

**INSTRUCTION**  
**about the Procedure of Checking**  
**Counterparties**  
**(Business Partners, Companions) of**  
**JSC “Almalyk MMC”**

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## **I General**

1. This Instruction was developed on the basis of the recommendations of the international anti-corruption organizations, as well as international best practices in accordance with the requirements of the legislation of the Republic of Uzbekistan in order to reduce and eliminate the economic, financial, technical, judicial and tax risks of the Combine, using such necessary precautions as using procurement procedures, as well as the selection and verification of participants in procurement processes and business partners (counterparties) when concluding a direct contract (agreement) by members of the Management Board, the executive office and structural divisions of the Almalyk Mining and Metallurgical Combine Joint Stock Company (hereinafter referred to as the Combine).

2. The purpose of checking the participants in the procurement processes of the plant, foreign investors, potential counterparties, business partners and partners is based on the following criteria:

- reduction and elimination of risks associated with a conflict of interest and personal interest of the plant's employees;

- reducing the risk of concluding a contract (agreement) with unscrupulous, unreliable Counterparties (partners, partners, investors);

- correct, accurate and objective assessment of the possibility of supplying goods or services specified in the contract, performance of work, solvency of a participant in procurement processes;

- Minimization of the risk of prosecution of persons subject to the sanctions requirements of the United States, member states of the European Union, Collective Western countries (Australia, Albania, Andorra, Great Britain, Iceland, Canada, Liechtenstein, Micronesia, Monaco, New Zealand, Norway, South Korea, San Marino, North Macedonia, Singapore, Taiwan (China), Ukraine, Montenegro, Switzerland, Japan;

- minimizing the risk of non-fulfillment of contractual obligations by the counterparty;

- ensuring the possibility of termination of contractual relations without negative consequences for the plant;

- minimization of the risk of "secondary" sanctions for the Mill;

- making a decision to conclude an agreement (agreement) with Counterparties in accordance with Article 15 of the Tax Code of the Republic of Uzbekistan with a comprehensive study and application of precautionary measures at the appropriate level.

4. Also, procurement processes are carried out in terms of checking participants, the likelihood of a connection between all procurement participants (applicants and final beneficiaries).

5. An audit is carried out at least once a year for all new counterparties, as well as for existing counterparties, except for the cases specified in paragraphs 7 and 8 of these Instructions.

6. It is not allowed to sign a contract (agreement) and/or make payments without obtaining an opinion based on the results of an audit of participants in procurement processes, except for the cases specified in paragraphs 7 and 8 of these Instructions.

7. Contractors for purchases made in the form of an auction conducted to reduce the initial cost and the cost of the electronic store are not checked.

8. Also, verification cannot be carried out in relation to the following counterparties:

in the event that the plant enters into contractual relations with the subdivisions included in its composition, or the subdivisions included in its composition enter into mutual contractual relations among themselves;

in case of entering into contractual relations with contractors that are providers of public utilities and similar services (including electricity supply, natural gas supply, heat supply, engineering and technical supply, drinking water supply, sanitation, wastewater treatment, disposal (burial) of municipal solid waste), also goods (works, services) at prices (tariffs) regulated by the state;

in case of entering into contractual relations with counterparties included in the State Register of natural monopoly entities of the Republic of Uzbekistan.

9. This Instruction uses the following basic terms and concepts:

**related persons** – persons who, together with the employee of the plant and his composition, participate in the authorized capital of other commercial organizations (except for cases when they have shares in the amount of less than five percent of joint-stock companies, the shares of which are publicly traded on the Republican Stock Exchange);

the **Service** means the internal control structure – the **Compliance Control Service**, which is responsible for establishing an effective anti-corruption system in the plant, organizing, coordinating and controlling anti-corruption work;

**subjects of public procurement** – the State customer, participant in procurement procedures, person in charge of public procurement, the Procurement Commission, the operator of the electronic public procurement system, a specialized organization and an expert, an expert organization;

**Responsible person/Person in charge** – members of the procurement commission created in the executive office and structural divisions of the Combine;

**signs of hospitality in the work process** are expressed in the reimbursement by third parties of funds for food, transport, accommodation and other personal expenses to establish cooperation and/or maintain such cooperation in order to obtain direct or indirect benefits from the official position and/or the position held by the employees of the plant;

