of the Exchange member's client, **individual entrepreneurs that are residents of Ukraine** shall go to "Transition to Trading" section (i.urb.ua) on the Exchange's website and follow the "Sign up" link (i.urb.ua/registration), fill in an electronic application form to acquire the status of the Exchange member's client (Annex 11 hereto), to which they shall attach a public key certificate of an individual entrepreneur with the .cer or .crt extension of a person who is authorized to sign Exchange agreements on behalf of the applicant (individual entrepreneur or an authorized person who has right to sign), colored scanned and archived copies of the following documents:

5.3.1. An extract or excerpt from the Unified State Registry of Legal Entities, Individual Entrepreneurs and Public Organizations (the extract must be issued within 1 month prior to its submission to the Exchange).

5.3.2. Tax return for the last reporting period.

5.3.3 An extract (certificate) from the registry of single tax payers and an extract from the registry of VAT payers (if the applicant is a VAT payer).

5.3.4. An order (decision) or other document on the appointment of a person who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements.

5.3.5. Passport and certificate of assignment of the identification number of the applicant and a person who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements.

5.3.6. Statement of consent of the personal data subject to the processing of his/her personal data signed by the applicant and by a person who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements (Annex 6 hereto).

5.3.7. Questionnaire of the individual entrepreneur who is the Exchange member's client to comply with the Law of Ukraine on Prevention and Counteraction to Legalization (Laundering) of Proceeds from Crime, Terrorist Financing and Financing of Proliferation of the Mass Destruction Weapons (Annex 9 hereto).

5.3.8. A copy of the contract of agency concluded with the Exchange member certified by the applicant and bearing the applicant's seal (if any).

5.4. In order to acquire the status of the Exchange member's client, **legal entities and individuals engaged in entrepreneurial activity that are non-residents of Ukraine** shall go to "Transition to Trading" section (i.urb.ua) on the Exchange's website and by clicking on "Sign up" link (i.urb.ua/registration) fill in the application form to acquire the status of the Exchange member's client in electronic form (Annex 12 hereto), to which they shall attach colored scanned copies of the following documents:

5.4.1. A document from a trade, bank or court registry, etc. issued within one month before the date of submission of documents for acquiring the membership (except for the registration certificate) by an authorized body of a foreign state confirming the state registration of a non-resident legal entity in the country of its domicile.

5.4.2. Certificate issued by the bank where the non-resident's account is opened, bank account number.

5.4.3. Certificate signed by an authorized person of a non-resident legal entity with a seal (if any) or another document containing information on the ownership structure of such legal entity, on the basis of which the Exchange shall identify all available ultimate beneficial owners (controllers), issued within one month before the date of documents submission by the applicant.

5.4.4. Employment agreement (contract, order, minutes, Articles of Association or another document) of the legal entity's manager and a person, who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements, containing information on the term and scope of his/her powers.

5.4.5. Identity document of the legal entity's manager/individual entrepreneur and a person, who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements.

5.4.6. Statement of consent of the personal data subject to the processing of his/her personal data, signed by the legal entity's manager/individual entrepreneur and a person, who is authorized on behalf of the applicant to draw up and sign documents, including Exchange agreements. (Annex 14 hereto).

5.4.7. Questionnaire of the legal entity that is the client of the Exchange (Annex 8 hereto) or questionnaire of the individual entrepreneur/individual engaged in entrepreneurial activity (non-resident of Ukraine) that is the client of the Exchange (Annex 9 hereto), respectively, in compliance with the Law of Ukraine on Prevention and Counteraction to Legalization (Laundering) of Proceeds from Crime, Terrorist Financing and Financing of Proliferation of the Mass Destruction Weapons.

5.4.8. A copy of the contract of agency concluded with the Exchange member certified by an authorized official of the applicant and bearing the applicant's seal (if any).

5.4.9. If necessary, within the proper verification procedure under the legislation of Ukraine, the Exchange reserves the right to demand additional statutory documents, other documents, including financial statements, in case of need.

5.4.10. The documents referred to in sub-clauses 5.4.1-5.4.9 drawn up in a foreign language shall be submitted to the Exchange in the original language together with its notarized translation into Ukrainian.

5.5. The application form filled in electronically on the Exchange's website shall be downloaded by the applicant in the form of a document, signed and stamped (if there is a seal), scanned and uploaded together with scanned copies of the documents specified in clauses 5.2-5.4 hereof.

5.6. The Exchange Member shall verify the contract of agency with the client submitted by the applicant to the ETS and grant its consent to the registration of such client on the Exchange by its acceptance in the ETS.

5.7. The person authorized by the Exchange shall:

- check the application form to acquire the status of the Exchange's client and the submitted documents for completeness and compliance with these Rules;
- ensure the proper verification of the documents submitted by the applicant in accordance with laws on preventing and combating the legalization (laundering) of proceeds from crime, terrorist financing and financing the proliferation of the mass destruction weapons;
- based on the results of the verification, prepare a conclusion on the applicant registration

as the Exchange member's client.

