

## **STOCK EXCHANGE INFORMATION REGULATION**

### **CHAPTER ONE**

#### **GENERAL PROVISSION**

##### Article 1. Purpose of the regulation

- 1.1 The purpose of this regulation is to regulate the activities of a processing information in the Mongolian Stock Exchange (hereinafter referred as MSE); an providing information with internal departments; a disseminating information to public; an evaluating the information and an arisen relation in respect to mentioned activities.
- 1.2 This relation shall adhere to the "Securities Law", the "Law of Organizational confidentiality" and other law, regulation and act which are pursued in the activities of MSE.
- 1.3 The information shall be processed as per sample which is passed by the relevant laws and regulations.
- 1.4 A information list, classification and evaluation shall be is approved by the an annex of this regulation; An amendment of the regulation shall be made by the Resolution of Board of Governors of MSE.

### **CHAPTER TWO**

#### **INFORMATION CLASSIFICATION, ASSESSMENT**

- 2.1 In view of depending on information confidentiality grade, use of information, the information which is processed by the departments of MSE shall be divided into following three classifications.
  1. An internal information (A)
  2. An official information and an information to submit to exchange members (B)
  3. An information to disseminate to public (C)
- "A" classification information includes all information that were identified by internal information in "The Securities Law" and "The confidentiality regulation of MSE".
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- "B" classification information consists of all types of information that is exchanged between departments and submitted to member securities companies.

- “C” classification information includes all type of information to disseminate to public.
- 2.2 Time, services and material expenses for processing information shall be estimated according to the appendix.
- 2.3 An information demander who request a payable information in the annex of this regulation shall pay cash or transfer a payment to the account of MSE.
- 2.4 The information demander shall give a document of payment to a relevant officer when he/ she receives an information
- 2.5 An authority organization and a citizen and who receive information free of charge shall pay only payment of material expenses.

### CHAPTER THREE

#### **INFORMATION PROCESSING AND DISSEMINATION TO CLIENT**

- 3.1 A relevant department shall process an information that is indicated in the information classification and the list as using the special network program.
- 3.2 IT department shall compose a program to process the information according to department order.
- 3.3 “A” “B” classification information shall be processed according to the document that require an information; a relevant officer shall take a note of transferring to the information demander.
- 3.4 All type of information shall be gave the information demander by printing form except that information is indicated in information list by a file
- 3.5 Any information shall be confirmed by a stamp and a signature of a processed officer.
- 3.6 An information copy shall be kept with the related documents.
- 3.7 The listing department shall deliver the information to Broker Dealer Company (BDC); The Trading and Research department shall disseminate to the public. The public information shall be disseminated/broadcasted through a media.
- 3.8 If external and internal legal bodies require an using information constantly in their official business, it shall be regulated by an agreement that is contracted between parts.

### CHAPTER FOUR

#### **OTHERS**

- 4.1 A person who violated the regulation shall be held him/her responsibility according to the relevant law and regulation.
- 4.2 A processor and supervisor shall be responsible for a reliability of any information;
- 4.3 A guilty officer or an administrator shall be responsible for her/his damage.