

ATTACHMENT V TO

Decision of the Board of Directors of

PT Kliring Penjaminan Efek Indonesia

Number : KEP-080/DIR/KPEI/0925

Dated : 26 September 2025

PROVISIONS FOR SUPERVISION AND AUDIT AND SANCTIONS

I. Supervision and Audit of Tri-Party Agent Service User

I.1. KPEI has the authority to supervise the Tri-Party Agent Service User in order to monitor and ensure compliance with the Rule Book.

I.2. KPEI has the authority to report material information if there are indications of fraud to the Competent Authority.

I.3. KPEI has the authority to carry out an audit of the Tri-Party Agent Service User if there are indications of violations committed by the Tri-Party Agent Service User in the use of the Tri-Party Repo Facility based on a written order from the Competent Authority.



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I.4. The Tri-Party Agent Service User must provide recorded data and/or information and provide explanations regarding Repo Transaction activities as requested by KPEI, as referred to in provision Number I.1. and provision Number I.3. based on the applicable laws and regulations.

I.5. If, during the audit process, indications of violations are found that result in the failure to fulfill one or more obligations of the Tri-Party Agent Service User, KPEI reports the findings of such indications of violations to the Competent Authority by attaching relevant supporting data and/or information if requested by the Competent Authority in accordance with the applicable laws and regulations.

II. Imposition of Sanctions

II.1. KPEI may impose sanctions on the Tri-Party Agent Service User who violates the provisions of the Rule Book in the form of:



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- II.1.1. a written warning;
- II.1.2. termination of the Tri-Party Agent Service User's access to the Tri-Party Repo Facility; and/or
- II.1.3. revocation of the Tri-Party Agent Service User's Approval Letter.

- II.2. The imposition of sanctions on the Tri-Party Agent Service User as mentioned above is based on KPEI policy.
- II.3. The imposition of sanctions is effective as from the date of the sanction determination letter issued by KPEI.
- II.4. The imposition of sanctions on the Tri-Party Agent Service User is reported to Bank Indonesia and the Financial Services Authority.
- II.5. Upon the imposition of sanctions as referred to in provision number II.4, KPEI may also



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provide written notice regarding such imposition of sanctions through electronic media determined by KPEI.

II.6. KPEI may terminate the Tri-Party Agent Service User's access to the Tri-Party Repo Facility in the event of the following conditions:

II.6.1. The Tri-Party Agent Service User experiences an Event of Default;

II.6.2. The Tri-Party Agent Service User fails to fulfill its obligations as a Tri-Party Agent Service User as regulated in the Rule Book;

II.6.3. The Tri-Party Agent Service User takes actions that pose a potential material negative risk to KPEI's reputation or operations based on an internal review conducted by KPEI;

II.6.4. there is an order from Bank Indonesia, the Financial Services



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Authority, and/or other authorized agencies; and/or

III.6.5. The Tri-Party Agent Service User fails to provide recorded data and/or information in accordance with the applicable laws and regulations and fails to provide explanations as requested by KPEI regarding the supervision and audit activities conducted by KPEI.

II.7. The imposition of sanctions by KPEI on the Tri-Party Agent Service User does not eliminate the responsibility of the Tri-Party Agent Service User to fulfill all of their obligations to KPEI and/or other Tri-Party Service Users.

III. Annex

The annexes to this Rule Book on the Provisions for Supervision and Audit and Sanctions are complementary and explain each other according to their functions and constitute an integral and



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inseparable part of the Rule Book on the Provisions for Supervision and Audit and Sanctions, which consist of:

III.1. Annex A - Implementing Provisions of the Rule Book on the Provisions for Supervision and Audit and Sanctions.



ANNEX A

**RULE BOOK ON THE PROVISIONS FOR SUPERVISION AND AUDIT AND
SANCTIONS**

I. Stages of Imposition of Sanctions

- I.1. Prior to imposing sanctions, KPEI may carry out guidance measures for the results of supervision and audit that have been carried out on the Tri-Party Agent Service User.
- I.2. The imposition of sanctions given by KPEI may be imposed directly or gradually.
- I.3. KPEI may impose sanctions individually or layered with other sanctions (for example, a written warning followed by termination of the Tri-Party Agent Service User's access to the Tri-Party Repo Facility).
- I.4. The determination of sanctions stages by KPEI for violations committed by the Tri-Party Agent Service User based on the impact caused both to the Tri-Party Agent itself and outside the Tri-Party Agent within a certain period.