**bona fide notification of violations of anti-corruption requirements** – an appeal by an employee of the Combine (including the management of all levels) about a corruption offense (or an attempt to commit it), verifying its validity through authorized communication channels;

**counterparty (contractual partner)** – any legal or natural person (individual entrepreneur) entering into contractual relations with the plant (with the exception of labor relations);

**counterparty/owner-beneficiary of the counterparty (ultimate beneficiary)** – an individual who is a private owner of the counterparty or has the right or opportunity to give instructions that are binding on this counterparty, influence the decisions made or otherwise directly or indirectly control its actions;

**corruption** – illegal use by an employee of a combination of his career or official position in order to obtain material or non-material benefits in the interests of his personal interests or other persons, as well as the provision of such benefits contrary to the law;

**corrupt actions** – an action or inaction of an employee of the plant in a material interest directly or indirectly in the interests of the bribe taker, personally or through third parties to acquire, demand, collect, offer or transfer and/or receive a bribe or act as an intermediary in this case, collect payments to simplify formalities (bribery) including money, securities, property and property rights in other forms;

**corruption offense** – an act (action or inaction) with signs of corruption, for which liability is provided for by legislative acts of the Republic of Uzbekistan;

The Company's anti-corruption system is a set of measures aimed at eliminating corruption violations of the current legislation and internal regulations, ensuring that its activities are carried out on the basis of a high level of corporate ethics and behavior by employees (including members of the Management Board) of the Company;

**corruption risks** – the probability and danger of committing corrupt acts by the employees of the plant or third parties on behalf of the employees of the plant (including managers of all levels and units) and/or in their interests;

**additional condition on combating corruption** – a set of special rules that are subject to mandatory inclusion in all contracts concluded by the Company, which impose on the parties an obligation and responsibility to strictly comply with the rules and requirements of the legislation on combating corruption of the Republic of Uzbekistan in the process of concluding, executing, amending and terminating business contracts (agreements);

**appropriate level of caution** – an appropriate examination carried out using special sources of information before selecting a Counterparty (including Suppliers, Buyers, Contractors, Investors, Lenders), representing a set of operational and analytical actions, including checking the counterparty's registration as a taxpayer with the tax authorities, business reputation, availability production capacities (base) and qualified personnel, solvency, financial position and ability to fulfill obligations under the contract (agreement);

**conflicts of interest** are situations in which the direct or indirect personal interest of an employee holding a certain position in the plant affects the objective performance of official (service) obligations or may have such an impact;

**facilitation payments** – money, property, property rights, services and other tangible or intangible benefits that are illegally issued to supply or expedite the implementation of established procedures, the performance of actions not provided for by the relevant legislation, norms and rules;

**sanctions compliance** – a system of comprehensive measures aimed at mitigating (minimizing) and eliminating the impact of sanctions on joint financial and economic activities, foreign trade relations, investments and foreign loans, as well as on early identification and impartial assessment of potential risks arising from the introduction of economic, financial and other types of sanctions by authorized bodies of foreign states and international organizations;

**blocking sanctions** – individuals or legal entities included in the sanctions list of this type are prohibited from engaging in any type of cooperation.

In particular, if individuals are included in the list of blocking sanctions of the European Union, then the European Union prohibits any cooperation of other companies and organizations with such persons in terms of money circulation, provision of other resources.

If individuals are included in the OFAC list (Office of Foreign Assets Control of the US Department of the Treasury), then the United States prohibits other companies and organizations from cooperating with the listed persons in the supply of goods, provision, implementation of any actions that bring them economic benefits;

**sanctions by sector (sectoral)** – a type of sanctions introduced against companies and organizations, which prohibits any cooperation that provides for the financing of companies included in the list of sectoral sanctions. In practice, sectoral sanctions are widely used against banks, the oil industry, mining enterprises, defense industry enterprises;

**participant in procurement procedures** – (hereinafter referred to as the Participant) an individual / individual entrepreneur or legal entity participating in the procurement procedure as a bidder for procurement for the needs of the Combine, which is a resident or non-resident of the Republic of Uzbekistan;

**personal interest of the employee** – expressed in the possibility of obtaining personal benefit in the form of cash, tangible or intangible assets, other property, wealth and benefits (personal, private, social, financial, political and other commercial or non-commercial interests), which may affect the proper performance official or official duties of the employee by his close relative or other persons related to the employee during the performance of his official duties by the employee of the plant;

