

# KAZAKHSTAN STOCK EXCHANGE JSC

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**A p p r o v e d**

by a decision of the Management Board of  
Kazakhstan Stock Exchange JSC

(minutes No. 73 of the meeting  
on June 2, 2020)

**E f f e c t i v e**

from August 3, 2020

## **N O T I C E**

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## **I N S T R U C T I O N**

**on the procedure for assigning codes to  
members of Kazakhstan Stock Exchange JSC  
and their accounts, users of trading systems,  
issuers of securities and financial instruments**

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Almaty

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## LIST OF AMENDMENTS

### 1. Amendments No. 1:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 136 of the meeting on October 8, 2020);
- effective from October 9, 2020.

### 2. Amendments No. 2:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 142 of the meeting on October 22, 2020);
- effective from November 30, 2020.

### 3. Amendments No. 3:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 4 of the meeting on January 21, 2021);
- effective from January 22, 2021.

### 4. Amendments No. 4:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 57 of the meeting on June 11, 2021);
- effective from June 14, 2021.

### 5. Amendments No. № 5:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 59 of the meeting on June 15, 2021);
- effective from July 7, 2021.

### 6. Amendments No. 6:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 61 of the meeting on June 23, 2021);
- effective from July 1, 2021.

### 7. Change No. 7:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 115 of the meeting on November 2, 2021);
- effective from November 3, 2021.

### 8. Change No. 8:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 134 of the meeting on December 15, 2021);
- effective from January 5, 2022.

### 9. Change No. 9:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 66 of the meeting on May 19, 2022);
- effective from May 23, 2022.

### 10. Change No. 10:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 91 of the meeting on July 28, 2022);
- effective from August 22, 2022.

**11. Changes and amendments No. 11:**

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 121 of the meeting on October 20, 2022);
- effective from October 26, 2022.

**Instruction on the procedure for assigning codes to members of Kazakhstan Stock Exchange JSC  
and their accounts, users of trading systems, issuers of securities and financial instruments**

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This Instruction determines the procedure for assignment of abbreviated designations (hereinafter - codes) to members of Kazakhstan Stock Exchange JSC (hereinafter - the Exchange) and their accounts, users of trading systems (hereinafter collectively - the trading system), issuers of securities and financial instruments (*this paragraph was changed by a decision of the Exchange's Management Board dated 19 May of 2022*).

Codes are used to identify members of the Exchange, financial instruments and users in the trading system, as well as when the Exchange carries out information activities in order to optimize the size of the information distributed by the Exchange.

The terms used in this Instruction are used in the meaning given to them in this Instruction and other internal documents of the Exchange.

**Article 1. Requirements for codes assigned to members of the Exchange**

1. A code to a member of the Exchange as a trading participant is assigned by the Exchange's division that monitors members of the Exchange in the following order:
  - 1) the code must consist of five characters, which are capital letters of the Latin alphabet (taking into account the peculiarities established by sub-item 4) of this item);
  - 2) the code must be drawn up on the basis of its name and must be close to it in sound;
  - 3) if members of the Exchange of different organizational and legal forms have the same or similar names, it is allowed to use letters in the codes of these members of the Exchange that reflect their organizational and legal form;
  - 4) it is allowed to use the symbol "\_" (underscore) in the code of a member of the Exchange, starting from the second position from the left;
  - 5) it is prohibited to assign identical or confusingly similar codes to various members of the Exchange;
  - 6) if the name of a member of the Exchange is changed, the code previously assigned to him is not subject to change.
2. The code of a member of the Exchange as a user of the control and collateral system is determined by the Exchange's division that organizes trades and consists of:
  - 1) the code of the member of the Exchange;
  - 2) character "\_" (underscore);
  - 3) the letters "K".
3. The Exchange's division that monitors members of the Exchange assigns a registration number to a member of the Exchange of the "currency market" and "derivatives market" categories in accordance with the sequence of its admission to the Exchange membership.

The registration number of a member of the Exchange of the "foreign exchange market" and "derivatives market" categories consists of three digits. If the registration number is less than 100, then the digits denoting such a number are padded on the left with one or more zeros so that the total number of these digits is three.
- 3-1. The division of the Exchange that organizes trading assigns to the Exchange member of the "derivatives market" category the code of the settlement company and the settlement code for accounting for own and client funds (*this item was included by the decision of the Exchange's Management Board dated June 15, 2021*).

3-2. The code of the settlement firm of a member of the Exchange of the "derivatives market" category consists of two characters, which can be used as numbers or uppercase letters of the Latin alphabet. At the same time, for banks, the code of the settlement company corresponds to the last two digits of its registration number, for a brokerage organization, the code of the settlement company corresponds to the first two characters of its trading code *(This item was included by a decision of the Exchange's Management Board dated June 15, 2021)*.

3-3. The settlement code of a member of the Exchange of the "derivatives market" category for accounting for own funds consists of five characters corresponding to the first five characters of the sub-account of such a member of the Exchange in the accounting system of the Central Securities Depository.

If a member of the Exchange does not have a sub-account in the Central Securities Depository of the "derivatives market" category, the settlement code of such a member of the Exchange consists of a five-digit number, starting from 99999 in descending order.

*(This item was included by a decision of the Exchange's Management Board dated June 15, 2021)*

3-4. The settlement code of the Exchange member of the "derivatives market" category for accounting for client funds consists of:

- 1) digits "5";
- 2) four symbols corresponding to the symbols from the second to the fifth subaccount of such an Exchange member in the accounting system of the Central Securities Depository.

