НАЦИОНАЛЬНЫЙ
КЛИРИНГОВЫЙ
ЦЕНТР

MOEX

Working in the Clearing Terminal

CONTENTS

(on the Company's letterhead)

To CCP NCC

REQUEST FOR ACCESS TO THE CLEARING TERMINAL

_____

(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please grant access to the Clearing Terminal for the employees of the Clearing Member (hereinafter referred to as the User) by assigning the following access rights:

№	Full name of the User*	Name of EDI certificate/Identity document**	E-mail address***	Action in relation to the User	Role	Operations with using MOEX Trade/ MOEX Spectra		Limitations on the Settlement accounts (hereinafter referred to as SA)	
						Software and hardware complex	Terminal Login	Limitation	List of Settlement accounts
				☐ Add ☐ Change ☐ Delete	☐ Cash operations ☐ Clearing operations ☐ All operations ☐ Transfers inside NCC ☐ Teller	☐ Securities Market ☐ FX Market ☐ Derivatives Market		☐ All SA are available ☐ Only indicated SA are available ☐ Delete the following SA from the available ones ☐ Add the following SA to the available ones	

We hereby confirm that the owner of the Terminal Login is the relevant User.

Double control feature:**

    ☐   Double control is not required

    ☐   Set / remove double control feature for the following groups of operations:
        ☐ only cash operations
        ☐ all operations

Add or change Users' data:

☐ The application is provided instead of the previous one (only those Users who are specified in this application will have access).
or

☐ The application is provided in addition to the previous ones (all changes will be made in relation to the Users specified in this application).

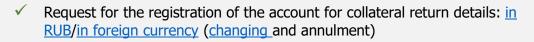# ROLES DIFFERENTIATE USER ACCESS TO VARIOUS CLEARING TERMINAL WEB UI PROGRAM RESOURCES

USER ROLE	DESCRIPTION
CASH OPERATIONS (MoneyReq)	Requests related to working with cash funds (registration of return payment information, transfer of Collateral, Collateral return, etc.)
CLEARING OPERATIONS (ClearingReq)	Requests that are not directly related to cash transactions (registration of TA, selection of a tariff plan, profile transfer, Early payments, messages in a free format, etc.)
ALL OPERATIONS (AllReq)	All permissions, work with all requests
TELLER (TellerReq)	A role for an employee who has the right to file documents, but does not have the right to sign them

MAIN OUTGOING REQUESTS GENERATED BY THE CLEARING TERMINAL

REQUESTS RELATED TO WORKING WITH CASH FUNDS

- ✓ Request for the registration of the account for collateral return details: in RUB/in foreign currency (changing and annulment)
- ✓ Request for setting correspondence of the account for collateral return to the SA (and cancellation)
- ✓ Request/Standing instruction for collateral return (and cancellation)
- ✓ Creating a collateral return request template (cancellation/change)
- ✓ Request/standing instruction for depositing (copying/cancellation)
- ✓ Request for collateral transfer (and cancellation)
- ✓ Request for assets profile transfer
- ✓ Request/standing order on early settlement/early exit from trading
- ✓ Request for additional cash flow statement (CCX99) under the Settlement Account

ACCESSIBLE BY ROLES:
- TellerReq (with no signature rights)
- MoneyReq
- AllReq

REQUESTS NOT DIRECTLY RELATED TO TRANSACTIONS OF CASH FUNDS

- ✓ Request for assigning unified pool feature to the Settlement Account
- ✓ Request for changing scope of application of a unified pool Settlement Account
- ✓ 2nd level Settlement Account open/close request
- ✓ 3rd level Settlement Account open/close request
- ✓ Request to open a deposit Trading Account
- ✓ Free format text message
- ✓ Request to choose tariff plan
- ✓ Request for limiting the start time of concluding trades with the Clearing Centre under the Settlement Account
- ✓ Choice of the priority TA for fulfilling Stress Collateral requirements (and cancellation)

ACCESSIBLE BY ROLES:
- TellerReq (with no signature rights)
- ClearingReq
- AllReq

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CLEARING TERMINAL: MAIN INCOMING DOCUMENTS

✓ **Advice** is a notification of an operation in the SA Collateral Account

✓ **Statement** – a statement of the Collateral Account

✓ **Interest on deposits –** report on accrued and paid interest on deposit agreements

✓ **Stress Collateral –** notification of the minimum amount of Stress Collateral

Accessible by users with roles:

- TellerReq
- MoneyReq
- AllReq

✓ **Receipt** is the result of processing the request in the NCC Accounting system

Accessible by users with roles:

- Depending on the permission for access of the original receipt

1. In main menu choose **Reference**

2. Then open the ***Requisites for Collateral return*** tab

3. Click ***Add details***

1. Choose **Currency**

2. Create **Name**

3. Fill in **details of the Receiving bank and Receiver**

4. Client is an optional field

5. Purpose of payment is an optional field

6. Click **Sign and send**

Attention: details are registered **without connection to the Settlement Account**. Connect the to the Settlement Account in order to return Collateral.
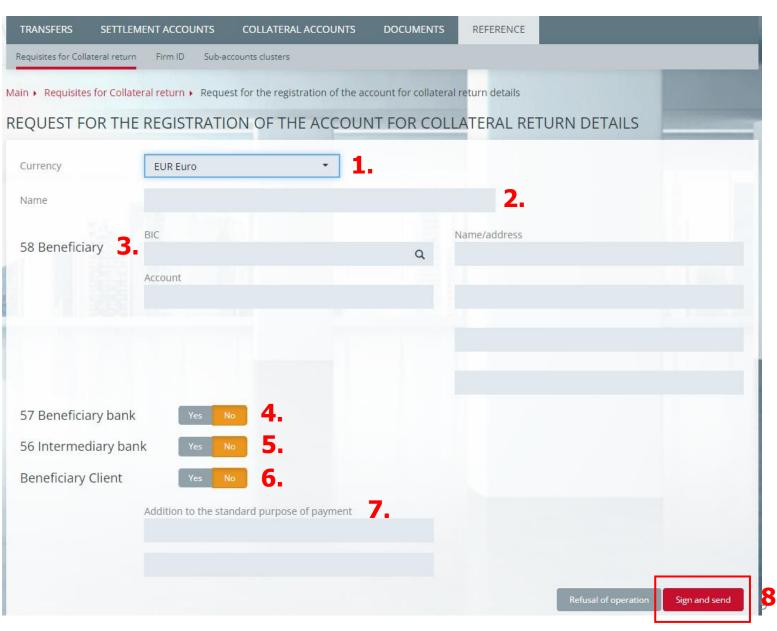In order to do so please use the *Request for setting correspondence of the Account for Collateral return to the Settlement Account*.

