

APPROVED
Order No. 8-OSN dd. 01.11.2024
Director of Ukrainian Clearing House
Limited Liability Company

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REGULATION DRAFT
on the procedure for consideration of complaints in
Ukrainian Clearing House
Limited Liability Company

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1. GENERAL PROVISIONS

1.1. Regulation on the procedure for complaints processing in Ukrainian Clearing House Limited Liability Company (hereinafter referred to as the Regulation) defines the status and regulates the activities of the responsible person entrusted with the responsibilities for complaints processing (hereinafter referred to as the responsible person), the purpose and objectives of the activities, its functions, powers, organization of activities, duties, rights and responsibilities of the responsible person, the procedure for its interaction with the Supervisory Board, the Director and other structural units of Ukrainian Clearing House Limited Liability Company.

1.2. This Regulation has been developed in accordance with the requirements of the current legislation of Ukraine, regulations of the National Securities and Stock Market Commission, the Company's Charter and other internal documents of the Company.

2. THE PROCEDURE FOR APPOINTING A RESPONSIBLE PERSON

2.1. The responsible person shall be appointed by the Director of the Company.

2.2. Decision to appoint a responsible person shall be formalized by an order of the Director of the Company.

2.3. The powers of the responsible person shall be terminated:

- at the request of the responsible person, set forth in writing to the Director of the Company;
- in case the Director of the Company decides to terminate the powers of the responsible person;
- in case of dismissal of the responsible person from the Company.

3. FUNCTIONS OF THE RESPONSIBLE PERSON AND THE PROCEDURE FOR INTERACTION WITH OTHER STRUCTURAL UNITS OF THE COMPANY

3.1. The responsibilities (functions) of the responsible person shall include:

3.1.1. acceptance and consideration of complaints related to the Company's operations;

3.1.2. analyzing the submitted complaints for compliance with the requirements established by this Regulation;

3.1.3. determining and recommending a strategy for responding to the complaint;

3.1.4. direct communication with the complainant, if necessary;

3.1.5. if necessary, prepare materials, information and evidence on the complaint for its consideration by the Supervisory Board or other body (division) of the Company;

3.1.6. notifying the complainant of the results of consideration of his/her complaint;

3.1.7. other issues stipulated by the legislation, internal documents of the Company, the Company's Charter and/or this Regulation.

3.2. To prepare materials, information and evidence on the complaint, the Responsible Person shall have the right to involve other employees and structural units of the Company.

3.3 Responses to complaints shall be prepared by the responsible person or, if necessary, by other employees on his/her behalf (in agreement with the head of such employee).

3.4. Responsible person shall be guided in his/her activities by the applicable laws of Ukraine, the Company's Charter, other internal documents of the Company, resolutions of the General Meeting of Shareholders and the Supervisory Board, and this Regulation.

4. DUTIES, RIGHTS AND LIABILITY OF THE RESPONSIBLE PERSON

4.1 The responsible person within his/her competence shall have the right to:

4.1.1. in writing or orally request and receive documents and information from the heads of the Company's structural units and other employees, provided that confidential information, professional secrets and trade secrets are not disclosed, which is necessary for making a decision on the issues within the competence of the Responsible Person;

4.1.2. hold meetings with members of the Supervisory Board, Director, Chairman/Members of the Audit and Risk Management Committee, Chairman/Members of the Nomination and Remuneration Committee, Chairman/Members of the Compliance Committee, Compliance Manager and Risk Manager or a person combining their functions, internal auditor (if any), other employees to discuss issues within the competence of the Responsible Person;

4.1.3. to submit written proposals to the Director to improve the work of the responsible person, including amendments to this Regulation;

4.1.4. other rights within the framework of performing the tasks and functions provided for in this Regulation, internal documents of the Company and/or the current legislation of Ukraine.

4.2 The responsible person shall be obliged to:

4.2.1. perform the functions assigned to him/her in accordance with this Regulation, requirements of the current legislation of Ukraine, the Charter and other internal documents of the Company, regulations of the National Securities and Stock Market Commission, honestly and in good faith;

4.2.2. objectively and in a timely manner analyze complaints for their compliance with the Regulation, verify the facts stated in the complaint and the attached evidence;

4.2.3. during the consideration of complaints, communicate with the complainant in a clear, simple and understandable language and respond to complaints within the time limits provided for by this Regulation and other internal documents of the Company;

4.2.4. if necessary, provide the Supervisory Board with materials, information and evidence in order to make a decision on the results of the complaint consideration;

4.2.5. after making a decision, notify the complainant of the results of the complaint consideration;

4.2.6. when exercising their rights and performing their duties, act exclusively in the interests of the Company;

4.2.7. not to disclose or use confidential information, professional secrets and trade secrets of the Company, which became known in the course of performing their functions, in their own favor or in favor of third parties;

4.2.8. in the performance of their duties, adhere to the principles of independence, honesty, objectivity, confidentiality and professional ethics in accordance with the requirements of the current legislation of Ukraine, this Regulation and other internal documents of the Company;

4.2.9. perform other duties determined by the Company's internal documents and the current legislation of Ukraine.

