

**APPROVED BY**

the Board of Directors of Closed Joint-Stock Company  
“St. Petersburg International Mercantile Exchange”  
on 23 May 2016 (Minutes No.107)

(Signed) A.E. Rybnikov

Seal:

Closed Joint-Stock Company “St. Petersburg International Mercantile  
Exchange”

CJSC SPIMEX

OGRN (Principal State Registration Number) 1089847188903

INN (Taxpayer Identification Number) 7840389730

**REGULATION ON THE DERIVATIVES MARKET SECTION COUNCIL**  
**of Closed Joint-Stock Company “St. Petersburg International Mercantile Exchange”**

**2016**

## **1. GENERAL PROVISIONS**

1.1. This Regulation on the Derivatives Market Section Council of Closed Joint-Stock Company “St. Petersburg International Mercantile Exchange” (hereinafter the “Regulation”) is developed in accordance with Federal Law of 21 November 2011 No. 325-FZ on Organised Trading and other regulations, Articles of Association and internal documents of Closed Joint-Stock Company “St. Petersburg International Mercantile Exchange” (hereinafter the “Exchange”, “CJSC SPIMEX”).

1.2. The Regulation sets out the objectives and functions of the Derivatives Market Section Council of Closed Joint-Stock Company “St. Petersburg International Mercantile Exchange” (hereinafter the “Section Council”), number of members of the Section Council and procedure for passing resolutions as well as the requirements for members of the Section Council.

1.3. The Section Council shall perform its activities in accordance with this Regulation, Articles of Association of the Exchange, resolutions of the Board of Directors of CJSC SPIMEX, internal documents of the Exchange, and laws and regulations of the Russian Federation.

1.4. The Section Council may not act on behalf of the Exchange, executive bodies or the Board of Directors of CJSC SPIMEX.

1.5. This Regulation and all amendments and supplements hereto shall be approved by the Board of Directors of CJSC SPIMEX and shall come into force on the date of approval, unless otherwise determined by resolution of the Board of Directors of CJSC SPIMEX or President of CJSC SPIMEX on the instruction of the Board of Directors.

1.6. This Regulation and all amendments and supplements hereto shall be disclosed on the official website of CJSC SPIMEX on the Internet ([www.spimex.com](http://www.spimex.com)) within (five) 5 business days of the date when the relevant resolution is passed by the Board of Directors of CJSC SPIMEX.

## **2. OBJECTIVES AND FUNCTIONS OF THE SECTION COUNCIL**

2.1. The key objective of the Section Council is to represent the interests of trading members on matters relating to the organisation and conduct of organised trading in the Derivatives Market Section (hereinafter the “Section”).

2.2. In order to achieve this objective, the Section Council shall perform the following functions:

- 1) ensure interaction between CJSC SPIMEX and trading members on matters of organisation and development of exchange trading at the Section;
- 2) review and accept recommendations given to the executive body of the Exchange on matters relating to changing the cost of organised trading services at the Section;
- 3) review and accept recommendations given to the executive body of the Exchange on matters relating to amending the organised trading rules at the Section, other than mandatory changes required by the federal laws and regulations of the Bank of Russia adopted in accordance therewith and other regulations and instructions of the Bank of Russia;
- 4) review and accept recommendations given to the executive body of the Exchange on matters relating to changing the clearing house that performs clearing obligations under contracts made at organised trading, unless the licence of the clearing house is revoked or terminated, or bankruptcy proceedings are introduced against the clearing house, or the clearing house is unable to perform clearing obligations

without violating the federal laws and regulations adopted in accordance therewith;

- 5) reviews and accepts recommendations given to the executive body of the Exchange on matters relating to changing the legal entity acting as a central counterparty, unless the legal entity’s licence for banking activities is revoked (terminated) by the Bank of Russia, or the legal entity ceases to perform clearing obligations under contracts made at organised trading, or bankruptcy proceedings are introduced against the legal entity, or if the legal entity acting as a central counterparty is no longer in compliance with the requirements of part 2 of Article 5 of the Federal Law on Clearing and Clearing Activities;
- 6) reviews and accepts recommendations given to the executive body of the Exchange on the Exchange’s draft internal documents determining the parameters of forward contracts;
- 7) reviews and accepts recommendations given to the executive body of the Exchange on new exchange products, technologies and trading modes as well as new projects relating to the conduct of organised trading at the Section.