| TRANSFERS | SETTLEMENT ACCOUNTS | COLLATERAL ACCOUNTS | DOCUMENTS | REFERENCE |

Requisites for Collateral return   Firm identifiers   Sub-accounts clusters

Main ▸ Requisites for Collateral return ▸ Request for the registration of the account for collateral return details

REQUEST FOR THE REGISTRATION OF THE ACCOUNT FOR COLLATERAL RETURN DETAILS

Currency   RUB Russian rubles   **1.**

Name   **2.**

Receiving bank

Russian BIC   Name   Correspondent account   **3.**

Receiver

Name   TIN   KPP   Personal account

Client   Yes No   **4.**

Purpose of payment   **5.**

Refusal of operation   Sign and send   **6.**

1. Choose *Currency*

2. Create *Name*

3. Fill in the **Beneficiary** block (field 58)

4. If necessary, select Yes and fill in the Beneficiary Bank block (field 57)
5. If necessary, select Yes and fill in the Intermediary bank block
6. If necessary, select Yes and fill in the Beneficiary Client block
7. Purpose of payment – optional field
8. Click **Sign and send**

TRANSFERS   SETTLEMENT ACCOUNTS   COLLATERAL ACCOUNTS   DOCUMENTS   REFERENCE

Requisites for Collateral return   Firm ID   Sub-accounts clusters

Main ▸ Requisites for Collateral return ▸ Request for the registration of the account for collateral return details

REQUEST FOR THE REGISTRATION OF THE ACCOUNT FOR COLLATERAL RETURN DETAILS

Currency   EUR Euro   **1.**

Name   **2.**

58 Beneficiary **3.**   BIC   Name/address

                Account

57 Beneficiary bank   Yes   No   **4.**

56 Intermediary bank   Yes   No   **5.**

Beneficiary Client   Yes   No   **6.**

Addition to the standard purpose of payment **7.**

Refusal of operation   Sign and send   **8.**

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REQUEST FOR THE REGISTRATION OF THE ACCOUNT FOR COLLATERAL RETURN DETAILS IN FOREIGN CURRENCY (2/2)

To view the registered details:

1. In the main menu select
   Reference

2. Then
   Requisites for Collateral return

Attention: details are registered **without connection to the Settlement Account**.
Connect the details to the Settlement Account in order to return the Collateral.
In order to do so please use the *Request for setting correspondence of the Account for Collateral return to the Settlement Account.*

REQUEST FOR THE REGISTRATION OF THE ACCOUNT FOR COLLATERAL RETURN DETAILS IN FOREIGN CURRENCY. OPTIONS A AND D

Options A and D are ways to identify the country in the request field

Option A: country identification by code (BIC)

An example of filling in the field 58 using option A

Option D: country identification by name and address

An example of filling in the field 58 using option D

REQUEST FOR CHANGING DETAILS OF THE ACCOUNT FOR COLLATERAL RETURN DETAILS

1. In main menu choose **Reference**

2. Then choose **Requisites for Collateral return**

3. Click **Add details** or **the pencil icon**

4. In the opened form **Request for changing details of the account for collateral return** fill in all the fields

5. Click **Sign and send**

Attention: the request can be used in order to give the details a more understandable name.

REQUEST FOR THE REGISTRATION OF THE ACCOUNT FOR COLLATERAL RETURN DETAILS: FEATURES OF THE STATUS MODEL
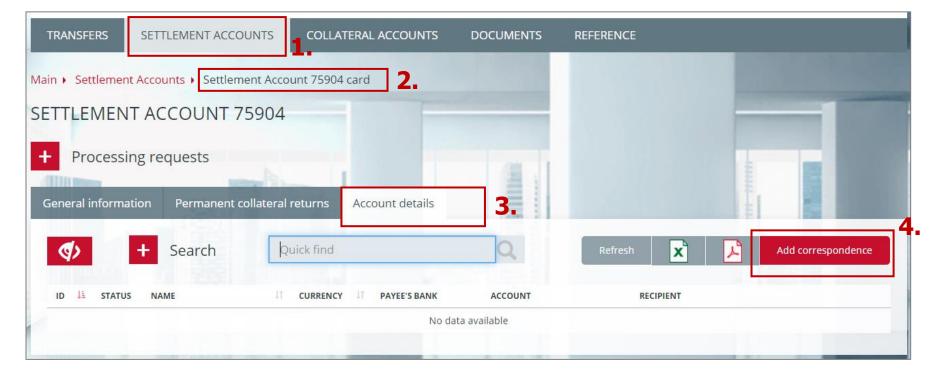
✓ Status 'pending' - the request has been registered by the NCC, is under consideration by the relevant departments

✓ Status 'inactive' (the filter 'Show inactive' is available - the default value is 'None')

✓ In case of refusal to approve the details by the NCC Accounting system, the receipt for the request will contain the error Account = 226 and the justification for the refusal in the 'Diagnostic message' field

REQUEST FOR SETTING CORRESPONDENCE OF THE ACCOUNT FOR COLLATERAL RETURN TO THE SETTLEMENT ACCOUNT (1/2)

1. In main menu choose **Settlement Accounts**

2. Then choose the **Settlement Account**, to which the details of the Account for Collateral return will be connected

3. In the Settlement Account card choose **Account details**

4. Click **Add correspondence**

REQUEST FOR SETTING CORRESPONDENCE OF THE ACCOUNT FOR COLLATERAL RETURN TO THE SETTLEMENT ACCOUNT (2/2)