*(This item was included by a decision of the Exchange's Management Board dated June 15, 2021)*

4. A member of the Exchange who is simultaneously a trading participant and the user of the control and collateral system, are assigned two different identification codes in accordance with items 1 and 2 of this article..

## **Article 2. Trading system user Codes**

Trading system user codes (hereinafter referred to as a trading system user – a short code) are defined in Appendices 1 and 2 to these Instructions, depending on to which trading system such a user is granted access.

"The code of the user of the trading system (hereinafter referred to as the short code for the user of the trading system) is defined by appendices 1, 2 and 3 to this Instruction, depending on which trading system such a user is granted access to.

*(This article was changed by a decision of the Exchange's Management Board dated June 15, 2021)*

### **Article 2-1. Codes of clients of members of the Exchange of the "currency" category**

1. Client codes of members of the Exchange of the "currency" category may be of the first and second level.

2. The first level client code consists of:

- 1) capital letters of the Latin alphabet, identical to the letters of the identification code of the member of the Exchange representing interests of a first level client, and located before the "\_" (underscore) symbol (if any);
- 2) numbers "0" (or a combination of several zeros), if the number of letters in the identification code of a member of the Exchange is less than five characters;

- 3) digits "01";
  - 4) five digits denoting the serial number of the first-level client in accordance with the data of such member of the Exchange (taking into account the specifics established by item 4 of this article).
3. The second level client code consists of:
- 1) capital letters of the Latin alphabet, identical to the letters of the identification code of the member of the Exchange representing interests of a second level client, and located before the "\_" (underscore) symbol (if any);
  - 2) numbers "0" (or a combination of several zeros), if the number of letters in the identification code of a member of the Exchange is less than five characters;
  - 3) digits "02";
  - 4) five digits denoting the serial number of the second-level client in accordance with the data of such member of the Exchange (taking into account the specifics established by item 4 of this article).
4. If the serial number of a client of the first or second level is less than 10,000, then the digits denoting such a number are supplemented on the left with one or more zeros so that the total number of these digits is five.

*(This article was included by a decision of the Exchange's Management Board dated October 22, 2020)*

**Article 2-2. Codes of unique identification numbers of Exchange members of the "derivatives market" category and their clients**

1. The code of the unique identification number of a member of the Exchange of the "derivatives market" category consists of:
  - 1) five characters that make up the settlement code of a member of the Exchange of the "derivatives market" category for accounting for own funds;
  - 2) digits "00";
  - 3) five digits indicating the serial number of such a code (taking into account the specifics established by paragraph 3 of this article).
2. The code of the unique identification number of the client of a member of the Exchange of the "derivatives market" category consists of:
  - 1) five characters that make up the settlement code of the Exchange member of the "derivatives market" category for accounting for client funds;
  - 2) digits "01";
  - 3) five digits indicating the serial number of such a code (taking into account the specifics established by paragraph 3 of this article).
3. If the sequence number of the unique identification number code is less than 10,000, then the digits indicating such a number are supplemented on the left with one or more zeros so that the total number of these digits is five.

*(This article was included by a decision of the Exchange's Management Board dated June 15, 2021)*

**Article 3. Account codes of members of the Exchange**

1. For the purposes of this article:
  - 1) a trading account is understood as an account of a user of the trading system (own or client), intended for concluding transactions and carrying

- out transactions on transfers for settlements and/or transfers of collateral/setting limits in the trading system;
- 2) a clearing account means an account of a user of the trading system intended for recording information used to execute transactions/operations of transfers for settlements and/or accounting and control of collateral/set collateral limits in the trading system;
  - 3) the trading system user's account means a trading and clearing account, which is a combination of a trading account and a clearing account code that matches it;
  - 4) a second-level account means a trading and clearing account of a trading participant used to conclude transactions and carry out transactions on transfers for settlements, and to record information used to control the established limits from the first-level trading and clearing account to whose clearing account it is linked;
  - 5) the trading system user's client account means a trading and clearing account used by the trading system users in the interests of its client;
  - 6) the trading system user's own account means a trading and clearing account used by this trading system user in his own interests;
  - 7) the aggregated client account means a trading and clearing account of a user of the trading system used by him to distribute the cash collateral recorded in the settlement organization on the corresponding aggregated client account, to client accounts in the trading system.
2. The following accounts are opened for stock market participants (hereinafter – as first-level accounts):
    - 1) as a trading participant – one own, one aggregated client and an unlimited number of segregated client accounts;
    - 2) as a user of the control and collateral system – one aggregated client and an unlimited number of segregated client accounts.
  3. An unlimited number of second-level accounts can be opened for stock market trading participants on the basis of their applications.
  4. Ten-digit numbers of the corresponding sub-accounts in the accounting system of the Central Depository, sent by the latter to the Exchange's trading system by a message in the format provided for by the agreement on servicing the trading operator, concluded with the Central Depository, are used as components of the symbols of the account codes of a trading participant in the stock market.
  5. The code of own first-level account of a stock market participant consists of:
    - 1) the letters "S";
    - 2) the symbol "+" in case of concluding purchase and sale transactions and repo transactions , for which the Exchange performs the functions of the central counterparty, or  
  
the digit "0" in case of conclusion of purchase and sale transactions and direct repo transactions, as well as automatic repo transactions for the sale of the subject of such a transaction, or the letter "R" in case of automatic repo transactions for the purchase of the subject of such a transaction, for which the Exchange does not perform functions of the central counterparty;
    - 3) ten-digit number of own sub-account in the accounting system of the Central Depository.
  6. The code of the own account of the collateral pool of a stock market participant consists of:

- 1) the letters "S";
  - 2) a variable symbol denoting the type of collateral pool of the general collateral certificate;
  - 3) ten-digit number of own sub-account in the accounting system of the Central Depository.
7. The code of a client's first-level segregated account of a trading participant of the stock market consists of:
- 1) the letters "I";
  - 2) the "+" symbol in case of concluding purchase and sale transactions and repo transactions, for which the Exchange performs the functions of the central counterparty, or  
the number "0" in case of conclusion of purchase and sale transactions and direct repo transactions, as well as automatic repo transactions for the sale of the subject of such a transaction, or the letter "R" in case of automatic repo transactions for the purchase of the subject of such a transaction, for which the Exchange does not perform functions of the central counterparty;
  - 3) ten-digit number of the respective client sub-account in the accounting system of the Central Depository.
8. The code of the client segregated account of the collateral pool of a stock market participant consists of:
- 1) the letter "I";
  - 2) a variable symbol denoting the type of collateral pool of the general collateral certificate;
  - 3) ten-digit number of own sub-account in the accounting system of the Central Depository.
9. The code of the client account of a stock market participant for aggregate position accounting consists of:
- 1) the letter "O";
  - 2) the symbol "+" in case of concluding purchase and sale transactions and repo transactions, for which the Exchange performs the functions of the central counterparty, or  
the number "0" in case of conclusion of purchase and sale transactions and direct repo transactions, as well as automatic repo transactions for the sale of the subject of such a transaction, or the letter "R" in case of automatic repo transactions for the purchase of the subject of such a transaction, for which the Exchange does not perform functions of the central counterparty;
  - 3) ten-digit number of the respective client sub-account in the accounting system of the Central Depository.
10. The code of the client account of the collateral pool of a stock market trading participant for the aggregated accounting of positions consists of:
- 1) the letter "O";
  - 2) a variable symbol denoting the type of collateral pool of the general collateral certificate;
  - 3) ten-digit number of own sub-account in the accounting system of the Central Depository.
11. The code of the first-level client segregated account of a user of the control and collateral system consists of:



- 1) the letter "C";
  - 2) the symbol "+" in case of concluding purchase and sale transactions and repo transactions, for which the Exchange performs the functions of the central counterparty, or  
the number "0" in case of conclusion of purchase and sale transactions and direct repo transactions, as well as automatic repo transactions for the sale of the subject of such a transaction, or the letter "R" in case of automatic repo transactions for the purchase of the subject of such a transaction, for which the Exchange does not perform functions of the central counterparty;
  - 3) ten-digit number of the respective client sub-account in the accounting system of the Central Depository.
12. The code of the client segregated account of the collateral pool of a user of the control and collateral system consists of:
- 1) the letter "C";
  - 2) a variable symbol denoting the type of collateral pool of the general collateral certificate;
  - 3) ten-digit number of own sub-account in the accounting system of the Central Depository.
13. The code of the client's aggregated account of a stock market participant consists of:
- 1) symbols "L+", if a client account is opened for a trading participant, or symbols "K+", if a client account is opened for a user of the control and collateral system for the purpose of concluding transactions for which the Exchange acts as the central counterparty, or  
symbols "L0", if the client account is opened for a trading participant, or symbols "K0", if the client account is opened for a user of the control and collateral system for the purpose of concluding transactions for which the Exchange does not act as the central counterparty;
  - 2) a ten-digit number of the corresponding own sub-account of the trading participant in the accounting system of the Central Depository.
14. The code of the second-level own account of the stock market trading participant, used to conclude transactions for which the Exchange performs the functions of the central counterparty, consists of:
- 1) symbols "S+";
  - 2) the number "2", meaning the second-level of the trading account;
  - 3) two digits indicating the serial number of the second-level account (taking into account the specifics established by item 24 of this article);
  - 4) the first two letters of the Latin alphabet, identical to the first two letters of the identification code of the trading participant who owns such an account (taking into account the specifics established by item 25 of this article);
  - 5) five zeros corresponding to the last five zeros of the trading participant's first-level own account.
- The own second-level trading and clearing account of a stock market trading participant is linked to the own clearing account of the first-level of such a trading participant, used to execute transactions/transfers for settlements concluded from the own trading and clearing account of the second-level.
15. The code of the second-level client segregated account of a stock market trading participant consists of:

- 1) symbols "I+" in case of conclusion of purchase and sale transactions and repo transactions , for which the Exchange performs the functions of the central counterparty, or  
symbols "IO" in case of conclusion of purchase and sale transactions and direct repo transactions , as well as automatic repo transactions for the sale of the subject of such a transaction or symbols "IR" in case of automatic repo transactions for the purchase of the subject of such a transaction, for which the Exchange does not perform the functions of the central counterparty;
- 2) a number indicating the serial number of the client's account;
- 3) the first two letters of the Latin alphabet, identical to the first two letters of the identification code of the trading participant for whom such an account is opened (taking into account the specifics established by item 25 of this article);
- 4) the first two letters of the Latin alphabet, identical to the first two letters of the identification code of the user of the control and collateral system, to whose clearing account the second-level account is linked (taking into account the specifics established by item 25 of this article);
- 5) five digits corresponding to the last five digits of the clearing account of the user of the control and collateral system to which the second-level account is linked.