2.2. If the Section Council has not given a recommendation (approval) in respect of resolutions of the executive body of the Exchange on matters specified in sub-clauses 2-5 of clause 2.2. of this section of the Regulation, such resolutions shall come into force not less than three months after the date of disclosure of the relevant changes in the manner set out in the internal documents of the Exchange.

### **3. PROCEDURE FOR THE ESTABLISHMENT OF THE SECTION COUNCIL**

3.1. The Section Council shall be formed by the Board of Directors of CJSC SPIMEX in the manner set out in this section of the Regulation from among the candidates proposed by trading members and the Exchange for a period determined by the Board of Directors of CJSC SPIMEX, which shall not exceed two years. The Board of Directors may terminate powers of all or any individual members of the Section Council before expiration of the period, for which they are elected.

3.2. The number of members of the Section Council shall be determined by resolution of the Board of Directors of CJSC SPIMEX and may not exceed (fifteen) 15. In every case where the composition of the Section Council includes less than (fifteen) 15 members, the Board of Directors may pass a resolution on increasing the number of members of the Section Council and electing a new member(s) to this composition of the Section Council respectively, subject to the requirements of this section of the Regulation.

3.3. Membership at the Section Council is voluntary and personal. The Section Council members shall not receive any remuneration, unless otherwise determined by the Board of Directors of CJSC SPIMEX.

3.4. The composition of the Section Council may not include persons that have made employment contracts and/or civil agreements for the provision of services to the Exchange.

3.5. At least 75% of members of the exchange council shall be representatives of the members of trading conducted at the Section.

3.6. The following persons may be elected to the Section Council:

- representatives of the members of trading conducted at the Section;
- representatives of other organisations whose activities are related to the derivatives market.

3.7. The Section Council may not include more than one representative of the same legal entity.

3.8. Members of the Section Council shall have qualification, knowledge and experience required to

achieve the objectives and to perform the functions of the Section Council in accordance with this Regulation.

3.9. Members of the Section Council, a Representative of the Section Council and, where necessary, one or more deputies shall be elected by the Board of Directors of CJSC SPIMEX on the proposal of the President of CJSC SPIMEX from among the candidates for election to the Section Council.

3.10. The President of CJSC SPIMEX shall make a list of candidates for election to the Section Council subject to the requirements of clauses 3.4-3.8 of this section of the Regulation from among the representatives of organisations specified in clause 3.6 of this section of the Regulation, who submitted requests for inclusion of their representatives in the list of candidates for election to the Section Council (hereinafter a “Request”).

3.11. A request shall be submitted on the organisation’s letterhead in the form of Annex 1 hereto, and signed by its CEO or another authorised representative. A request shall be accompanied by the candidate’s written consent to processing personal information and confidentiality obligation in the forms of Annex 2 and Annex 5 hereto, respectively.

3.12. Any member of the Section Council may be excluded from the composition of the Section Council by the Board of Directors of CJSC SPIMEX in the following cases:

- based on a request for exclusion submitted to the Chairman of the Board of Directors of CJSC SPIMEX in the form of Annex 3 hereto;
- if the powers of the member of the Section Council in the organisation, whose representative this member was when he or she was elected to the Section Council, are terminated;
- if the member of the Section Council fails to participate (including provision of written opinions or completed ballot papers to vote on relevant matters) at three (3) and more meetings of the Section Council. This person may not be proposed (nominated) for election to the Section Council if a new composition of the Section Council is formed;
- on the request of the organisation that nominated this member of the Section Council as its representative. In such a case, the organisation may, together with the proposal on exclusion of the candidate, propose a new candidate being its representative to be elected to the Section Council;
- if the organisation represented by this member of the Section Council loses its right to participate in organised trading at the Section.

3.13. The powers of a member of the Section Council shall be deemed terminated once the Board of Directors of CJSC SPIMEX has passed a resolution on exclusion of this member.