1. Choose the **Currency**

2. Then choose an **Account for the Collateral return** from the list
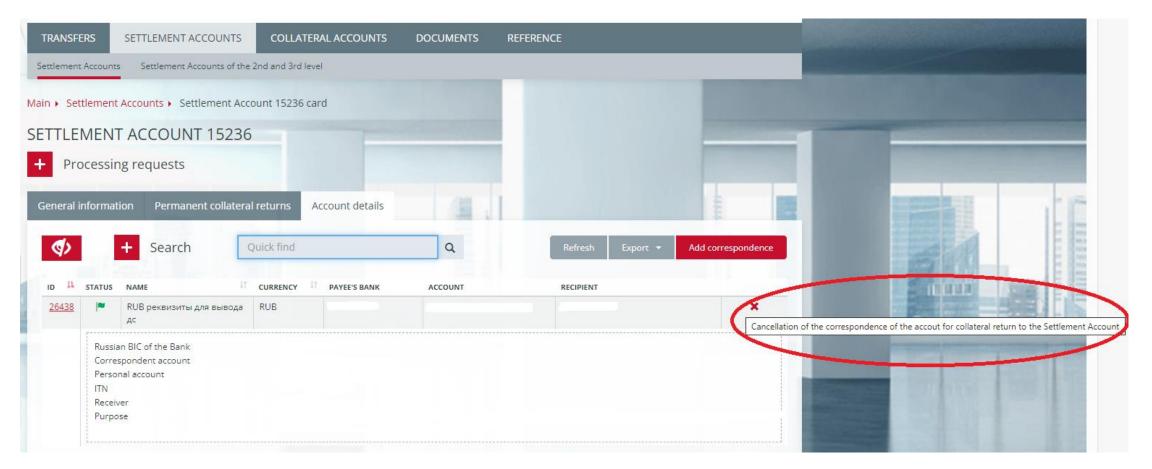
3. Click
   Sign and send

Attention: in the field 'Account for collateral return' will be available only those details, which were registered earlier and correspond to the chosen currency.
Field 'Account name for the collateral return' is filled in automatically.

| TRANSFERS | SETTLEMENT ACCOUNTS | COLLATERAL ACCOUNTS | DOCUMENTS | REFERENCE |

Main ▸ Settlement Accounts ▸ Settlement Account 75904 card ▸ Request for setting correspondence of the account for collateral return to the Settlement Account

SETTING CORRESPONDENCE OF THE ACCOUNT FOR COLLATERAL RETURN TO THE SETTLEMENT ACCOUNT

| Settlement account | 75904 Clients/Ordinary | Currency | Choose the currency |

2.

Account for the collateral return

Account name for the collateral return

Refusal of operation | Sign and send

1.

3.

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CANCELLATION OF THE CORRESPONDENCE OF THE ACCOUNT FOR COLLATERAL RETURN TO THE SETTLEMENT ACCOUNT

The operation of cancelling the correspondence of the Account for collateral return to the Settlement Account is performed by Clicking the ✖ button in the main line of the requisites or by clicking the Remove correspondence button in the 'Account details' card, which opens when users open the SA card. In the form 'Cancellation of the correspondence of the account for collateral return to the Settlement Account' by clicking the Sign and Send button, the operation is confirmed.

REQUEST FOR COLLATERAL RETURN

1. In main menu choose **Transfers**

2. Then choose **Collateral return**

3. Click **Add request**

4. In the form of the **Request for Collateral return** fill in all fields

5. Click **Sign and send**

Attention: in the drop-down list, in the field Account for Collateral return will be available only those details, which are assigned to the Settlement Account, chosen in the Settlement Account tab.
When making returns on the derivatives market clearing registers must be defined.

CANCELLING AND COPYING THE REQUEST FOR COLLATERAL RETURN

1. **In the Request for Collateral Return window:**

   1.1 📑 **- copying the Request**

   1.2 ⭐ **- cancelling the Request. Available when the Status is 'Accepted'**

CREATING A COLLATERAL RETURN REQUEST TEMPLATE (1/2)

1. Choose **Transfers**

2. Then choose **Templates**

3. Click
   Create a template

The following operations are also available:

- **Changing the template** of the collateral return request – the context menu item of the template entry. Change template attributes by creating a template change request;
- **Deleting a Collateral Return Request Template** is an item in the context menu of the record. Adding a request to delete a template;
- **Request for the return of collateral** is an item in the context menu of the record. Create a collateral return request on the template update.

CREATING A COLLATERAL RETURN REQUEST TEMPLATE (2/2)

1. Specify a **1ˢᵗ level Settlement Account**

2. Specify the **Market**

3. Click **Sign and send**

STANDING INSTRUCTION TO RETURN COLLATERAL (1/2)

1. Choose the required Settlement Account in the tab **Settlement Accounts** in the main menu

2. Choose the tab **Permanent collateral returns**

3. Click **Add request**

4. Choose **Standing Instruction to return collateral**

5. In the instruction form fill in all necessary fields

6. Click **Sign and send**

7. Set instruction will be shown in the tab **Permanent collateral returns** of the Settlement Account card

Attention: when making returns on the derivatives market clearing registers must be indicated (the filed 'CR').

REQUEST FOR THE STANDING INSTRUCTION FOR COLLATERAL RETURN

Settlement account	12613 Proprietary/Ordinary
Market	Securities ▼	CR	
Currency	Choose the currency ▼	Starting date	13.10.2020	Execution method	Choose the value ▼
Account for the collateral return	

5.

Refusal of operation   Sign and send

6.

| General information | Permanent collateral returns | Account details |

Refresh   Add request ▼

CURRENCY	EXECUTION METHOD	STANDING INSTRUCTION TO EXECUTE DEPOSITING	REQUEST FOR DEPOSITING
RUB Russian rubles	net claim under trades ✖		

7.

REQUEST FOR THE CANCELLATION OF THE STANDING INSTRUCTION FOR COLLATERAL RETURN

1. Click the button ✖ in the Permanent Collateral Returns tab or Click the Delete Request button in the request card

2. Click **Sign and Send**

REQUEST FOR DEPOSITING

1. In the SA card click **Permanent collateral returns**
2. Click **Add Request**
3. Select **Request for depositing** from the list

1. Specify the **Settlement Account**
2. Specify the **Market**
3. Specify the **Currency**
4. Enter a positive amount
5. Click **Sign and send**

REQUEST FOR THE CANCELLATION OF THE REQUEST FOR DEPOSITING

1. Click the ✖ button in the Deposit Request box to the right of the Deposit Request card link in the Standing Collateral Returns tab or Click the Delete Request button on the Deposit Request card

2. Click
   Sign and send

TRANSFERS	SETTLEMENT ACCOUNTS	COLLATERAL ACCOUNTS	DOCUMENTS	REFERENCE

Submitted   Incoming   Messages

Main ▸ Incoming documents ▸ Request receipt ▸ Settlement Account 15236 card ▸ Request for the cancellation of the request for depositing

REQUEST FOR THE CANCELLATION OF THE REQUEST FOR DEPOSITING

Settlement account	15236 Proprietary/Ordinary
Market	Currency
Currency	RUB Russian rubles
Amount	20.00