The client second-level trading and clearing account of a trading participant of the stock market is linked to the client first-level clearing account of the user of the control and collateral system or the first-level clearing account of the trading participant in accordance with the application submitted by the trading participant and used for the execution of transactions/transfers for settlements concluded from the client second-level trading and clearing account.

16. One own and an unlimited number of aggregated client accounts are opened for currency market participants.
17. The code of the own account of a trading participant in the currency market consists of:
  - 1) the capital letter "S";
  - 2) symbol "+";
  - 3) capital letters "FX";
  - 4) three digits indicating the registration number of the member of the Exchange;
  - 5) five zeros.
18. The code of the aggregated client account of a trading participant in the foreign exchange market consists of:
  - 1) the capital letter "L";
  - 2) symbol "+";
  - 3) capital letters "FX";
  - 4) three digits indicating the registration number of the member of the Exchange;
  - 5) five digits indicating the serial number of the aggregated client account of a trading participant (if such a number is less than 10,000, then the digits indicating such a number are supplemented on the left with one or more zeros so that the total number of these digits is five).

19. The code of the aggregated own account of a trading participant used in the derivatives market consists of:
  - 1) the code of the clearing firm;
  - 2) digits "00".
20. The code of the aggregated client account of a trading participant used in the derivatives market consists of:
  - 1) the code of the clearing firm;
  - 2) digits "01".
21. The code of the trading participant's own account used in the derivatives market consists of:
  - 1) the code of the clearing firm;
  - 2) digits "00";
  - 3) three digits denoting the serial number of the trading participant's own account (taking into account the specifics established by item 26 of this article).
22. The code of the trading participant's client account used in the derivatives market consists of:
  - 1) the code of the clearing firm;
  - 2) the numbers "01" (taking into account the specifics established by item 27 of this article);
  - 3) three digits indicating the serial number of the trading participant's client account (taking into account the specifics established by item 26 of this article).
23. The code of the trading participant's own liquidation trading and clearing account used in the derivatives market consists of:
  - 1) the code of the clearing firm;
  - 2) symbols "OWliq".
24. The code of the trading participant's own liquidation trading and clearing account used in the derivatives market consists of:
  - 1) the code of the clearing firm;
  - 2) characters "CLliq".
25. If the number of digits indicating the serial number of the second-level account is less than 10, the digit indicating such a number shall be supplemented with zero on the left.
26. If two or more trading participants have the same first two letters of the Latin alphabet in identification codes, it is allowed to use two other letters of the Latin alphabet, close to its name in sound, for the purpose of identifying the second-level account of such a trading participant.
27. If the serial number of own or client account of a trading participant in the derivatives market is less than 100, then the digits denoting such a number are supplemented on the left with one or more zeros so that the total number of these digits is three.
28. In the code of the client account of the National Bank of the Republic of Kazakhstan, the following characters are used as the second and third characters:

letters "NF" – if the client of the National Bank of the Republic of Kazakhstan is the National Fund of the Republic of Kazakhstan, or

letters "EN" – if the client of the National Bank of the Republic of Kazakhstan is JSC "Unified accumulative pension fund".

*(This article is amended by decisions of the Exchange Management Board of October 22, 2020, May 25, 2021, June 25, 2021, June 23, 2021, December 15, 2021, July 28, 2022)*

**Article 4. Code of issuers of corporate securities <sup>1</sup>**

1. The code for the issuer of non-government securities - resident of the Republic of Kazakhstan is assigned by the unit of the Exchange responsible for securities listing (hereinafter - listing unit), which consists of the identification code of this issuer<sup>2</sup> *(this item is amended by a decision of the Exchange Management Board of 2 November 2, 2021 and May 19, 2022)*.
2. A code for a non-resident issuer of non-government securities of the Republic of Kazakhstan is assigned by the listing unit, which consists of:
  - 1) the identification code of the issuer<sup>2</sup> *(this sub-item was changed by a decision of the Exchange's Management Board dated 19 May of 2022)*;
  - 2) the symbol "\_" (underscore);
  - 3) the letters "KZ".

*(This item was amended by a decision of the Exchange Board of Management on November 2, 2021).*

3. The identification code of the issuer of non-government securities is assigned by the Exchange division responsible for listing securities (hereinafter referred to as the listing division) as follows:
  - 1) the identification code of this issuer consists of four characters, which are capitalized letters of the Latin alphabet;
  - 2) the identification code of this issuer is compiled based on its name and should be close to it in sound;
  - 3) it is allowed to use the symbol "\_" (underscore) in the identification code of this issuer, starting from the second position on the left;
  - 4) if this issuer is a bank, then, as a rule, the letters "BN" should be in its identification code in the third and fourth positions on the left;
  - 5) if this issuer is an accumulative pension fund, then, as a rule, the letters "PF" should be in its identification code in the third and fourth positions on the left;
  - 5-1) if this issuer is a microfinance organization, then, as a rule, the letters "MF" should be in the first and second positions on the left in its identification code *(this sub-item was included by the decision of the Exchange's Management Board dated October 8, 2020)*;
  - 6) it is prohibited to assign identical or confusingly similar identification codes to different issuers of non-state securities;

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<sup>1</sup> Hereafter, securities are understood only as equity securities *(the numbering of this footnote was changed by the decision of the Board of the Exchange dated June 15, 2021)*.

<sup>2</sup> In accordance with the norms set out in the Exchange's internal document "Listing Rules" *(this footnote was included by a decision of the Exchange's Management Board dated 19 May of 2022)*.