3.14. Documentary and technical support of the Section Council activities shall be ensured by the Secretary of the Section Council appointed by the President of CJSC SPIMEX from among the Exchange employees.

3.15. The Section Council may engage representatives of government authorities, scientific and other organisations as experts and consultants.

3.16. The Section Council may create working groups from among its members and engaged experts, whose activities shall be aimed at reviewing certain matters within the framework of the functions performed by the Section Council. If a working group includes a person who is not a member of the Section Council, this person must sign a consent to processing personal information and confidentiality

obligation in the forms of Annex 2 and Annex 5 hereto, respectively.

#### **4. CHAIRMAN AND DEPUTY CHAIRMAN OF THE SECTION COUNCIL**

4.1. The Chairman of the Section Council shall organise work of the Section Council and perform the following functions:

4.1.1. Manage the activities of the Section Council, including:

- convene meetings of the Section Council and organise discussions of matters at meetings of the Section Council;
- approve the agenda and determines the date, time, place and form of meetings;
- determine a list of persons invited to participate in a meeting of the Section Council;
- chair meetings of the Section Council;
- organise the taking of minutes of meetings of the Section Council and sign minutes of meetings;
- determine the order of proceedings of the Section Council and control compliance therewith;
- take part in meetings of the Section Council and have a casting vote if a vote is tied.

4.1.2. Represent the Section Council in interactions with the Board of Directors of CJSC SPIMEX, executive bodies of the Exchange, other bodies and persons, including:

- represent the Section Council at meetings of the Board of Directors of CJSC SPIMEX when considering the agenda items relating to activities of the Section Council;
- give to the executive body of the Exchange recommendations on matters relating to activities of the Section in accordance with Federal Law of 21 November 2011 No. 325-FZ on Organised Trading and other regulations.

4.1.3. Perform other functions relating to activities of the Section Council in accordance with this Regulation and other internal documents of the Exchange.

4.2. In the absence of the Chairman of the Section Council, his or her functions shall be performed by the Deputy Chairman of the Section Council, and if there is more than one Deputy — one of the Deputy Chairmen of the Section Council by resolution of the Section Council.

4.3. In the absence of the Chairman or his or her Deputies at a meeting of the Section Council, members of the Section Council shall elect a chair from among the members present at the meeting.

#### **5. RIGHTS AND OBLIGATIONS OF MEMBERS OF THE SECTION COUNCIL**

5.1. Members of the Section Council may:

- propose to put items on the agenda subject to the objectives and functions of the Section Council specified in section 2 of this Regulation;
- if unable to attend a meeting of the Section Council, provide written opinions on the agenda items in the form of Annex 4 hereto, subject to the requirements set out in clause 8.4 of this Regulation;
- obtain information on activities of the Section Council;
- submit a request for exclusion from the Section Council.

5.2. Members of the Section Council shall:

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- attend in-person meetings of the Section Council, or vote in absentia when passing resolutions at meetings held in the form of absentee voting;
- comply with the requirements of this Regulation, Articles of Association of CJSC SPIMEX and other internal documents of the Exchange regulating activities of CJSC SPIMEX;
- exercise their rights and perform their obligations in respect of CJSC SPIMEX responsibly and reasonably;
- not use the rights granted to them for the purposes that conflict with the interests of the Exchange and may cause harm to business reputation of the Exchange;
- in order to avoid a conflict of interest in activities of CJSC SPIMEX, refrain from actions that may cause financial damage to CJSC SPIMEX and/or its clients;
- not disclose or use, for their own benefit or for the benefit of third parties, information that has come to their knowledge and constitute a trade or other legally protected secret of CJSC SPIMEX listed in the internal documents of CJSC SPIMEX and other restricted information in accordance with the internal documents of CJSC SPIMEX;
- perform other obligations provided by this Regulation and other internal documents of the Exchange.

**6. PROCEDURE FOR ORGANISING MEETINGS OF THE SECTION COUNCIL**

6.1. Meetings of the Section Council shall be held as necessary. Meetings of the Section Council shall be held as an in-person meeting or in the form of absentee voting on the agenda items.