Refusal of operation   Sign and send

REQUEST FOR THE STANDING INSTRUCTION TO EXECUTE DEPOSITING

1. In the SA card click **Permanent Collateral Returns**

2. Click the **Add Request** button

3. Select **Standing Instruction to Execute Depositing**

1. Specify the **Settlement Account**

2. Specify the **Market**

3. Specify the **Currency**

4. Enter a positive **Amount**

5. Click **Sign and send**

1. Click the ✖ button in the Standing Deposit Order box to the right of the link to the Standing Deposit Instruction Request Card on the Standing Collateral Returns tab or Click the Delete Request button in the Standing Deposit Instruction Request Card

2. Click **Sign and send**

REQUEST FOR COLLATERAL TRANSFER

1. In main menu choose
   Transfers

2. Then choose
   Collateral transfer

3. Click
   Add request

4. In the form of the **Request for collateral transfer** fill in all fields

5. Click
   Sign and send

Attention: when making transfers from/to the derivatives market indication of credit/debit clearing registers is required.

REQUEST FOR ASSIGNING UNIFIED POOL FEATURE TO THE SETTLEMENT ACCOUNT

1. In the main menu choose **Settlement Accounts**

2. Then choose **Settlement Accounts**

3. In the drop-down list choose **Request for assigning Unified Pool feature to the Settlement Account**

REQUEST FOR ASSIGNING UNIFIED POOL FEATURE TO THE SETTLEMENT ACCOUNT

1. Choose a **Settlement Account** from the list

2. Click **Sign and send**

REQUEST FOR CHANGING SCOPE OF APPLICATION OF A UNIFIED POOL SETTLEMENT ACCOUNT

1. In the main menu choose **Settlement Accounts**

2. Then choose **Settlement Accounts**

3. In the drop-down list choose **Request for changing scope of application of a unified Settlement Account**

1. Choose a **Unified Pool SA** from the list

2. Choose the **Settlement Account** to be attached

3. Fill in the **Market**

4. Click **Sign and send**

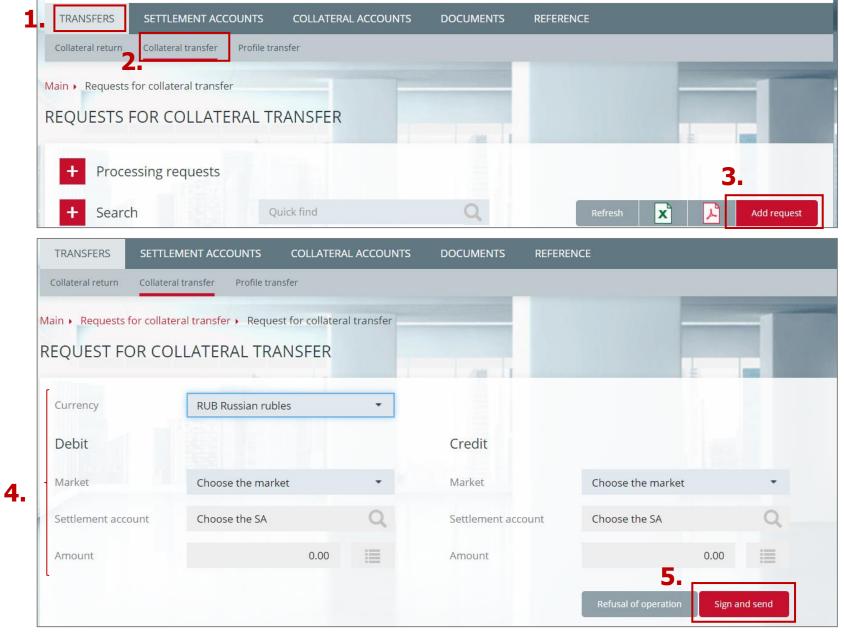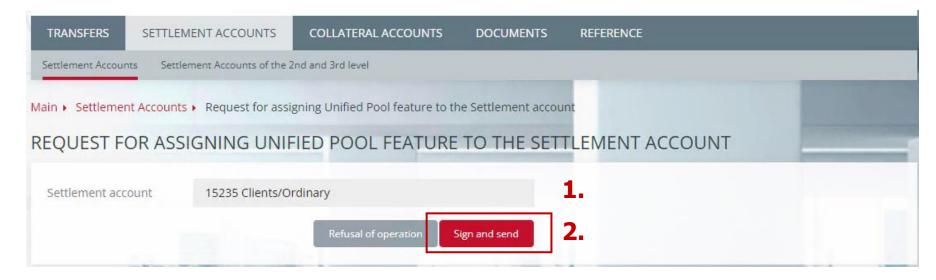| 15234		Securities Currency	Settlement account	Ordinary			
REQUEST FOR CHANGING SCOPE OF APPLICATION OF A UNIFIED POOL SETTLEMENT ACCOUNT							
REQUEST FOR CHANGING SETTLEMENT ACCOUNT REQUEST FOR LIMITING THE START TIME OF CONCLUDING TRADES WITH THE CLEARING CENTER UNDER THE SETTLEMENT CODE							
REQUEST FOR THE EXECUTION OF EARLY SETTLEMENT							
REQUEST FOR THE EXECUTION OF EARLY EXIT FROM TRADING							
REQUEST FOR ADDITIONAL CASH FLOW STATEMENT (CCX99) UNDER THE SETTLEMENT CODE							
TRADE ACCOUNT OPEN REQUEST							
2ND LEVEL SETTLEMENT ACCOUNT OPEN REQUEST							

TRANSFERS | SETTLEMENT ACCOUNTS | COLLATERAL ACCOUNTS | DOCUMENTS | REFERENCE

Settlement Accounts   Settlement Accounts of the 2nd and 3rd level

Main ▸ Settlement Accounts ▸ Request for changing scope of application of a Unified Pool Settlement account

REQUEST FOR CHANGING SCOPE OF APPLICATION OF A UNIFIED POOL SETTLEMENT ACCOUNT

Settlement account	15234 Proprietary/Ordinary	**1.**
Settlement account to be attached	Yes No	
Settlement account to be attached	Choose the SA 🔍	**2.**
Market	Derivatives ▾	**3.**
	Refusal of operation Sign and send	**4.**

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REQUEST FOR ASSETS PROFILE TRANSFER (1/2)

