## ТФ-2108-40/8

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| **Application for the provision of brokerage and custody services in the securities market** |
| [ ]  Conclusion of a Brokerage Services Agreement | [ ]  Amendment to the agreement |
| [ ]  Conclusion of a custody agreement  | [ ]  Amendment to the agreement |
| Hereby |
| *(please, specify: full name of the Client for individuals and full business name of the Client for legal entities)* |
| (hereinafter referred to as “the Client”) |
| represented by |
| *(Full Name of the Client’s representative)* |
| acting under \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| *(details of the document under which the Client’s representative is acting)* |
| Registration code of the Client who is INVESTOR: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Client’s custody account number (if known): \_\_\_\_\_ confirms the choice of the following terms for brokerage and custody services in PJSC ROSBANK (further – the Bank): |
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| **Conducting operations in the following markets and trading systems, opening brokerage accounts, custody account and sub-accounts of the custody account:** |
| [ ]  Entering into Transactions on stock market of Moscow Exchange[ ]  Entering into REPO transactions with the Central counterparty[[1]](#footnote-1) on the Moscow Exchange ( tariffs are only for legal entities)  | [ ]  Open a trading custody account (NCC) of the <owner / asset manager / nominee holder / foreign authorized holder / foreign nominee holder> (choose corresponding item) and its brokerage sub-account (NCC) designed to register brokerage operations with non-government and government securities on the Moscow Stock Exchange (RT-NCC).When registering on-exchange brokerage operations for each trading day, please write off/credit securities from/to the brokerage sub-account (NCC) *(choose one):*  |
| [ ]  Entering into Transactions on derivatives market of Moscow Exchange [ ]  Entering into Transactions on OTC market | [ ]  by registering each stock market operation in compliance with the broker’s (Bank’s) report;[ ]  by determining the net position for the Client’s brokerage operations in terms of one issue of securities and directing the transaction (writing off the total amount of securities sold by the Client and crediting the total amount of securities purchased by the Client, or registering absence of securities movement);[ ]  by determining the overall net position for the Client’s brokerage operations in terms of one issue of securities (either writing off, or crediting, or absence of securities movement). |
|  | [ ]  Open a trading custody account (NSD) of the <owner / asset manager / nominee holder / foreign authorized holder / foreign nominee holder> (choose the corresponding item) and its brokerage sub-account (NSD) designed to register brokerage operations with securities in the OTC market (OTC-NSD). |
|  | [ ]  within the custody account of the <owner / asset manager / nominee holder / foreign authorized holder / foreign nominee holder> (choose the corresponding item), opened with the Bank, please open a brokerage sub-account (EOC) designed for registering brokerage transactions with securities on OTC market with settlements in Euroclear (OTC - EOC). |
|  | [ ]  within the custody account of the <owner / asset manager / nominee holder / foreign authorized holder / foreign nominee holder > (choose the corresponding item), opened with the Bank, please open a brokerage sub-account (FS-EOC), designed for registering brokerage transactions with securities on OTC market with settlements in Euroclear (OTC-FS-EOC). |
|  | [ ]  within the custody account of the <owner / asset manager / nominee holder / foreign authorized holder / foreign nominee holder> (choose the corresponding item), opened with the Bank, please open a brokerage sub-account (CBL) designed for registering brokerage transactions with securities on OTC market with settlements in Clearstream (OTC - CBL). |
| **QUIK:**[ ]  Use QUIK Workplace for executing of operations **I hereby appoint the Bank as the Operator of the above mentioned brokerage sub-accounts and entitle it to submit orders for the execution of custody operations under the specified sub-account, following the outcome of brokerage transactions.** |
| Automated and non-automated processing of personal data specified in this Application is carried out by the Bank[[2]](#footnote-2)2 in order to fulfill the Client’s order. Data processing includes: collecting, recording, organizing, storing, retrieving, using, transferring (providing) to third parties[[3]](#footnote-3)3, their employees and persons authorized by them, including cross-border transfer to the territories of foreign states that provide adequate protection of the rights of personal data subjects, depersonalizing, blocking and destroying. The term for processing personal data is limited to the term of the Brokerage Services Agreement and of the depositary services agreement concluded between the Bank and the Client. |
| Signature of the [ ]  Client / [ ]  Client’s representative: |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  |
| *(signature) (Full name)*Job title (for the representatives of the Client who is a legal entity) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  |
|  STAMP HERElN *(if available)* |
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| **For the Bank’s notes** |
| Application number - \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Application received on \_\_\_\_\_\_\_\_\_\_\_\_\_\_ «\_\_\_» \_\_\_\_\_\_ at \_\_\_\_:\_\_\_\_:\_\_\_\_ Moscow time |
| Application registered \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| *(employee’s full name) (employee’s signature)* |
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1. For legal entities and financial institutions. The Central counterparty is the Central Counterparty National Clearing Centre (Joint-Stock company). [↑](#footnote-ref-1)
2. 2 PJSC ROSBANK, 34 Mashy Poryvaevoy Str., 107078, Moscow. [↑](#footnote-ref-2)
3. 3 Third parties are understood to be persons who have entered into an Agreement with the Bank, ensuring compliance with the requirements of the Federal Law No. 152-FZ “On personal data” from July 27, 2006. [↑](#footnote-ref-3)