6.2. A decision on the form of a meeting shall be made by the Chairman or Deputy Chairman of the Section Council and communicated to the members of the Section Council by the Secretary of the Section Council by giving notice containing the agenda of the meeting.

6.3. The agenda of the meeting referred to the members of the Section Council shall specify:

- the form of the meeting (in-person meeting or absentee voting);
- date, place and time of the meeting, or, if the meeting is held in the form of absentee voting, the deadlines for receiving ballot papers and the postal address to which completed ballot papers shall be sent;
- the agenda items put to the vote;
- other information required to hold the meeting;
- the signature of the Chairman or Deputy Chairman of the Section Council.

Together with the meeting agenda, members of the Section Council shall be provided with materials required to consider the matters (if any) and, if the meeting is held in the form of absentee voting, with ballot papers containing the agenda items put to the vote.

6.4. Meetings of the Section Council shall be convened by the Chairman or Deputy Chairman of the Section Council on their own initiative, on request by the President of CJSC SPIMEX, members of the Board of Directors of CJSC SPIMEX, First Vice President or Vice President of the Exchange supervising the Section activities, or on the proposal of at least three members of the Section Council.

6.5. The Chairman or Deputy Chairman of the Section Council may refuse to convene a meeting of the

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Section Council, if the matter is not related to the objectives and functions specified in section 2 of this Regulation.

6.6. When preparing a meeting of the Section Council, the Secretary of the Section Council shall, on the instruction of the Chairman of the Section Council, communicate to the First Vice President or Vice President of the Exchange supervising activities of the Section, or a person performing his or her duties, the proposals on the date, agenda and list of actions required to hold the meeting.

The First Vice President or Vice President of the Exchange supervising activities of the Section, or a person performing his or her duties, shall give instructions to the heads of structural subdivisions of the Exchange on taking actions relating to the preparation of materials on the agenda items.

6.7. Matters to be considered by the Section Council shall be proposed by the President of CJSC SPIMEX, members of the Board of Directors of CJSC SPIMEX, First Vice President or Vice President of the Exchange supervising activities of the Section, Chairman or members of the Section Council. Together with the proposals to put items on the agenda, all necessary materials shall be sent to the Section Council.

Based on the received proposals, the Secretary of the Section Council shall form the agenda of the meeting and submit it to the Chairman of the Section Council for approval.

The Secretary shall send to the members of the Section Council the agenda approved by the Chairman of the Section Council and necessary materials (if any) at least 3 business days prior to the meeting of the Section Council.

6.8. If the Chairman of the Section Council makes a decision on holding the meeting of the Section Council in the form of absentee voting, the Secretary of the Section Council shall send the meeting agenda to members of the Section Council at least 3 business days prior to the deadline for receiving ballot papers. The meeting agenda shall be accompanied by ballot papers as well as materials and documents required to pass resolutions.

6.9. The meeting agenda, ballot papers, materials and documents shall be sent to members of the Section Council via email.

A ballot paper shall contain the following information:

- the full corporate name of the Exchange;
- the deadline for receiving ballot papers;
- the postal address to which completed ballot papers shall be sent;
- the wording of each agenda item put to the vote and voting options “for”, “against” and “abstain”;
- a request that the ballot shall be signed by the member of the Section Council.

6.10. If a resolution on an item must be passed by the Section Council on an urgent basis, the period for giving notice and sending necessary materials and documents specified in clauses 6.7 and 6.8 of this section of the Regulation may be reduced.

6.11. Should any circumstances arise, which make impossible or impede the holding of a meeting of the Section Council, and of which members of the Section Council have been notified, the date of the meeting on the planned agenda may be postponed by resolution of the Chairman of the Section Council, by giving a separate notice to all members of the Section Council.

## **7. PROCEEDINGS AT MEETINGS OF THE SECTION COUNCIL**

7.1. The Chairman of the Section Council shall organise the holding of meetings of the Section Council in accordance with the approved agenda of the meeting.

7.2. At an in-person meeting of the Section Council, items that have not been previously put on the agenda may be considered with the consent of all members of the Section Council present at the meeting.