1. In the main menu choose **Transfers**

2. Then choose **Profile Transfer**

3. Click **Add Request**

REQUEST FOR ASSETS PROFILE TRANSFER (1/2)

1. Choose a **Unified Pool SA** from the list

2. Choose a Level 1 **Unified Pool TA**

3. Fill in the Currency Balance* with Market, Asset, CR/SA of the 2nd level and Amount

4. Click **Sign and send**

*total amount for each of the currencies entered. The balance amount is highlighted in red if the balance is not equal to 0

SETTING FILTERS WHEN SEARCHING

Additional search filters by amount and account for refund for requests were introduced:

- Request for collateral return (Added filters: 'Date from', 'Date to' and it is now possible to see previously sent requests for the collateral return (search depth 1 year)
- Request for collateral transfer
- Request for assets profile transfers
- Request for cancellation of a request for collateral return
- Request for cancellation of a request for collateral transfer
- Request for cancellation of a request for assets profile transfer

OPENING OF SETTLEMENT ACCOUNTS OF THE 2ND AND 3RD LEVELS

1. In the main menu choose **Settlement Accounts**

2. Then choose the **Settlement Accounts of the 2nd and 3rd levels**

3. Click **Registration**

4. Choose a **2nd level Settlement Account open request**

2nd LEVEL SETTLEMENT ACCOUNT OPEN REQUEST

1. Specify a Level 1 **Settlement Account**

2. Specify the **Market**

3. Choose a Level 1 **TA**

4. Identification data is an optional field

5. Click **Sign and send**

2nd LEVEL SETTLEMENT ACCOUNT CLOSE REQUEST

The request form is accessed by clicking the drop-down button ⌄ next to the record of the level 2 SA to be closed.
If an active Level 3 SA is opened to a Level 2 SA, it is also closed, and a warning message is displayed: Level 3 Settlement Accounts will be closed. Continue?

3rd LEVEL SETTLEMENT ACCOUNT OPEN REQUEST

1. Open the **Settlement Accounts of the 2nd and 3rd level** window

2. Click the **Registration** button

3. Then choose the **3rd level Settlement Account open request**

3rd LEVEL SETTLEMENT ACCOUNT OPEN REQUEST

1. Specify the **Level 2 Settlement Account** and **Identification data**

2. Click **Sign and send**

| TRANSFERS | SETTLEMENT ACCOUNTS | COLLATERAL ACCOUNTS | DOCUMENTS | REFERENCE |

Settlement Accounts   Settlement Accounts of the 2nd and 3rd level

Main ▸ Settlement Accounts of the 2nd and 3rd level ▸ 3nd level Settlement account Open Request

3ND LEVEL SETTLEMENT ACCOUNT OPEN REQUEST

SA 2-nd level   100000641

Identification data

1.

Refusal of operation   Sign and send   **2.**

3rd LEVEL SETTLEMENT ACCOUNT CLOSE REQUEST

The request form is accessed by clicking the drop-down button [▼] next to the record of the 3rd level SA to be closed.

CASH FLOW STETEMENT REQUEST (1/3)

1. In main menu choose **Collateral Accounts**

2. Then from the Collateral Accounts list choose the one under which you would like to receive the Statement

3. Choose the date for which the statement shall be made (field «**Statement date**»)

4. Click **Request**

5. Statement will be available on the page **Documents -> Incoming**

6. Click on the document number

CASH FLOW STETEMENT REQUEST (2/3)

Example of a statement
The statement can be printed and/or saved in pdf format

| TRANSFERS | SETTLEMENT ACCOUNTS | COLLATERAL ACCOUNTS | DOCUMENTS | REFERENCE |

Submitted   Incoming   Messages

Main ▸ Incoming documents ▸ Statement

STATEMENT

Print   Close the form

CASH FLOW STATEMENT
Date: 27.02.2024

Clearing Member name:
Clearing Member code: 9113200000
Settlement Code: 15236

47405156500000015236
ВР, - расчеты по покупке и продаже валюты

Currency Code: CNY

Operation kind	Transaction type	Document number	Correspondent account			Information	Debit	Credit
			RCBIC / BIC	Payer's account / Beneficiary's account	Payer / Beneficiary / Corresponding account			
						Opening Balance		1,000,000.00
						Total	0.00	0.00
						Closing Balance		1,000,000.00

1. To download statements choose in the main menu **Incoming documents**

2. Then use the **Filter** and set the required parameters in the filed **Type** choose **Statement**

3. Click **Apply**

4. When all the required statements are shown in the table Click **Save to disk**

   Statements are saved in the **xml** format

1. In the main menu choose **Calculation Accounts**

2. Then click on the selected **Billing Account** and go to the **Billing Account card**

3. In the Morning trades field click the current status Admitted/Not Accepted

4. The Request to limit the start time of trades form opens

5. In the request form set the status of admission to morning trading: **Admitted/Not admitted**

6. Click **Sign and Send**

1.
2.

| TRANSFERS | SETTLEMENT ACCOUNTS | COLLATERAL ACCOUNTS | DOCUMENTS | REFERENCE |

Settlement Accounts   Settlement Accounts of the 2nd and 3rd level

Main ▸ Settlement Accounts ▸ Settlement Account 15236 card

SETTLEMENT ACCOUNT 15236

+ Processing requests

| General information | Permanent collateral returns | Account details |

Type	Settlement account designed for recording proprietary funds of the Clearing member
Kind	Ordinary
Special feature	No
Status	active

MARKET NAME	IDENTIFIER	MORNING TRADES
Currency	MB9113200000	Not admitted

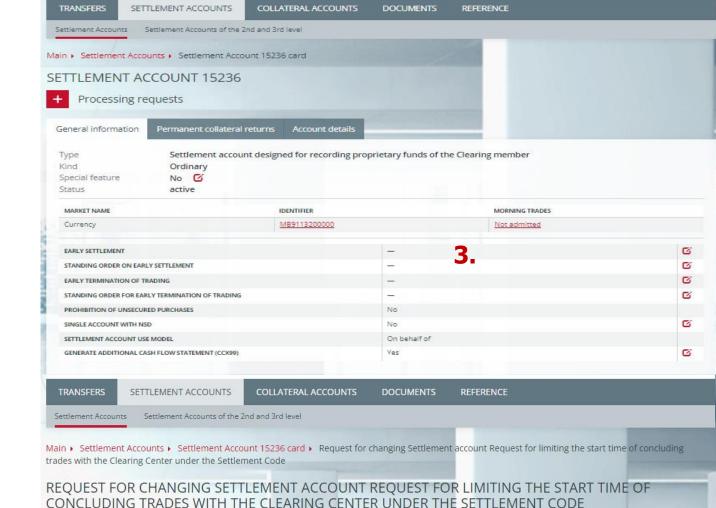|		
EARLY SETTLEMENT	—	
STANDING ORDER ON EARLY SETTLEMENT	—	
EARLY TERMINATION OF TRADING	—	
STANDING ORDER FOR EARLY TERMINATION OF TRADING	—	
PROHIBITION OF UNSECURED PURCHASES	No	
SINGLE ACCOUNT WITH NSD	No	
SETTLEMENT ACCOUNT USE MODEL	On behalf of	
GENERATE ADDITIONAL CASH FLOW STATEMENT (CCX99)	Yes	