**employee (employees)** – any natural person entering into labor relations with divisions of the executive apparatus or structural divisions of the plant, including members of the board of the plant;

**confidential information** – information in any form, the receipt, processing, transfer or use of which is limited in accordance with the legislation of the Republic of Uzbekistan or internal regulatory documents of the information owner;

**Procurement initiator** – a subdivision of the executive office and/or a structural subdivision of the Combine that submitted a requirement in the prescribed manner with justification of the subject and necessity of procurement;

**50% (fifty percent) rule** – according to this rule, if the potential counterparty of the mill is attached (included) to companies or persons on the list of international sanctions, that is, if the share of companies and persons subject to sanctions is 50% (fifty percent) or more, sanctions are also applied to the counterparty of the plant. The problem is that such organizations (that is, potential counterparties) are not included in the list of international sanctions. Even checking the lists of international sanctions from official sources does not guarantee that an individual or legal entity in the status of a potential counterparty is not affected by sanctions.

Therefore, in the process (stage) of checking counterparties, a detailed study of the organizational structure (all founders, ultimate beneficiaries) of such a counterparty is required in order to determine its real contacts;

**close relatives** – parents, siblings and half-brothers and sisters, husband (wife), children, including adopted children, grandparents, grandchildren, also parents of the husband (wife).

## **II The order of the beginning of the check, documents and information sources required for verification**

10. As part of the procurement process, verification of its participants is carried out after opening the envelopes with proposals submitted by participants for their evaluation, but before a decision is made on the concept of the proposal that became the winner based on the results of the procurement procedures.

11. As part of the procurement process, the responsibility for checking its participants (counterparties) rests with the Chairman of the Procurement Commission. If the purchase is carried out directly under the terms of the conclusion of the contract, then the verification of counterparties is carried out by the initiator of the contract (purchases), also by the Procurement Department. In this case, a person in charge from the Logistics Department is appointed to conduct the verification of counterparties by the protocol decision of the Procurement Commission.

12. Verification of counterparties is carried out by the person in charge of the Logistics Department within a period of not more than 5 (five working) working days from the date of complete receipt of the package of documents specified in paragraph 16 of this Instruction from the initiator of the purchase and the participants in the purchase.

13. If it is impossible to conduct an audit within the specified time frame, its duration may be further extended by the relevant protocol decision of the Procurement Commission for a period not exceeding 3 (three working) working days.

14. If it becomes necessary to conduct an urgent audit of the counterparty, the initiator of the contract applies to the Purchasing Commission with a Service Note indicating in it the necessary timeframe for the audit, substantiating such urgency in writing (official) form. The decision on the urgent examination of the counterparty is made on the basis of the relevant protocol decision of the Procurement Commission.

At the same time, starting from the date of full submission of the entire package of documents to the person in charge for an urgent verification of the counterparty, he is given a period of at least 3 (three) working days.

15. The chairman of the procurement commission or the initiator of the conclusion of the contract is responsible for the collection and submission of documents necessary for the verification of counterparties (despite the fact that procurement is carried out directly under the contract).

16. To check counterparties, the person in charge of the Logistics Department is provided with the following complete package of documents:

certificate of ultimate beneficiaries, filled in by the head of the counterparties in the form in accordance with Appendix 1 to these Instructions;

copies of documents received from counterparties (in the form in accordance with Appendix 2 to these instructions);

copies (if any) of internal regulatory documents of counterparties in the field of anti-corruption and compliance service (if available) (Policies, Regulations, Rules of Ethics and Conduct, Anti-Corruption Program, etc.).

17. Obtaining the documents specified in paragraph 16 of these Instructions is mandatory in accordance with the legislation of the Republic of Uzbekistan, with the exception of internal regulations of counterparties on combating corruption, as well as certificates of its ultimate beneficiaries.

In case counterparties refuse to provide information about their internal anti-corruption regulations and ultimate beneficiaries, the initiator of the agreement is obliged to provide written information about this to the person in charge of the UMTS, the Logistics Department, the Compliance Control Service or state bodies directly involved in anti-corruption activities.

18. All documents received from counterparties must be notarized or duly certified by an authorized representative of the counterparties. In this case, the documents submitted by counterparties must be valid, and the documents of state registers must be received no more than 30 (thirty) days before the date of verification.

