

PROCEDURES FOR RECEIVING AND RESOLVING PETITIONS AND  
COMPLAINTS FROM CITIZENS AND OFFICIAL ORGANIZATIONS TO THE  
"MONGOLIA STOCK EXCHANGE" JSC

**One. General Provisions**

1. The purpose of these procedures is to coordinate the process of receiving and processing petitions, complaints, and proposals made by professional participants, citizens, and official organizations addressed to the "Mongolian Stock Exchange" /hereinafter referred to as "MSE"/.
2. The surveillance specialist shall carry out inspection in accordance with petitions, complaints, and proposals submitted by professional participants, citizens, and public organizations within the framework of these procedures and the Law on Resolving Petitions and Complaints from Citizens to State Authorities and Public Officials.
3. These procedures shall be amended by the decision of the Executive Director of the MSE.
4. The terms used in this instruction shall have the following meanings.
  - 4.1 "Petition" means a request to an organization or official; /the petition may be of a feedback nature/
  - 4.2 "Proposal" means a citizen's request for improvement and renewal of the activities of organizations and public officials;
  - 4.3 "Complaint" means a request for the restoration of rights and interests of a citizen which deemed to have been violated by the decision and activities of an organization or public official;
  - 4.4 "Resolving petition and complaint" means reviewing the issue stated in the petition and complaint, notifying that relevant actions have been taken in accordance with the legislation, and providing a response within the period specified in the regulations;

**Two. Receiving and registering a petition and complaint**

5. The MSE shall receive the petitioners or complainants in the meeting room during working hours.
6. The inspection officer shall receive the verbal complaint submitted by the citizens in person, make a note, and have it signed by the person who submitted the verbal complaint.
7. Complaints submitted in writing or online shall be received and recorded by the surveillance officer, and have it signed by the person who submitted the complaint.
8. In written petitions and complaints, the applicant's name, address and postal address, phone number, identification number, name of the relevant SC, main and connection account number must be written and confirmed with a signature.
9. Joint petitions or complaints shall be signed by all parties, or their representatives must sign and attach a document proving their right to represent.
10. After presenting the petitions and complaints to the management of the MSE, it shall be transferred to the surveillance specialist within a day with the approval of the senior specialist of the surveillance department.

**Three. Reviewing petitions and complaints**

11. Petitions and complaints shall be reviewed by the surveillance specialist as follows:

- 11.1. determine whether the petition or complaint falls under the jurisdiction of the organization or authorized official,
  - 11.2. Petitions and complaints that do not fall under the jurisdiction of organizations and authorized officials shall be forwarded to the authority organization within 3 days.
  - 11.3. If the surveillance specialist decides within their authority they shall analyze every problem mentioned in the relevant application and complaint, and conduct activities such as obtaining research and clarifications from the relevant authorities.
  - 11.4. Documents that can be verified may be requested from the applicant or complainant.
12. The surveillance specialist may not review the petition or complaint on the following grounds:
    - 12.1 If the petition or complaint does not have a specific name and address,
    - 12.2 petition or complaint is submitted to the Commission on the same issue,
    - 12.3 If the issue mentioned in the petition or complaint has a valid court decision,
  13. The surveillance specialist shall provide the petitioner or complainant with a reasonable explanation in the event of the conditions stated in Article 12 of the procedure.

#### **Four. Resolving petitions and complaints**

14. Petitions and complaints shall be resolved within 14 days from the date of receipt.
15. If necessary, the period can be extended by up to 30 days by the authorized official.
16. A response to a proposal shall be provided within 60 days.
17. If it is possible to solve the issues stated in the petition or complaint directly, the appropriate decision shall be made.
18. In the event that the petition or complaint is resolved or the resolution period is extended, the response shall be notified in person, by phone, or via the office number.
19. If the decision is given verbally or by telephone, it shall be recorded in the register.
20. On the basis of studying whether it is possible to accept and implement the proposal, the petition shall be answered in accordance with the procedure specified in clauses 14, 16, and 17.
21. the enforcement of the decision on the petition or complaint is the responsibility of the surveillance specialist who decided it.
22. The senior specialist of the surveillance department shall supervise the activities of receiving and resolving petitions and complaints.
23. The surveillance specialist shall present the report to the senior specialist of the Surveillance department within 3 days after the end of the inspection.

#### **Five. Liability**

24. The surveillance specialist shall take the following measures in the event that irregularities are found in the inspection conducted according to the complaint:
  - 24.1. Stopping and eliminating detected violations;
  - 24.2. Give a time-bound obligation to relevant organizations and officials to compensate civil damages;
  - 24.3. Maintain a violation sheet and ensure compliance.
25. The MSE shall take disciplinary action against inspection officers who exceed time limits for receiving, resolving, and responding to complaints or exhibit negligence, as per the "Labor Agreement" of the Ministry of Education and Culture.