3.

| TRANSFERS | SETTLEMENT ACCOUNTS | COLLATERAL ACCOUNTS | DOCUMENTS | REFERENCE |

Settlement Accounts   Settlement Accounts of the 2nd and 3rd level

Main ▸ Settlement Accounts ▸ Settlement Account 15236 card ▸ Request for changing Settlement account Request for limiting the start time of concluding trades with the Clearing Center under the Settlement Code

REQUEST FOR CHANGING SETTLEMENT ACCOUNT REQUEST FOR LIMITING THE START TIME OF CONCLUDING TRADES WITH THE CLEARING CENTER UNDER THE SETTLEMENT CODE

Settlement account	15236 Proprietary/Ordinary
Market	Currency ▾
Morning trades	Not admitted ▾

4.
5.
6.

Refusal of operation   Sign and send

42

1.

1. In the main menu choose
   Calculation Accounts

2. Then tick the box
   Enable Group Operations Mode

2.

3. Tick the required *Billing Accounts*

4. Click *Operations*, choose *Request to limit the start time of trades*

5. In the request form, set the status of admission to morning trading:
   Admitted/Not admitted

3.

6. Click
   Sign and Send

4.

5.

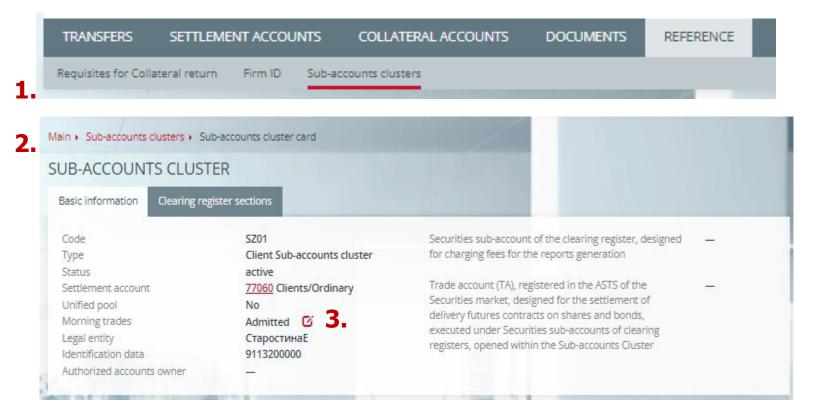**6.**

REQUEST FOR A TIME LIMIT FOR THE START OF TRANSACTIONS IN THE DERIVATIVES MARKET (1/2)

1. From the main menu choose **Directories**, then **Brokerage Firms**

2. Then click on the selected **Brokerage Firm** and go to the **Brokerage Firm Card**

3. In the Morning trades field click the checkmark next to the current status **Admitted/Not accepted**

4. The Request to limit the start time of trades form opens

5. In the request form set the status of admission to morning trading: **Admitted/Not admitted**

6. Click **Sign and Send**

1.

TRANSFERS	SETTLEMENT ACCOUNTS	COLLATERAL ACCOUNTS	DOCUMENTS	REFERENCE

Requisites for Collateral return   Firm ID   Sub-accounts clusters

2.

Main ▸ Sub-accounts clusters ▸ Sub-accounts cluster card

SUB-ACCOUNTS CLUSTER

Basic information	Clearing register sections

Code	SZ01
Type	Client Sub-accounts cluster
Status	active
Settlement account	77060 Clients/Ordinary
Unified pool	No
Morning trades	Admitted ☑ **3.**
Legal entity	СтаростинаЕ
Identification data	9113200000
Authorized accounts owner	—

Securities sub-account of the clearing register, designed   —
for charging fees for the reports generation

Trade account (TA), registered in the ASTS of the   —
Securities market, designed for the settlement of
delivery futures contracts on shares and bonds,
executed under Securities sub-accounts of clearing
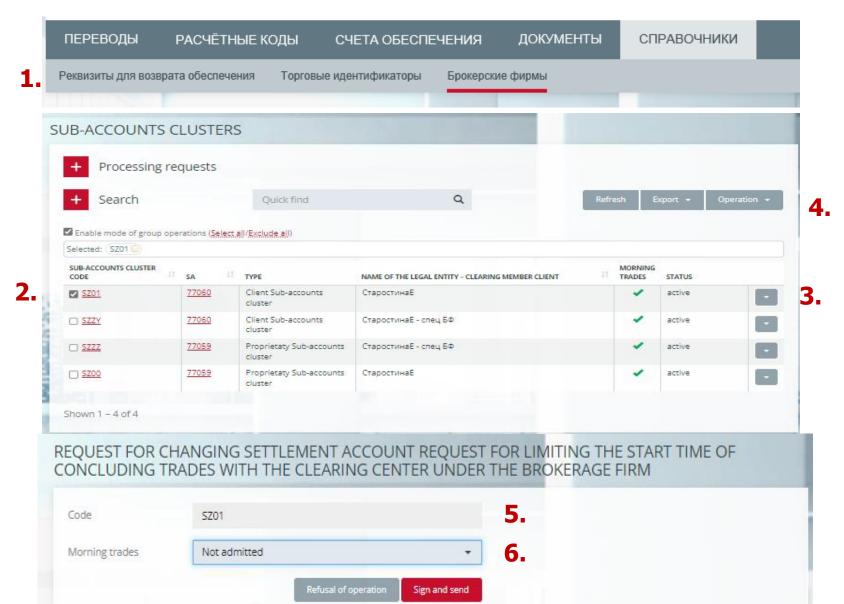registers, opened within the Sub-accounts Cluster