19. In order to collect data to verify counterparties, form and have an objective and reliable opinion on the activities of the owners (owners) and managers of the counterparty, as well as to clarify the absence of signs confirming the reliability of the submitted document and information or their insecurity (lack of signs of falsification), the responsible person an analysis of the Department of Logistics is being carried out.

as part of the verification of counterparties, the person in charge of the Logistics Department analyzes the following cases:

information and documents provided by counterparties;

if it is impossible to obtain from the counterparties the documents specified in Appendix 2 to this Instruction, or if there are signs of invalidity (signs of falsification) of the received document and information, the person in charge of the Logistics Department of the counterparty shall enter a separate note on the results of the verification in the conclusion;

use of sources of information specified in Appendix 3 to this Instruction, open sources without any obstacles, and, if necessary, other sources in the manner prescribed by law;

documents obtained by sending an official request to the relevant organizations;

internal information resources in the executive office and structural subdivisions (enterprises, workshops and others) of the Combine, including the register of checks of counterparties, the register of conflicts of interest of its employees and others.

20. Sources and information, as well as information used by the person in charge of the Logistics Department as part of the verification of counterparties, must comply with the requirements of legality and objectivity.

21. If necessary, the person in charge of the Department of Logistics may also examine counterparties on site during the inspection. The person responsible for conducting this form of verification must obtain permission from the head of his unit in official form.

During the inspection of the tour, a protocol of the meeting with the head (authorized representative) of the counterparty organization is drawn up, which lists the documents originally received from the counterparty, certified copies of documents comparable with the originals by the person in charge of the Logistics Department. A list of copies of the received documents and notes submitted by the head (authorized representative) of the counterparty organization signed by the head (authorized representative) of the counterparty organization in respect of which the investigation is being carried out, as well as by the person in charge of the Procurement Department and must be attached to the minutes of the meeting.

### **III Methodology of Checking Counterparties**

22. Verification of counterparties is carried out in the following main areas:

1) verification of the capacity, financial stability, reliability of the counterparty, as well as the history of its interaction with the Mill, including:

a) the availability of technical, financial, material, highly qualified personnel and other resources necessary for the fulfillment of contractual obligations at the disposal of the counterparty;

b) the possession of the legal right to conclude a contract and the availability of appropriate powers;

c) no arrears in payment of taxes and fees;

d) the absence of bankruptcy procedures introduced in respect of counterparties;

e) the fact that the Counterparty is not marked in the Unified Register of Unscrupulous Contractors;

2) the reputation of the counterparty in the field of labor activity;

3) checking the absence of a situation of conflict of interest between the Counterparty and members of the board, employees of the executive office and structural divisions (enterprises and workshops) of the management of the plant.

Conducting a full check of registered referrals is mandatory, these referrals (requirements) are considered the most minimal referrals (requirements), and their reduction is not allowed.

The list of the person in charge of the Logistics Department in the areas of verification can be expanded by a separate protocol decision of the Procurement Commission. At the same time, the direction of the audit should not contradict the legislation on the regulation of public procurement or not restrict the principles of competition.

23. Analyzes information from information sources that can be used by the person in charge in the Procurement Department and determines the presence or absence of the information indicated in the conclusion based on the results of the counterparty's verification in relation to each direction specified in paragraphs 25-27 of this Instruction.



24. When checking the current counterparty, which before the implementation of this Instruction was in contractual relations with the executive office of the plant and/or its structural divisions (enterprises and workshops), the person in charge of the Logistics Department finds out the duration of the previous contractual relationship with this counterparty, experience (history) interactions with the counterparty, results, as well as previously concluded agreements with this counterparty. the conscientiousness of the counterparty in the performance of obligations under the contracts, checks such indicators, as well as provides a written opinion.

When checking a new counterparty, the person in charge of the Logistics Department analyzes the existing counterparty agreements, information on the status of fulfillment of obligations under them, letters of recommendation about the counterparty issued by at least five other customers (clients / partners), and also checks, at the level of available opportunities, the integrity of this counterparty in the performance of contractual obligations to other customers and in its opinion in writing reflects the facts.