- 7) *(this sub-item was changed by the decision of the Exchange's Management Board dated October 8, 2020 and May 19, 2022 and was excluded by a decision of the Exchange's Management Board dated 20 October of 2022).*
- 8) if securities of a foreign issuer are planned to be included in "KASE Global" sector of the "Mixed" market of the Exchange's official list, then it is allowed to use the identification code of such issuer, assigned to it by another stock exchange, included in the list of stock exchanges approved by the Exchange's Management Board *(this sub-item was changed by a decision of the Exchange's Management Board dated 19 May of 2022)*;
- 9) when transferring corporate securities from one floor of the Exchange's official list to another, from the corresponding sector of the "Mixed" floor - to "KASE Global" sector of the "Mixed" market, on the initiative of the securities admittance initiator this issuer may be assigned a different identification code by the Board's decision, different from the one previously assigned to it *(this sub-item was included by a decision of the Exchange's Management Board dated 19 May of 2022).*

*(This item is amended by decisions of the Exchange Board of Management dated October 8, 2020 and November 2, 2021)*

4. When changing the name of the issuer of non-government securities at the initiative of the initiator of admission of these securities by the decision of the members of the Board in charge of the trading and information and statistics divisions, adopted on the basis of an internal memorandum of the monitoring division, such an issuer may be assigned a different identification code, different from assigned to him earlier, if there are sufficient grounds *(this item was included by a decision of the Exchange's Management Board dated 20 October of 2022).*

#### **Article 5. Codes of non-government securities**

1. Codes for non-government securities are assigned by the listing division as follows:
  - 1) the code of the common shares is used directly by the code of their issuer;
  - 2) the preferred stock code consists of:  
the code of the issuer of these shares;  
the letters "p"<sup>3</sup>;
  - 3) the code of bonds or other debt securities issued in accordance with the legislation of the state whose legal entity is their issuer consists of:  
the code of the issuer of these bonds (other debt securities);  
the letters "b"<sup>4</sup> (with the exception of non-government bonds subject to private placement); or  
letters "pp"<sup>5</sup> for non-government bonds subject to private placement;

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<sup>3</sup> Abbreviation of the English words "preference" and "preferred" ("privileged") *(the numbering of this footnote was changed by the decision of the Board of the Exchange dated June 15, 2021 and May 19, 2022).*

<sup>4</sup> Abbreviation of the English word "bond" ("bond") *(the numbering of this footnote was changed by the decision of the Board of the Exchange dated June 15, 2021 and May 19, 2022).*

<sup>5</sup> Abbreviation of the English words "private placement" ("private placement") *(this footnote was included by the decision of the Board of the Exchange dated June 11, 2021, the numbering of this footnote was changed by the decision of the Board of the Exchange dated June 15, 2021 and May 19, 2022).*

the number denoting (the numbers denoting) the serial number of the issue of these bonds (other debt securities) in accordance with the data of the Exchange;

*(this sub-item was changed by a decision of the Exchange's Management Board dated June 11, 2021)*

- 4) code of bonds or other debt securities issued in accordance with the legislation of another (in relation to the state whose legal entity is the issuer of these bonds (other debt securities)) state, consists of:

the code of the issuer of these bonds (other debt securities);

letters "e"<sup>6</sup>;

the digit designating (the digits designating) the serial number of the issue of these bonds (other debt securities) in accordance with the data of the Exchange;

- 5) the code for bonds or other debt securities issued under the guarantee<sup>7</sup> of a legal person consists of:

the code of the organisation which is the guarantor<sup>6</sup> or issuer of the bonds (other debt securities) in question;

letters "e"<sup>5</sup>;

digit(s) designating the issue number of these bonds (other debt securities) according to the data of the Exchange;

*(this sub-item has been amended by a decision of the Exchange Management Board of 2 November 2, 2021)*

- 6) the securities code of a mutual investment fund, a joint-stock investment fund and a real estate fund consists of:

code of the issuer of these securities *(this paragraph was changed by a decision of the Exchange's Management Board dated 19 May of 2022)*;

a unique combination of lowercase letters and/or numbers denoting this fund;

*(this sub-item was changed by a decision of the Exchange's Management Board dated October 8, 2020)*

- 7) the sukuk bond code consists of:

the code of the issuer of these bonds;

letters "s";

the digit denoting (the digits denoting) the serial number of the issue of these bonds in accordance with the data of the Exchange;

- 8) the code of bank certificates of deposit consists of:

the code of the issuer of these certificates;

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<sup>6</sup> Abbreviation of the English word "eurobond" ("Eurobond") *(the numbering of this footnote was changed by the decisions of the Board of the Exchange dated June 11, 2021 and June 15, 2021 and May 19, 2022)*.