7.3. Members of the Board of Directors of CJSC SPIMEX, the President of CJSC SPIMEX and the Exchange employees, including employees who prepared the materials and documents on matters considered at the meeting, and other persons may be invited to a meeting of the Section Council.

7.4. The Exchange shall notify the Bank of Russia about meetings of the Section Council and send materials within the period and in the manner set out in section 6 of this Regulation, unless otherwise required by the Bank of Russia.

7.5. Upon completion of consideration of each item on the agenda of the meeting of the Section Council, the person chairing the meeting of the Section Council shall announce the voting results and the resolution passed on the item.

7.6. The quorum for holding a meeting of the Section Council shall be at least a half of the total number of elected members of the Section Council. In the absence of the quorum for holding the meeting of the Section Council, the Chairman of the Section Council shall make a decision on adjourning the meeting with the same agenda or on putting items that should have been considered at a failed meeting on the agenda of the next meeting of the Section Council.

## **8. PROCEDURE FOR PASSING RESOLUTIONS BY THE SECTION COUNCIL**

8.1. Resolutions at meetings of the Section Council shall be passed by a majority of the votes of members present at the meeting.

8.2. For the purpose of passing resolutions at meetings of the Section Council, each member of the Section Council shall have one vote. Members of the Section Council may not transfer their votes to another person. If a vote is tied, the chair shall have a casting vote.

8.3. A member of the Section Council who is absent at a meeting of the Section Council may send a written opinion on the agenda items in the form of Annex 4 hereto, which shall be taken into account in determining a quorum and voting, provided that the conditions of clause 8.4 of this section of the Regulation are met.

8.4. When determining a quorum and voting results on an agenda item, a written opinion of a member of the Section Council who is not present at the meeting shall be taken into account, if the following conditions are met:

- the written opinion on the item has been provided before the start of the meeting, in original or via email with further sending of the original;
- the member of the Section Council has defined his or her position on the item unambiguously, by indicating in the written opinion one of the voting options (“for”, “against” and “abstain”) on the draft resolution proposed;
- the written opinion shall be signed, specifying the last name and initials of the member of the Section Council.



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A written opinion containing corrections and qualifications on the proposed draft resolution shall not be taken into account when determining a quorum and voting results. Similarly, if corrections are made to the proposed draft resolution at a meeting of the Section Council, a written opinion shall not be taken into account when determining a quorum and voting results.

When determining a quorum and voting results on each item on the agenda of a meeting, written opinions shall be taken into account separately which shall be documented in the minutes of the meeting of the Section Council.

8.5. Members of the Section Council shall be deemed to have taken part in a meeting of the Section Council held in the form of absentee voting, if their ballot papers are submitted to the Exchange before or on the date set as a deadline for receiving ballot papers in original or via email (with further sending an original ballot paper to the Secretary of the Section Council).

8.6. When voting on matters put to the vote, only votes, for which one voting option — “for”, “against” and “abstain” — has been chosen and the other ones have been crossed out, shall be counted. If more than one option is left on one or more matters specified in the ballot paper, the vote shall not be counted when determining the voting results.

A ballot paper, in which more than one option is left on one or more matters, shall be deemed invalid for the purpose of voting on one or more or all matters included in this ballot paper.

A ballot paper containing corrections relating to voting options on one or more or all agenda items included in the ballot paper or any other corrections or writings shall be deemed invalid for the purpose of voting on one or more or all matters included in this ballot paper. The relevant votes shall not be counted in determining the voting results.

Holding a ballot paper invalid for the purpose of voting on one or more or all matters included in this ballot paper shall not be the grounds for discounting votes of this ballot paper in determining a quorum of the meeting of the Section Council held in the form of absentee voting.

If two or more completed ballot papers of the same member of the Section Council containing different voting options on the same matter are discovered in the votes count, these ballot papers shall be deemed invalid for the purpose of voting on this matter.

A ballot paper shall be signed by the member of the Section Council. Votes of a ballot paper that has not been signed by the member of the Section Council shall not be counted in determining a quorum of the meeting of the Section Council held in the form absentee voting.