4.3. The responsible person shall be liable in accordance with the requirements of the current legislation of Ukraine and/or internal documents of the Company, including:

4.3.1. for disclosure of confidential information, professional secrets and trade secrets that became known in connection with the exercise of his/her powers in accordance with this Regulation;

4.3.2. for poor-quality and incomplete performance of tasks and functions defined by this Regulation.

5. COMPLAINT, TERMS AND PROCEDURE FOR ITS CONSIDERATION

5.1. A complaint shall mean an appeal in written or electronic form submitted to the Company to appeal against actions of the Company or employees of the Company and demanding restoration of rights and protection of legitimate interests of the Clearing Members violated by actions (inaction), decisions of the Company, executed and submitted in compliance with the requirements set forth herein.

5.2. A complaint submitted to the Company must contain:

- the name of the document "Complaint";

- the original number of the complaint and the date;

- full name of the person filing the complaint, his/her location, postal address for correspondence, indication of means of communication;
- content and grounds for filing a complaint;
- requirements of the complainant;
- list of attachments to the complaint;
- signature of the head of the legal entity/individual entrepreneur and seal (if any) or an authorized person with documents confirming his/her powers.

5.3. A complaint shall be sent to the postal address indicated on the Company's website in the "Contacts" section or via the Internet to the Company's e-mail address: info@uaclearing.com.ua in compliance with the requirements of the Law of Ukraine "On Electronic Documents and Electronic Document Management" and the Law of Ukraine "On Electronic Identification and Electronic Trust Services".

5.4. The Company shall keep electronic records of complaints of the Clearing Members with automated end-to-end numbering, recording of actions containing information on the date and time of receipt of the complaint, the person who filed it, and the results of consideration of the complaint.

5.5. The complainant shall provide evidence to substantiate the circumstances underlying the complaint.

5.6. The complaint shall be accompanied by copies (duly certified) of all documents attached thereto.

5.7. A grievance filed without compliance with the requirements specified in clause 5.2. of the Regulation or that does not contain information about the circumstances that substantiate the complainant's claims and does not contain evidence confirming each circumstance shall be returned to the complainant with appropriate explanations within the time limit for consideration of the complaint.

5.8. Submission of a grievance containing slander and insults, discrediting public authorities, local governments, associations of citizens and their employees, managers and other employees of the Company and other enterprises, institutions and organizations regardless of ownership, calls for incitement to national, racial, religious hatred and other actions shall entail liability under applicable law. Such complaints are not considered by the Company and do not contain an obligation to respond in accordance with applicable law and this Regulation.

5.9. The responsible person shall consider the received complaint if it is duly executed and received in writing to the Company's legal address or in electronic form to the Company's e-mail address.

5.10. A complaint shall be registered on the day it is received by the Company in accordance with the requirements of the Company's internal documents on the organization of record keeping.

5.11. Consideration of the complaint shall begin no later than the next business day after its receipt by the Company and shall not exceed thirty (30) calendar days. In exceptional cases, the term for consideration of the complaint may be extended by the decision of the Supervisory Board or the

Company's Executive Officer. In this case, the Company's Responsible Officer shall inform the complainant thereof no later than the next business day following the date of the decision to extend the period for consideration of the complaint by means of the Company's e-mail.

5.12. The complainant shall be informed by the responsible person in writing or electronically by means of the Company's e-mail about the results of the complaint consideration.

5.13. The decision of the Company made upon consideration of the complaint may be appealed in court.

6. FINAL PROVISIONS

6.1. Regulation shall come into force from the date of its approval by the order of the Company's Director.

6.2. Amendments and additions to the Regulation shall be made by approving a new version of the Regulation by the Director of the Company, which shall be put into effect and communicated to the interested parties by the relevant order of the Director of the Company.

6.3. In case of inconsistency of any part of this Regulation with the current legislation of Ukraine, the current version of the Company's Charter, or the Regulation on the Supervisory Board, including in connection with the adoption of new acts of legislation of Ukraine, regulations of the National Securities and Stock Market Commission, this Regulation shall be valid only to the extent that it does not contradict the current legislation of Ukraine, the current version of the Company's Charter, the Regulation on the Supervisory Board, and other regulations.

6.4. Termination or invalidity of any of the clauses of this Regulation shall not entail invalidity or termination of other clauses of the Regulation.

6.5. Issues not regulated by this Regulation shall be governed by the Charter, other internal documents of the Company, the current legislation of Ukraine, resolutions of the General Meeting of Shareholders and the Supervisory Board.