<sup>7</sup> In accordance with the rules of the Exchange's internal document "Listing Rules" *(this footnote has been renumbered by decisions of the Exchange Management Board dated June 11, 2021 and June 15, 2021, the text of this footnote has been changed by a decision of the Exchange Management Board dated November 2, 2021 and May 19, 2022)*.

letters "cd"<sup>8</sup>;

the digit denoting (the digits denoting) the serial number of the issue of these certificates assigned by the Exchange (*this paragraph was changed by the decision of the Exchange's Management Board dated October 8, 2020*);

- 9) the code for ETF securities issued under the laws of a state other (in relation to the state of which the issuer of the securities is a legal entity) consists of:

ETF securities code;

the symbol "\_" (underscore);

the letters "KZ";

*(this sub-item was included by the decision of the Exchange's Management Board dated October 8, 2020 and May 19, 2022)*

- 10) the code of the participation shares in the authorized capital of a limited liability partnership consists of:

the code of the limited liability<sup>9</sup>, partnership, the shares of participation in the authorized capital of which are offered for sale

the "\_" character (underscore);

letters "pm"<sup>10</sup>

*(this sub-item was included by the decision of the Exchange's Management Board dated October 8, 2020)*

- 1-1. In case non-government securities are in the official list of any foreign stock exchange which is a full member of the World Federation of Exchanges, it is allowed to use in the code of these securities the letter values of the code assigned by one of the aforementioned stock exchanges (*this item was included by a decision of the Exchange's Management Board dated October 8, 2020, this item was changed by a decision of the Exchange's Management Board dated 19 May of 2022*).
2. The code of corporate securities included in the state block of shares privatized through the Exchange is assigned by the Listing division and consists of:
- 1) letters "NZ", if these securities are accounted for on a personal account opened at the Central Depository;
  - 2) character "\_" (underscore);
  - 3) the code of the issuer of these securities;
  - 4) if it is necessary to more accurately identify these securities – the "\_" (underscore) symbol and the set of symbols intended for such identification.
3. The code for bonds or other debt securities that have a second ISIN is entered by the Information and Statistics division to KASE's information system

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<sup>8</sup> Abbreviation of the English words "certificate of deposit" ("certificate of deposit") (*this footnote is renumbered by decisions of the Exchange Management Board of June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

<sup>9</sup> The code for a limited liability partnership is assigned in the same manner as the code for issuers of non-government securities (*this footnote was added by a decision of the Exchange Management Board dated October 8, 2020 and renumbered by decisions of the Exchange Management Board dated June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

<sup>10</sup> Abbreviation of the English words "private market" ("KASE Private Market platform") (*this footnote was added by a decision of the Exchange Management Board dated October 8, 2020 and renumbered by decisions of the Exchange Management Board dated June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

BackOffice System on the basis of an electronic message from the trading division, consisting of:

the code of such security, previously assigned by the Listing division upon admission of such securities to circulation;

character "\_" (underscore);

the letter "A"

*(This item was included by a decision of the Exchange's Management Board dated October 8, 2020)*

**Article 6. Codes of derivative securities (derivative financial instruments, except for futures), the underlying asset of which are corporate securities**

1. The code for Kazakhstan depository receipts is assigned by the listing division and consists of:
  - 1) letters "KDR"<sup>11</sup>;
  - 2) the "\_" character (underscore);
  - 3) the code of non-government securities used as the underlying asset of these receipts, determined in accordance with item 1 of Article 5 of this Instruction;
  - 4) if it is necessary to more accurately identify these receipts – the "\_" (underscore) symbol and the set of symbols intended for such identification
2. The code of derivative securities other than Kazakhstan depository receipts (derivative financial instruments, with the exception of futures), the underlying asset of which are non-state securities issued in accordance with the legislation of the Republic of Kazakhstan, as well as in accordance with the legislation of states other than the Republic of Kazakhstan (including non-state securities of several names), is assigned to them by the listing division of the Exchange and consists of:
  - 1) the code of the issuer of these securities (financial instruments); or  
the code of the organization that is the guarantor of the fulfillment of obligations under these securities (financial instruments) and the sole founder (participant, shareholder) of a special enterprise, if these securities (financial instruments) are issued by such a special enterprise;
  - 2) letters "d"<sup>12</sup>.

**Article 7. Codes of securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of a state other than the Republic of Kazakhstan**

1. A code to securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of a state other than the Republic of Kazakhstan is assigned by the Exchange's Listing division and consists of:
  - 1) letters "KZ";

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<sup>11</sup> The abbreviation of the English phrase "Kazakhstan depository receipt" ("Kazakhstan depository receipt") *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022).*

<sup>12</sup> Abbreviation of the English word "derivative" ("derivative") *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022).*



- 2) character "\_" (underscore);
  - 3) two digits denoting the serial number of the issue of these securities (taking into account the specifics established by item 2 of this article);
  - 4) character "\_" (underscore);
  - 5) two digits denoting the last two digits of the year of redemption of these securities;
  - 6) two digits denoting the ordinal number of the month of redemption of these securities (taking into account the specifics established by item 2 of this article).
2. If the serial number of the issue of securities issued by the Ministry of Finance of the Republic of Kazakhstan is less than 10, the digit indicating such a number is supplemented with zero on the left.
- If the serial number of the month of repayment of securities issued by the Ministry of Finance of the Republic of Kazakhstan is less than 10, the digit indicating such a number is supplemented with zero on the left.