4. REQUEST FOR CHANGING SETTLEMENT ACCOUNT REQUEST FOR LIMITING THE START TIME OF CONCLUDING TRADES WITH THE CLEARING CENTER UNDER THE BROKERAGE FIRM

Code	SZ01 **5.**
Morning trades	Admitted ▾ **6.**

Refusal of operation   Sign and send

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1. In the main menu choose **Directories**, then **Brokerage Firms**

2. Then tick the box **Enable Group Operations Mode**

3. Tick the required **Brokerage Firm Accounts**

4. Click **Operations**, select **Request to limit the start time of trades**

5. In the request form set the status of admission to morning trading: **Admitted/Not admitted**

6. Click **Sign and Send**

1.

| ПЕРЕВОДЫ | РАСЧЁТНЫЕ КОДЫ | СЧЕТА ОБЕСПЕЧЕНИЯ | ДОКУМЕНТЫ | СПРАВОЧНИКИ |

Реквизиты для возврата обеспечения · Торговые идентификаторы · Брокерские фирмы

SUB-ACCOUNTS CLUSTERS

+ Processing requests

+ Search · Quick find · Refresh · Export · Operation

4.

☑ Enable mode of group operations (Select all/Exclude all)

Selected: SZ01

SUB-ACCOUNTS CLUSTER CODE	SA	TYPE	NAME OF THE LEGAL ENTITY – CLEARING MEMBER CLIENT	MORNING TRADES	STATUS	
☑ SZ01	77060	Client Sub-accounts cluster	СтаростинаЕ	✔	active	▾
☐ SZZY	77060	Client Sub-accounts cluster	СтаростинаЕ - спец БФ	✔	active	▾
☐ SZZZ	77059	Proprietaty Sub-accounts cluster	СтаростинаЕ - спец БФ	✔	active	▾
☐ SZ00	77059	Proprietaty Sub-accounts cluster	СтаростинаЕ	✔	active	▾

2. **3.**

Shown 1 – 4 of 4

REQUEST FOR CHANGING SETTLEMENT ACCOUNT REQUEST FOR LIMITING THE START TIME OF CONCLUDING TRADES WITH THE CLEARING CENTER UNDER THE BROKERAGE FIRM

| Code | SZ01 | **5.** |
| Morning trades | Not admitted | **6.** |

Refusal of operation · Sign and send

MOEX NATIONAL CLEARING CENTRE

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REQUEST FOR THE EXECUTION OF EARLY SETTLEMENT

1. Choose a **Settlement Account**

2. In the drop-down list choose **Request for the execution of early settlement**

SETTLEMENT ACCOUNTS **1.**

+ Processing requests

+ Search   Quick find   🔍   Refresh | Export ▼ | Operation ▼

☐ Enable mode of group operations (Select all/Exclude all)

ACCOUNT	BASE ACCOUNT	MARKET	TYPE	KIND	FC BUYING	MORNING TRADES	EARLY SETTLE TIME	TRADING CLOSE TIME	
15231		Securities	Settlement account designed for recording proprietary funds of the Clearing member	Guarantee Fund					▼
15232		Securities	Settlement account designed for recording proprietary funds of the Clearing member	Stress Collateral					▼
15233		Securities	Settlement account designed for recording proprietary funds of the Clearing member	Concentration Risk Collateral					▼
15234		**Securities Currency**	**Settlement account**	**Ordinary**					**▼**

3.

REQUEST FOR CHANGING SCOPE OF APPLICATION OF A UNIFIED POOL SETTLEMENT ACCOUNT

REQUEST FOR CHANGING SETTLEMENT ACCOUNT REQUEST FOR LIMITING THE START TIME OF CONCLUDING TRADES WITH THE CLEARING CENTER UNDER THE SETTLEMENT CODE

REQUEST FOR THE EXECUTION OF EARLY SETTLEMENT

REQUEST FOR THE EXECUTION OF EARLY EXIT FROM TRADING

REQUEST FOR ADDITIONAL CASH FLOW STATEMENT (CCX99) UNDER THE SETTLEMENT CODE

TRADE ACCOUNT OPEN REQUEST

2ND LEVEL SETTLEMENT ACCOUNT OPEN REQUEST

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REQUEST FOR THE EXECUTION OF EARLY SETTLEMENT

1. Choose a **Settlement Account**
2. Fill in the Value - calculation time field, choose from the list of values:

- Early settlement, near future
- Early settlement, 11:00
- Early settlement, 12:30
- Early settlement, 15:15
- Early settlement, 18:00

4. Click
Sign and send

STANDING INSTRUCTION TO EXECUTE EARLY EXIT FROM TRADING

1. On the General Information tab of the settlement Account card, in the Standing Instruction for Early Settlements field, click **Select Settlement Account**
2. Fill in the Value - calculation time field, select from the list of values:

- Early settlement, near future
- Early settlement, 11:00
- Early settlement, 12:30
- Early settlement, 15:15
- Early settlement, 18:00

3. Click **Sign and Send**

CCX99 REPORT

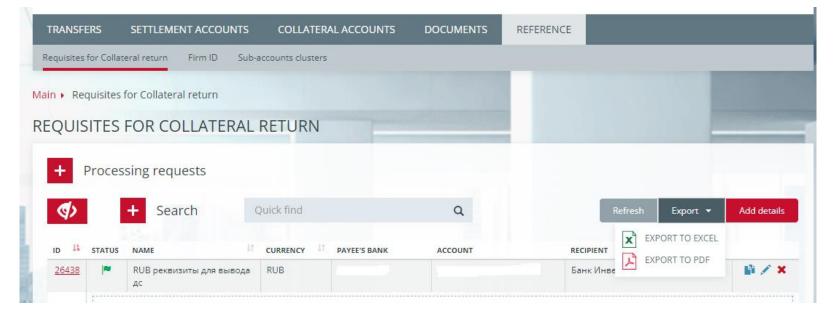To receive an Additional Cash Flow Statement (CCX99), click the button on the Settlement Account page
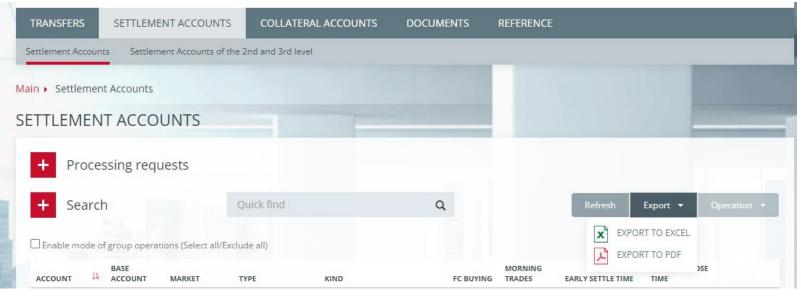
CCX98 REPORT

The current Clearing Terminal functionality allows users to upload a list of all the details for the return, indicating the Settlement Accounts to which they correspond.