## **9. MINUTES OF THE MEETING OF THE SECTION COUNCIL**

9.1. Minutes of the meeting of the Section Council shall be drafted by the Secretary of the Section Council within (five) 5 business days of the date of the meeting in one original copy and signed by the person who chaired the meeting of the Section Council.

9.2. Minutes of the meeting of the Section Council shall specify:

- the form, place and time of the meeting of the Section Council;
- a list of those present;
- the agenda of the meeting;
- matters put to the vote, proposals on formulation of resolutions and voting results;

- resolutions passed;
- availability of written opinions of absent members of the Section Council as well as opinions and recommendations of persons invited to participate in the meeting of the Section Council.

9.3. Original minutes of meetings of the Section Council shall be kept by the Secretary of the Section Council. Minutes of meetings of the Section Council shall be numbered on a continuous basis in a chronological order. Minutes and materials for a meeting of the Section Council shall be documented in a separate file and stored in accordance with the procedure established for documents containing restricted information.

9.4. Copies of minutes of meetings of the Section Council or extracts therefrom shall be signed by the Secretary of the Section Council and, on the instruction of the Chairman of the Section Council or President of CJSC SPIMEX, may be delivered by the Secretary of the Section Council to members of the Section Council and all interested structural subdivisions of the Exchange at their written request and any other interested parties on the instruction of the President of CJSC SPIMEX in accordance with the procedure established by the Exchange.

9.5. Copies of minutes of meetings of the Section Council shall be sent by the Secretary of the Section Council to the members of the Section Council and posted on the official website of CJSC SPIMEX on the Internet ([www.spimex.com](http://www.spimex.com)) within two (2) business days of drafting, unless otherwise provided by resolution of the Section Council.

## **10. LIABILITY OF MEMBERS OF THE SECTION COUNCIL**

10.1. Members of the Section Council shall be liable for a failure to perform or improper performance of their obligations causing damage to the Exchange in accordance with the laws of the Russian Federation and internal documents of the Exchange.

**Annex 1**

to the Regulation on the Derivatives Market Section  
of Closed Joint-Stock Company “St. Petersburg  
International Mercantile Exchange”

[ON THE LETTERHEAD OF THE  
ORGANISATION]

To the President  
of Closed Joint-Stock Company  
“St. Petersburg International Mercantile Exchange”

Request

I hereby request to include \_\_\_\_\_

\_\_\_\_\_

(full name and title of the candidate, name of the organisation)

in the list of candidates to be elected to the Derivatives Market Section Council of CJSC SPIMEX.

Candidate’s contact information:

Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

Title \_\_\_\_\_

(organisation CEO or another authorised person)

\_\_\_\_\_ / \_\_\_\_\_ /

(last name, initials)

(signature)

\_\_\_\_\_ 20\_\_

**Annex 2**

to the Regulation on the Derivatives Market Section Council of  
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International Mercantile Exchange”

Consent to processing personal information

\_\_\_\_\_ 20\_\_

I,

the undersigned, \_\_\_\_\_

(full name)

passport \_\_\_\_\_

(series and number, date of issue, issuing authority)

in accordance with the requirements of Article 9 of Federal Law of 27 July 2006 No. 152-FZ on Personal Information, hereby confirm that I give my consent to processing of my personal information for the purpose of inclusion into the list of candidates for election to the Derivatives Market Section Council of Closed Joint-Stock Company “St. Petersburg International Mercantile Exchange” (hereinafter the “Section Council”) and participation in work of the Section Council/working group in accordance with the Regulation on the Derivatives Market Section Council of Closed Joint-Stock Company “St. Petersburg International Mercantile Exchange” (hereinafter the “Regulation”).

Personal information, to which this consent relates include:

- surname, first name, patronymic;
- details of the identification document;
- employment information;
- contact details (telephone, email).

I hereby authorise the Exchange to perform all activities (operations) with my personal information, including collection, systematisation, accumulation, storage, update, amendment, use, depersonalisation, blocking, and destruction. The Exchange may process my personal information by including it in the electronic database, lists (registers) and reporting forms envisaged by the documents regulating the submission of reporting data (documents), and transfer it to authorised bodies.