**Article 8. Codes of securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of the Republic of Kazakhstan**

1. The code for securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of the Republic of Kazakhstan is assigned by the trading division in connection with the issue of these securities and consists of *(this paragraph was changed by a decision of the Exchange's Management Board dated 20 October of 2022)*:
  - 1) capital letters of the Latin alphabet "MKM", if these securities are among the government short-term treasury obligations of the Republic of Kazakhstan (MEKKAM); or  
capital letters of the Latin alphabet "MOM", if these securities are among the government medium-term treasury obligations of the Republic of Kazakhstan (MEOKAM); or  
capital letters of the Latin alphabet "MUM", if these securities are among the government long-term treasury obligations of the Republic of Kazakhstan (MEUKAM); or  
capital letters of the Latin alphabet "MOX", if these securities are among the government medium-term indexed treasury obligations of the Republic of Kazakhstan (MOIKAM); or  
capital letters of the Latin alphabet "MUX", if these securities are among the government long-term indexed treasury obligations of the Republic of Kazakhstan (MUIKAM); or  
capital letters of the Latin alphabet "MUJ", if these securities are among the government long-term savings treasury obligations of the Republic of Kazakhstan (MEUZHKAM);  
capital letters of the Latin alphabet "MOK", if these securities are among the government special medium-term treasury obligations of the Republic of Kazakhstan (MAOKAM);  
capital letters of the Latin alphabet "MTM", if these securities are among the treasury obligations of the Republic of Kazakhstan indexed to the TONIA (METIKAM) rate *(this sub-item was included by a decision of the Exchange's Management Board dated 20 October of 2022)*;
  - 2) three digits indicating the circulation period of these securities in months (taking into account the specifics established by item 2 of this article);

- 3) character "\_" (underscore);
  - 4) the last four digits of the serial number of the issue of these securities (taking into account the specifics established by item 2 of this article).
2. If the circulation period of the securities of the Government of the Republic of Kazakhstan is less than 100 months, the figures indicating such a period are supplemented on the left with one or more zeros so that the total number of these figures is three.
- If the serial number of the issue of securities of the Government of the Republic of Kazakhstan is less than 1,000, the digits denoting such a number are supplemented on the left with one or more zeros so that the total number of these digits is four.

**Article 9. Securities codes of the National Bank of the Republic of Kazakhstan**

1. The code for securities of the National Bank of the Republic of Kazakhstan is assigned by the trading division in connection with the issue of these securities and consists of *(this paragraph was changed by a decision of the Exchange's Management Board dated 20 October of 2022)*:
    - 1) letters "NT"<sup>13</sup>;
    - 2) one-letter designation of the currency in which these securities are denominated (taking into account the specifics established by item 2 of this article);
    - 3) three digits denoting the circulation period of these securities in days (taking into account the specifics established by the first paragraph of item 3 of this article);
    - 4) character "\_" (underscore);
    - 5) the last four digits of the serial number of the issue of these securities (taking into account the specifics established by the second paragraph of item 3 of this article).
  2. The following letters are used as single-letter designations of the currency in which the securities of the National Bank of the Republic of Kazakhstan are denominated:
    - 1) "E" – for designation of the euro;
    - 2) "J" – for designation of the Japanese yen;
    - 3) "K" – for designation of the Kazakh tenge;
    - 4) "U" – for designation of the US dollar.
  3. In the event that the circulation period of securities of the National Bank of the Republic of Kazakhstan is less than 100 months, the figures indicating such a period are supplemented on the left by one or more zeros so that the total number of these figures is three.
- If the serial number of the issue of securities of the National Bank of the Republic of Kazakhstan is less than 1,000, the digits denoting such a number are supplemented on the left by one or more zeros so that the total number of these digits is four.

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<sup>13</sup> Conditional abbreviation of the English word "note" ("note") *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022)*.

**Article 10. Securities codes of local executive bodies**

1. The code for the securities of the local executive body is assigned by the Exchange listing division and consists of:
  - 1) the two-letter code of the local executive body – the issuer of these securities (taking into account the specifics established by item 2 of this article);
  - 2) a one-letter designation of the currency in which these securities are denominated (taking into account the specifics established by item 2 of Article 9 of this Instruction);
  - 3) three digits indicating the circulation period of these securities in months (taking into account the specifics established by item 3 of this article);
  - 4) character "\_" (underscore);
  - 5) three digits corresponding to the three digits preceding the last one digit of the international identification code of these securities.
2. The following letter combinations are used as two-letter codes of local executive bodies, depending on the region of the Republic of Kazakhstan to which the local executive body belongs:
  - 1) "AS" – to designate the local executive body of the city of Astana (*this sub-item was changed by a decision of the Exchange's Management Board dated 20 October of 2022*);
  - 2) "AL" – for designation of the local executive body of the city of Almaty;
  - 3) "AK" – for designation of the local executive body of Akmola region;
  - 4) "AB" – for designation of the local executive body of Aktobe region;
  - 5) "AT" – for designation of the local executive body of Almaty region;
  - 6) "AR" – for designation of the local executive body of Atyrau region;
  - 7) "VK" – for designation of the local executive body of East-Kazakhstan region;
  - 8) "DZ" – for designation of the local executive body of Zhambyl region;
  - 9) "ZK" – for designation of the local executive body of West Kazakhstan region;
  - 10) "KG" – for designation of the local executive body of Karagandy region;
  - 11) "KO" – for designation of the local executive body of Kyzylorda region;
  - 12) "KS" – for designation of the local executive body of Kostanay region;
  - 13) "MG" – for designation of the local executive body of Mangystau region;
  - 14) "PV" – for designation of the local executive body of Pavlodar region;
  - 15) "SK" – for designation of the local executive body of North Kazakhstan region;
  - 16) "TK" – for designation of the local executive body of Turkestan region;
  - 17) "SH" – for designation of the local executive body of the city of Shymkent;
  - 18) "AI" - for the local executive body of Abay region (*this sub-item was included by a decision of the Exchange's Management Board dated 19 May of 2022*);
  - 19) "UT" is for the local executive body of the Ulytau region (*this sub-item was included by a decision of the Exchange's Management Board dated 19 May of 2022*);

- 20) "JT" is for the local executive body of the Jetisu region (*this sub-item was included by a decision of the Exchange's Management Board dated 19 May of 2022*).
3. If the circulation period of securities of a local executive body is less than 100 months, the figures indicating such a period are supplemented on the left with one or more zeros so that the total number of these figures is three.