25. As part of checking the capacity, financial stability, reliability of the counterparty and the history of relations with him, the person in charge must determine the following information:

- the presence of a counterparty in the Unified Register of Economic Entities;

- differences between the legal, postal address and the actual (actual) address of the counterparty;

- Full name of CEO and founders of the counterparty;

- compliance of the main type of activity in the constituent documents of the counterparty with the subject of the plant's purchases;

- termination of the counterparty's activities, its reorganization, the absence of bankruptcy procedures introduced against the counterparty;

- full availability of licenses, certificates, permits and other documents necessary for the implementation of activities in accordance with the legislation of the Republic of Uzbekistan, and the validity of these documents;

- the counterparty has sufficient working and fixed assets, private capital, highly qualified personnel, technical, financial, material and other necessary resources to fulfill its own contractual obligations to the plant according to information from open sources, as well as documents submitted by the counterparty and its financial statements;

- the presence of appropriate powers of an individual or legal entity (persons) entering into contractual relations with the plant on behalf of the counterparty, and the validity of such documents;

- clarify whether the likely counterparty is included in the Unified Register of Bad Faith Performers on the government's special information portal ([https://xt-xarid.uz/registry/bad\\_suppliers](https://xt-xarid.uz/registry/bad_suppliers));

- lack of information about untimely performance or improper performance by the counterparty of contractual obligations to the plant over the past two years;

- as well as the fact that the counterparty has no arrears in paying taxes and fees, data and information must be collected and analyzed.

26. As part of checking the business and entrepreneurial reputation of the counterparty, the person in charge of the Logistics Department determines and reflects in its conclusion the following information:

- the absence in open information sources of information about the participation of the counterparty, its owners, including beneficial owners or their managers, in crimes or other illegal activities related to fraud, falsification and corruption; lack of information or materials and documents condemning law enforcement or other state bodies in relation to the head and financially responsible persons of the counterparty;

- lack of interaction of the counterparty, its owners or the general director (members of management bodies) and other managers with criminal structures, extremist and terrorist organizations (at the level of the capabilities of the person in charge);

- that the counterparty has business ethics rules, anti-corruption policies, conflict of interest management and similar procedures, as well as internal regulations and the status of implementation of the compliance control system in its organization;

- the absence of criminal cases against the founders, owners or managers (members of the management bodies) of the counterparty related to its financial and economic activities;

- the absence in the media and social networks of other negative or critical information and information about the founders, owners (final beneficiaries) or managers of the counterparty.

27. In accordance with Article 14 of the Law of the Republic of Uzbekistan "On Public Procurement", officials and other employees of the state customer, the operator of the electronic structure of public procurement, a specialized organization, an expert organization, as well as members of the procurement commission, including experts involved in the implementation of procurement procedures, may directly or indirectly use any personal benefit resulting from the public procurement agreement.

According to this, the person in charge of the Department of Material and Technical Supply checks the compliance of the information reflected in the certificate of the final beneficiaries of the counterparty, completed in the form in accordance with Appendix 1 to this Instruction, with the information of the Unified State Register of Economic Entities.

Such a check is also carried out in relation to the managers and founders of the counterparty. Also, the person in charge of the Logistics Department checks the presence or absence of a conflict of interest according to the following criteria:

- the sole or one of the owners of the property of the counterparty, including the beneficial owner, is not the head of another participant in this procurement process or his close relative;

- employees of the initiative unit or employees of all units of the units of the executive apparatus, as well as employees of structural units (enterprises and workshops) of the plant or their close relatives participating in the selection of the counterparty, own shares of its authorized capital that are not in public circulation or deposits, or securities of the counterparty more than 5% (five percent) in public circulation on the Republican Stock Exchange or another stock exchange;

employees of the initiative unit participating in the selection of the counterparty, or other employees of the executive office of the plant and its structural divisions, as well as their close relatives, are not members of the management board of the counterparty, do not have personal benefit (including when making their investments) from the results of its activities;

other employees of the initiative unit or the executive office of the plant and their close relatives participating in the selection of the counterparty do not hold senior positions or positions related to decision-making with the counterparty;

lack of affiliated relations between the counterparty and members of the procurement commission;

absence of other circumstances leading to a conflict of interest.

The presence of a conflict of interest is checked by the person in charge of the logistics department by comparing the information provided by counterparties, disclosed by the employees of the plant as part of the declaration of a conflict of interest and entered in the appropriate register.

## **V Execution and Documenting the Results of Inspection**

28. Based on the results of the audit, the person in charge of the Logistics Department writes out a conclusion in the form given in Appendix 4 to this Instruction. The conclusion on the results of the verification of the counterparty is accompanied by an analysis carried out by the person in charge of the logistics department, and all documents confirming such an analysis.