Personal information processing method: documentary.

The storage period for personal information shall be seventy-five years.

This consent is given by me on (date) and shall be effective for two years from the date when the composition of the Section Council/working group is formed in accordance with the Regulation.

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I have been warned about the liability for provision of inaccurate information.

I hereby confirm that I have read the provisions of Federal Law of 27 July 2006 No. 152-FZ on Personal Information and have been explained the rights and obligations in the field of personal information protection.

Signature: \_\_\_\_\_ Date of completion: \_\_\_\_\_ 20\_\_

Full name \_\_\_\_\_

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**Annex 3**

to the Regulation on the Derivatives Market Section Council  
of Closed Joint-Stock Company “St. Petersburg  
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to the Chairman of the Board of Directors of  
Closed Joint-Stock Company “St. Petersburg  
International Mercantile Exchange”

**Request**

I hereby request to exclude me from the composition of the Derivatives Market Section Council of  
Closed Joint-Stock Company “St. Petersburg International Mercantile Exchange”.

\_\_\_\_\_ / \_\_\_\_\_ /

(last name, initials)

(signature)

\_\_\_\_\_ 20\_\_

**Annex 4**

to the Regulation on the Derivatives Market Section Council  
of Closed Joint-Stock Company "St. Petersburg  
International Mercantile Exchange"

WRITTEN OPINION

on the agenda items

provided by the member of the Derivatives Market Section Council CJSC SPIMEX

(full name)

absent at the meeting of the Section Council on \_\_\_\_\_ 20\_\_

On the agenda item \_\_: " \_\_\_\_\_ "

item formulation

Resolution:

\_\_\_\_\_

resolution formulation

The chosen voting option: \_\_\_\_\_ (the voter indicates  
one of the voting options: "FOR", "AGAINST", "ABSTAIN").

Signature: \_\_\_\_\_ / \_\_\_\_\_ /

(last name, initials)

**Annex 5**

to the Regulation on the Derivatives Market Section Council  
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**Confidentiality Obligation**

I,

\_\_\_\_\_

(full name)

passport series \_\_\_\_\_ No. \_\_\_\_\_, issued by

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(date of issue and issuing authority)

registered at:

\_\_\_\_\_

undertake, during the period of my participation in the work of the Derivatives Market Section Council of Closed Joint-Stock Company “St. Petersburg International Mercantile Exchange” (hereinafter the “Section Council”) or in the work of a working group created by the Section Council and for 3 years after my participation in the last of the meetings of the Section Council (working group of the Section Council):

1. To use information constituting a trade or any other legally protected secret of CJSC SPIMEX, including inside information, information provided by trading members in accordance with the organised trading rules and other confidential information, to which I have access, solely for the purpose of performing my duties in relation to participation in meetings of the Section Council for the benefit of CJSC SPIMEX and not to use it for my personal benefit or for the benefit of third parties.
2. To ensure safety, not to disclose or disseminate in any manner without authorisation any information constituting a trade or any other legally protected secret of CJSC SPIMEX, to which I have access or which have come to my knowledge.
3. Not to take actions to get information constituting a trade or any other legally protected secret of CJSC SPIMEX, other than information, to which I have been provided access in relation to my participation in meetings of the Section Council.
4. Not to copy by any means and not to make extracts from documents containing information constituting a trade or any other legally protected secret of CJSC SPIMEX.
5. To inform immediately the Secretary of the Section Council and Business Continuity and



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Information Protection Department:

- of any loss of material media containing information constituting a trade or any other legally protected secret of the Exchange;
- of any attempts of third parties to take possession of such information.

I have been warned about the liability in accordance with the effective laws of the Russian Federation for breach of confidentiality of information constituting a trade or any other legally protected secret, which has come to my knowledge in relation to my participation in meetings of the Section Council.

I have read the list of information constituting a trade or any other legally protected secret of Closed Joint-Stock Company “St. Petersburg International Mercantile Exchange”.

\_\_\_\_\_ 20 \_\_

\_\_\_\_\_

(signature)