5.8. The decision on registration of the Exchange member's status at the Exchange shall be made by the person authorized by the Exchange within five (5) business days from the date of submission of the application form to acquire the status of the Exchange member's client under the condition of adding to it by the applicant all the necessary documents defined in this section of the Regulations.

5.9. In order to make a relevant decision, the person authorized by the Exchange shall be entitled to request that the applicant provides additional documents disclosing the content of the information specified in the documents submitted by the applicant.

In this case, the application review may be extended for another five business days from the date of receipt of additional documents by the Exchange.

5.10. A person authorized by the Exchange may decide to refuse to grant the status of the Exchange member's client to the applicant in the following cases:

5.10.1. The applicant failed to attach the public key certificate(s) (if such a requirement is provided for in this section of the Rules) and all required documents specified in this section of the Rules to the application.

5.10.2. The documents submitted by the applicant are executed and/or certified in violation of the requirements of this section of the Rules.

5.10.3. The Exchange member's agreement with the client does not meet the requirements set forth in clause 5.1 hereof.

5.10.3. The result of consideration of the documents submitted by the applicant is a refusal to provide services in compliance with laws on prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of the mass destruction weapons.

5.11. If the person authorized by the Exchange makes a positive decision on granting the client's status to the Exchange member, the Exchange shall:

- enter information about the Exchange member's client into the registry of trading members' clients and assign a unique identification code to such client;

- within one business day from the date of the decision, notify the applicant thereof by sending a message to his/her e-mail address specified in the application form to acquire the status of the Exchange's client; the message shall also contain an electronic identifier (EI) for the Exchange's client to access the ETS;

- within one business day from the date of the decision, notify the relevant Exchange member about the registration of its client on the Exchange by sending a relevant message to the Exchange member's e-mail address.

5.12. Should the Exchange decide to grant the status of the Exchange member's client to the applicant that is the resident of Ukraine, the latter shall send (provide) the following documents at the registered office of the Exchange within three (3) business days from the date of receipt at the e-mail address specified in the application form to acquire the status of the Exchange member's client:

5.12.1. Original documents, which in accordance with this section of the Rules were created by the applicant in accordance with the standard forms specified in annexes hereto, and scanned copies of which were uploaded by the applicant to acquire the status of the Exchange member.

5.12.2. A duly certified copy of the contract of agency concluded with the Exchange member.

5.13. Should the Exchange decide to grant the status of the Exchange member's client to the applicant that is a non-resident of Ukraine, the latter shall send (provide) the following documents at the registered office of the Exchange within five (5) business days from the date of receipt at the e-mail address specified in the application form to acquire the status of the Exchange

member's client:

5.13.1. Original documents, which, in accordance with this section of the Rules, were created by the applicant in accordance with the standard forms specified in annexes hereto, and scanned copies of which were uploaded by the applicant to acquire the status of the Exchange's client.

5.13.2. A duly certified copy of the contract of agency concluded with the Exchange member.

5.14. Should the applicant who was granted the status of the Exchange member's client to fail to fulfill the requirements for submission of documents to the Exchange in accordance with clauses 5.12-5.13 hereof, the status of the Exchange member's client in respect of such person may be suspended by the Exchange until the person fulfills the specified obligations in their entirety.

5.15. Since such a person is entered into the registry of clients of trading participants, the Exchange member shall be responsible for submitting to the Exchange all updates in the information and documents provided by such person to acquire the status of the Exchange member's client within two (2) business days from the moment of receipt of information on such updates under the contract of agency concluded with the client.

5.16. Should the Exchange decide to refuse to grant the status of the Exchange member's client, the applicant shall be notified thereof by sending a relevant message to his/his e-mail address specified in the application form to acquire the status of the Exchange member's client.

The decision to refuse to grant the status of the Exchange member's client shall specify the grounds and date of such decision.

6. Final provisions

6.1. The Exchange member shall acquire the right to conduct exchange trading, other rights and obligations determined by the Exchange Rules since the Exchange Board makes a decision to grant the Exchange member's status to the applicant.

The Public Agreement authorizing to carry out the exchange trading is considered to be concluded by the applicant since the date of making the decision by the Exchange Board to grant the Exchange member's status to the applicant.

6.2. The right of the Exchange member to conduct exchange trading shall be exercised by acquiring the status of a trading participant in the manner established by the Rules and other internal documents of the Exchange for participation in exchange trading in a relevant section, exchange-traded commodity or a group of exchange-traded commodities.

6.3. The date of admitting the Exchange member to the exchange trading shall be the date specified in the decision of the Exchange Board on granting the status of the trading participant, which shall be made upon consideration of the set of documents submitted by the Exchange member in accordance with internal documents of the Exchange regarding participation in the exchange trading in a relevant section, exchange commodity or a group of exchange commodities.

6.4. Persons intending to acquire the status of the Exchange member/client of the Exchange member simultaneously with the status of the trading participant/client of the trading participant in a relevant section(s), exchange-traded commodity or a group of exchange-traded commodities may submit the documents required for accreditation of the trading participant/admission to servicing of the trading participant's client in a relevant section(s), exchange-traded commodity or a group of exchange-traded commodities, simultaneously with documents to acquire the status of the Exchange member/client of the Exchange member in the manner established by these Rules.