29. In case of revealing signs of an actual (real) or high (potential) conflict of interest, the person in charge of the Procurement Department makes a reasonable proposal in writing to the chairman of the procurement commission or the initiative unit to take measures to resolve it. In the event that signs (signs) of a conflict of interest are found among the employees of the plant, it immediately informs the Compliance Control Service about this. The results of the analysis carried out for the presence or absence of a conflict of interest and measures to resolve it are also reflected in detail in the conclusion on the results of the verification of the counterparty.

30. When determining risk indicators by the person in charge of the Logistics Department, the counterparty, aimed at reducing the risks identified in the conclusion on the results of the counterparty's verification, submits to the Procurement Commission and the head of the Compliance Control Service its recommendations and instructions for working with the counterparty (for example, in accordance with Article 15 of the Tax Code of the Russian Federation (<https://lex.uz/docs/4674902>) establishing a ban or restriction on making advance payments on a contractual basis and ensuring another necessary level of precautionary measures).

31. The person in charge of the Logistics Department submits a conclusion on the results of the verification of the counterparty to the chairman of the Procurement Commission, the head of the Service, as well as the initiating unit of the contract. The chairman of the procurement commission, the head of the Service or the subdivision initiating the contract take

into account the received conclusion in the framework of making a decision on the selection of a procurement participant, as a result of which a detailed written record is made in the protocol of the direct conclusion of the contract with the procurement commission or counterparty.

32. If an actual conflict of interest is revealed between a probable (potential) counterparty and an employee of the plant, such a situation is regulated by the internal regulatory act of the plant on managing conflicts of interest before continuing the procurement process. If it is impossible to resolve the conflict of interest, this counterparty should be removed from participation in the procurement process.

33. If corruption risks are identified or if a probable (potential) counterparty has data indicating that the anti-corruption compliance control system has not been implemented based on the results of checking the counterparty in the framework of procurement in the form of a direct contract, the decision to conclude an agreement with such a counterparty is made chairman of the board.

34. The conclusion on the results of the verification of the counterparty is mandatory attached to the folder of documents necessary to make a decision on the results of the procurement processes, agree on the contract and make payments, and on the basis of the act, the procurement commission, the person in charge of the Logistics Department is deposited with the head of the service for a period of three years.

35. No later than three working days from the date of the conclusion on the results of the audit, information and information related to the results of the audit are entered by the service into the register of counterparties' audits in the form in Appendix 5 to these Instructions. At the same time, the responsibility for the completeness, reliability and immediate input of documents and information that must be provided to the service rests with the chairman of the Procurement Commission, as well as the head of the Logistics Department.

36. The register and results of checks of counterparties, as well as an application for verification, an opinion on verification, documents submitted by counterparties, and information received by the person in charge of the Logistics Department from relevant other sources, are stored in the Service for at least 3 (three) years from the date of termination of the contractual relationship with the counterparty.

37. The register of inspections of counterparties and their results, as well as an application for inspections, a conclusion on the results of inspections, documents submitted by counterparties, as well as data and information received by the person in charge of the Logistics Department from relevant and other sources, are documents that have the status “for official use or chipboard”, such information and data can be combined into employees who are not responsible for checking direct counterparties, as well as officials, their disclosure to third parties is not allowed.

## **VI Final provisions**

38. Monitoring of the processes and stages of verification of counterparties is carried out regularly by the Compliance Control Service.

39. In case of changes in the provisions of the Tax Code of the Republic of Uzbekistan, legislative acts on public procurement, as well as other regulatory legal acts that directly affect this Instruction, the Instruction may be revised, and appropriate changes and additions may be made to it.

Appendix 1  
To the Instructions on the Procedure of  
Checking Counterparties (Business Partners,  
Companions) of JSC “Almalyk MMC”

**INFORMATION**  
**of Final Beneficiaries \_\_\_\_\_**  
**(Participant of Procurement) \***

<b>No.</b>	<b>Full name</b>	<b>Date of birth</b>	<b>Role of person (CEO/founder/final beneficiary)</b>	<b>The period when the person was CEO/founder/final beneficiary</b>	<b>Share of participation (exclusively for founders with a share of more than 5 percent), in percent</b>
1.					
2.					
3.					
4.					
5.					
6.					
7.					
...					