To do so choose **Details for the return of collateral** in the Directories menu section, then click **Upload** (xls and pdf formats are available).

It is also possible to download a list of Settlement Accounts (the Settlement Accounts menu section) indicating:

- the type of SA (own, client)
- the type of SA (Guarantee Fund, Stress Collateral, regular)
- and all the features for this SA (for example, the feature of a Single pool, early settlements, etc.)

Appendix

USER ROLES PROGRAMME TABS, ACTIONS	CASH OPERATIONS	CLEARING OPERATIONS	ALL OPERATIONS	TELLER*
Transfers:				
• Requests for collateral transfer	✓	✗	✓	✓
• Collateral return requests	✓	✗	✓	✓
• Requests for assets profile transfer	✗	✓	✓	✓
• Templates	✓	✓	✓	✓
Settlement accounts:				
• Request/standing order on early settlement	✗	✓	✓	✓
• Request for time limit for commencement of trades	✗	✓	✓	✓
• Request/standing order for limiting the start time of concluding trades	✗	✓	✓	✓
• Request for assigning unified pool feature to the Settlement Account	✗	✓	✓	✓
• Request for changing scope of application of a unified pool Settlement Account	✗	✓	✓	✓
• Request for linking a Settlement Account to account for collateral for Russian tax accounting	✗	✓	✓	✓
• Request for removing the Settlement Account link to account for collateral for Russian tax accounting	✗	✓	✓	✓
• List of level 2 trading and clearing accounts	✓	✓	✓	✓
• Details of the accounts for the return of collateral assigned to the Settlement Account	✓	✓	✓	✓
• Request for verification of compliance of the invoice for the return of collateral to the Settlement Account	✓	✗	✓	✓

* no signing rights

User roles

Programme tabs, actions

	Cash operations	Clearing operations	All operations	Teller*
• Account details of the return of collateral assigned to the Settlement Account	✓	✓	✓	✓
• Request for cancellation of correspondence of account for return of collateral to Settlement Account	✓	✗	✓	✓
• Standing orders for the return of collateral (and their cancellation)	✓	✗	✓	✓
• Request to change trust fund information	✗	✓	✓	✓
• Request for an additional cash flow statement (CCX99) under the Settlement Account	✗	✓	✓	✓
• 2nd level Settlement Account open/close request	✗	✓	✓	✓
• 3rd level Settlement Account open/close request	✗	✓	✓	✓
• Request for inclusion/exclusion of Settlement Account in the Trading Account	✗	✓	✓	✓
• Request for replacing of the Settlement Account in the Trading Account	✗	✓	✓	✓
• Request for replacing the Trading Account in trades	✗	✓	✓	✓
• Request for choosing tariff	✗	✓	✓	✓
• List of Settlement Accounts of 2nd and 3rd level	✓	✓	✓	✓
Deposit requests:				
• Request to cancel a depositing request	✓	✗	✓	✓
• Standing orders for depositing (and their cancellation)	✓	✗	✓	✓

* no signing rights

User roles Programme tabs, actions	Cash operations	Clearing operations	All operations	Teller*
Collateral accounts:				
• Daily account transaction log	✓	✗	✓	✓
• Request for cash flow information	✓	✗	✓	✓
• Account turnover	✓	✓	✓	✓
Documents submitted via the clearing terminal:				
• Request submitted via the clearing terminal	✓	✓	✓	✓
• Signing a request/standing order to set the early settlement mode	✗	✓	✓	✓
• Signing a request/standing order on early exit from trading	✗	✓	✓	✓
• Signing request to change the scope of the unified pool Settlement Account	✗	✓	✓	✓
• Signing a request to establish/cancel the compliance of the invoice for the return of collateral to the Settlement Account	✓	✗	✓	✓
• Signing a standing order for the return of collateral (and cancellation)	✓	✗	✓	✓
• Signing a request/standing order for depositing (and cancellation)	✓	✗	✓	✓
• Signing a cash flow information request	✓	✗	✓	✓
• Signing a request for registration/changing of account for return of collateral details (and cancellation)	✓	✗	✓	✓

NATIONAL CLEARING CENTRE

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* no signing rights

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User roles Programme tabs, actions	Cash operations	Clearing operations	All operations	Teller*
• Signing a request for the return/transfer of collateral (and canceling it))	✓	✘	✓	✓
• Signing (and canceling) an asset profile transfer request	✘	✓	✓	✓
Incoming documents:				
• Incoming document – advice, statement, stress collateral, interest on deposits	✓	✘	✓	✓
• Incoming document - receipt	According to permission to access the source receipt document type			
Messages	✘	✓	✓	✓
Directories – trade IDs:				
• Clearing participants identifier	✓	✓	✓	✓
• Tariffs	✓	✓	✓	✓
• Selection of priority TA for fulfilling stress collateral requirements (and cancellation)	✘	✓	✓	✓
• List of trading and clearing accounts (TA data and their parameters)	✓	✓	✓	✓
• Applications for supplemental report on OTC transactions (and cancellation)	✘	✓	✓	✓
Directories – brokerage firms (derivatives market):				
• Brokerage firm	✓	✓	✓	✓
• Clearing ledger sections	✓	✓	✓	✓
• Request for time limit for commencement of trades	✘	✓	✓	✓
Directories – requisites for the return of collateral:				
• Request for registration/changing of account details for the return of collateral (and cancellation), account details	✓	✘	✓	✓

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CONTACTS

Issues regarding:

- **connection to the Clearing terminal**
- **changing roles of existing users**
- **creating new users**
- **setting limits under Settlement Accounts etc:**

Issues regarding:

- **Clearing terminal testing**
- **general questions regarding Clearing terminal work:**

Issues regarding Clearing terminal development:

Contact your Personal Manager

tel. +7 (495) 363-32-32

Contact MOEX Technical Support Team

tel. +7 (495) 363-32-32

e-mail: help@moex.com

Contact Clearing services promotion division

tel. +7 (495) 363-32-32

e-mail: ps@moex.com