*\*to be filled for the recent 2 years*

*Name of Head of the Logistics Dept. (personnel number)*

\_\_\_\_\_

*Name of the person in charge of the Logistics Dept. (personnel number)*

\_\_\_\_\_

*Name and signature of authorized person of the participant of procurement*

\_\_\_\_\_

*Date of execution of the information \_\_\_\_\_*

Appendix 2  
To the Instructions on the Procedure of  
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Companions) of JSC “Almalyk MMC”

Documents required from counterparties registered in the form of a legal entity or individual entrepreneur in the Republic of Uzbekistan:

No.	Description of document	Legal entity (LE) / Individual entrepreneur (IE)	New counterparty	Current counterparty
1	Copy of state registration certificate	LE/IE	obligatory	Not applicable
2	Data on acceptance into tax accounting, including TIN	LE/IE	obligatory	obligatory
3	Information on entering the Unified State Register of Legal Entities	LE/IE	obligatory	obligatory
4	Copies of the Charter and other constituent documents	LE	obligatory	To be requested in case of change
5	Copy of passport	IE	obligatory	To be requested in case of change
6	Power of attorney	LE/IE	obligatory	obligatory
7	Ownership structure of the counterparty, it includes all property owners, taking into account beneficial property owners	LE	obligatory	To be requested in case of change
8	Accounting report for the last financial year or the last auditor's report	LE/IE	obligatory	obligatory
9	Information on the availability of qualified personnel for the performance of work / provision of services (can be submitted in the form of a letter / or supporting documents)	LE	obligatory	Будет запрошено при изменении
10	Licenses and	LE/IE	Obligatory	Obligatory

No.	Description of document	Legal entity (LE) / Individual entrepreneur (IE)	New counterparty	Current counterparty
	certificates of conformity		depending on the purchased goods/works/services	depending on the purchased goods/works/services



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**Open information sources recommended for use when checking counterparties**

1. Verification of data on legal entities and individual entrepreneurs platform of the Public Services Agency - [https://fo.birdarcha.uz/s/ru\\_landing](https://fo.birdarcha.uz/s/ru_landing)
2. State Committee on Statistics of the Republic of Uzbekistan - [http://registr.stat.uz/enter\\_form/index.php](http://registr.stat.uz/enter_form/index.php) or <https://orginfo.uz/>
3. Portal of electronic state services of tax authorities - <https://my2.soliq.uz/main/info/debtors?lang=uz>
4. Open data portal of the Republic of Uzbekistan - <https://data.gov.uz/ru>
5. Land Resources and State Cadastre Service of the city of Tashkent - <http://kadastr.uz/ru/>
6. United register of unfair persons in charge - <http://xarid.uz/unfairexecutor>
7. Judicial acts of economic, administrative, criminal and civil courts - <https://public.sud.uz/#!/sign/view>
8. List of offshore zones - <http://www.fatf-gafi.org/publications/high-risk-and-other-monitored-jurisdictions/documents/call-for-action-february-2021.html>
9. List of Specially Designated Persons and Prohibited Persons of the United States (or WorldCheck database) - <https://sanctionssearch.ofac.treas.gov/>
10. <https://home.treasury.gov/policy-issues/office-of-foreign-assets-control-sanctions-programs-and-information>
11. <https://www.gov.uk/government/organisations/office-of-financial-sanctions-implementation>
12. <https://www.consilium.europa.eu/en/policies/sanctions/restrictive-measures-against-russia-over-ukraine/>
13. [https://online.zakon.kz/Document/?doc\\_id=33343533&pos=46;-48#pos=46;-48](https://online.zakon.kz/Document/?doc_id=33343533&pos=46;-48#pos=46;-48)  
(Guide to the sanctions and restrictions against the Russian Federation imposed after February 22, 2022 (as of 27.09.2022 г.))
14. <https://ruscifra.ru/sankcii/> (Sanctions list against companies and citizens of Russia).
15. <https://www.rusprofile.ru/> (Quick and convenient verification of counterparties).
16. [https://spark-interfax.ru/#\\_top](https://spark-interfax.ru/#_top) (Counterparty verification, Credit risk assessment, Affiliation identification, Counterparty monitoring, Search for beneficiaries).
17. <https://ir-bis.org/> (Verification of individuals, legal entities and real estate for reliability according to 20,000 state sources).
18. <https://kontur.ru/focus?p=w04557> (Detailed verification of counterparties).

This list is a list of sources recommended by the person in charge / Department initiator for use when checking a potential counterparty, which, if necessary, can be used without any obstacles

Appendix 4  
To the Instructions on the Procedure of  
Checking Counterparties (Business Partners,  
Companions) of JSC “Almalyk MMC”

**Report of verification of counterparties**

1.	Name of person	<hr/>			
2.	Taxpayer identification number	<hr/>			
3.	Date of registration	<hr/>			
4.	Legal and actual address	<hr/>			
5.	Name of CEO	<hr/>			
6.	Name of founders	<hr/>			
7.	Name of final beneficiaries	<hr/>			
8.	Is the participant present in the Unified State Register of Business Entities	<i>Yes</i>	<input checked="" type="checkbox"/>	<i>No</i>	<input checked="" type="checkbox"/>
9	From the participant, the signatory has the right to conclude an agreement	<i>Yes</i>	<input checked="" type="checkbox"/>	<i>No</i>	<input checked="" type="checkbox"/>
10	The main activity of the participant corresponds to the subject of purchase	<i>Yes</i>	<input checked="" type="checkbox"/>	<i>No</i>	<input checked="" type="checkbox"/>
11.	Absence of debts on payment of taxes and other obligatory payments	<i>Yes</i>	<input checked="" type="checkbox"/>	<i>No</i>	<input checked="" type="checkbox"/>
12.	Absence of procedures for reorganization, termination (liquidation), bankruptcy introduced in relation to the participant	<i>Yes</i>	<input checked="" type="checkbox"/>	<i>No</i>	<input checked="" type="checkbox"/>
13.	Absence of an inscription/record about the participant in the Unified Register of Unscrupulous Performers	<i>Yes</i>	<input checked="" type="checkbox"/>	<i>No</i>	<input checked="" type="checkbox"/>
14.	Absence of previous negative experience of working with the plant and a participant in its composition	<i>Yes</i>	<input checked="" type="checkbox"/>	<i>No</i>	<input checked="" type="checkbox"/>
15.	The participant is not affiliated with other procurement participants	<i>Yes</i>	<input checked="" type="checkbox"/>	<i>No</i>	<input checked="" type="checkbox"/>
16.	Lack of information about the conflict of interest / affiliation of the participant with the personnel of the plant	<i>Yes</i>	<input checked="" type="checkbox"/>	<i>No</i>	<input checked="" type="checkbox"/>
17.	Measures to resolve the identified conflict of interest	<u>Description of measures to resolve conflicts of interest</u>			
18.	Data on probability of violations	<u>Not accessible/source: [link], [Description of corruption/bribery by procurement participant]</u>			
19.	Data on the probability of negative factors of reputation in the labor sphere	<u>Unavailable/source: [link], [description of negative reputational factors]</u>			

20.	Availability of documentation on combating corruption (presented or available on the site)	<b>Yes</b>	<input checked="" type="checkbox"/>	<b>No</b>	<input checked="" type="checkbox"/>
21.	Web site of participant	<u>Unavailable / site address: [link], active / inactive</u>			
22.	Term of availability of participant				
23.	Financial, logistical, human and other resources of the participant	<b>Yes</b>	<input checked="" type="checkbox"/>	<b>No</b>	<input checked="" type="checkbox"/>
23.	The amount is sufficient to fulfill obligations under the contract				
24.	The participant provided all the necessary documentation for verification in full	<b>Yes</b>	<input checked="" type="checkbox"/>	<b>No</b>	<input checked="" type="checkbox"/>
<u>If the documents were not provided in full, then indicate the documents not submitted:</u>					
25.	Other materials attached to the report				
	a) [Brief description of the document/material]				
	b) [Brief description of the document/material]				
	c) [Brief description of the document/material]				
	d) [Brief description of the document/material] etc.				

**Main conclusions and observations based on the results of the audit**

Indicate whether risks have been identified (yes, no), and if so, what risks and how they can be mitigated

Information about the person in charge / employee of the Logistics Dept. procurement initiator who carried out the verification of the participant in the procurement process

Name	<hr/>
Position and personnel number	<hr/>
Report date	<hr/>
Lot number	<hr/>
Signature	<hr/>

**Appendix 5**  
**To the Instructions on the Procedure of**  
**Checking Counterparties (Business Partners,**  
**Companions) of JSC “Almalyk MMC”**

## Register of verification of participants (counterparties) of procurement processes

[illegible]