**Article 11. Foreign government securities codes**

1. Foreign government securities code is assigned by the listing unit and consists of:
  - 1) a two-letter alphabetical code of the state – the issuer of these securities in accordance with the international standard ISO 3166-1;
  - 2) character "\_" (underscore);
  - 3) two digits denoting the serial number of the issue of these securities (in accordance with the Exchange's numbering);
  - 4) character "\_" (underscore);
  - 5) two digits denoting the last two digits of the year of redemption of these securities;
  - 6) two digits denoting the ordinal number of the month of redemption of these securities (taking into account the specifics established by item 2 of this article).
2. If the ordinal number of the month of redemption of foreign government securities is less than 10, the figure denoting such number is supplemented with a zero on the left.

**Article 12. International Financial Institutions Securities Codes**

1. The code for securities issued by an international financial organization in accordance with the legislation of the Republic of Kazakhstan is assigned by the Exchange listing division and consists of:
  - 1) the four-character code of the international financial organization - the issuer of these securities (taking into account the specifics established by item 3 of this article);
  - 2) letter "b" (or the letter "s" for sukuk bonds);
  - 3) numbers denoting (numbers denoting) the serial number of these securities in accordance with the Exchange data.
2. The code for securities issued by an international financial organization in accordance with the legislation of a state other than the Republic of Kazakhstan is assigned by the Exchange listing division and consists of:
  - 1) the four-character code of the international financial organization - the issuer of these securities (taking into account the specifics established by item 3 of this article);
  - 2) letter "e" (or the letter "s" for sukuk bonds);
  - 3) numbers denoting (numbers denoting) the serial number of these securities in accordance with the Exchange data.
3. The following symbol combinations are used as four-character codes of international financial organizations:
  - 1) "ASDB" – for designation of Asian Development Bank;

- 2) "AFDB" – for designation of African Development Bank;
- 3) "BIS\_" – for designation of Bank for International Settlements);
- 4) "CEB\_" – for designation of Council of Europe Development Bank;
- 5) "EABR" – for designation of Eurasian Development Bank;
- 6) "EBRD" – for designation of European Bank for Reconstruction and Development;
- 7) "EIB\_" – for designation of European Investment Bank;
- 8) "IADB" – for designation of Inter-American Development Bank;
- 9) "IBRD" – for designation of International Bank for Reconstruction and Development;
- 10) "IFC\_" – for designation of International Finance Corporation;
- 11) "ISB\_" – for designation of Islamic Development Bank;
- 12) "NIB\_" – for designation of Nordic Investment Bank;
- 13) "ICD\_" – for designation of Islamic Corporation for the Development of the Private Sector;
- 14) "AIIB" – for designation of Asian Infrastructure Investment Bank);
- 15) "IMF\_" – for designation of International Monetary Fund

**Article 12-1. Codes of securities issued by the Exchange as a clearing Organization**

The code of the general collateral certificate issued for any collateral pool consists of:

- 1) the letters "GCGlobal" corresponding to the name of the section in the Central Depository for accounting for assets contributed by trading participants to the collateral pool;
- 2) no more than four symbols indicating the type of securities allowed to be deposited in this collateral pool.

*(This article was included by a decision of the Exchange's Management Board dated 28 July of 2022)*

**Article 13. Codes of financial instruments for repo<sup>14</sup> transactions carried out in an "automatic" way**

1. The code for a financial instrument (repo transaction) with a GS<sup>15</sup> basket is assigned by the Exchange trading division when setting up the Exchange trading system in connection with the issue of these securities and consists of the letters "GCBRK".
2. The code for a financial instrument (repo operation) with a basket of the NBRK<sup>16</sup> is assigned by the trading division when setting up the Exchange's trading

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<sup>14</sup> From the English word "repo", a common abbreviation of the word "repurchase agreement". *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022).*

<sup>15</sup> The symbol of the phrase "government securities" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022).*

<sup>16</sup> The symbol of the phrase "National Bank of the Republic of Kazakhstan" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022).*

system in connection with the issue of these securities and consists of the letters "NBRK".

3. The code for a financial instrument (repo operation) with a basket of BISSP17 on the automatic repo market is assigned by the Exchange's trading division when setting up the Exchange's trading system in connection with the opening of trading with this financial instrument and consists of "BSP".
4. The code for a financial instrument (repo operation) with a basket of GS, the execution of which is carried out on a gross basis, is assigned by the trading division of the Exchange when setting up the Exchange's trading system in connection with the issue of these securities and consists of the letters "GCBRK-GR".
5. The codes of repo operations carried out by "direct" and "automatic" methods, with the exception of repo operations with any basket of securities, coincide with the codes of securities used as subjects of these repo operations

**Article 14. Codes of financial instruments in the foreign currency market<sup>18</sup>**

1. The code for a financial instrument on the foreign exchange market is assigned when setting up the Exchange's trading system in connection with the opening of trading in this financial instrument.

When assigning a code to a financial instrument in the foreign exchange market, alphabetic currency codes are used in accordance with the international standard ISO 4217.

If the ISO 4217 standard is updated due to a change in the alphabetic currency code, which is part of the code of a financial instrument in the foreign exchange market, the code of such a financial instrument may be changed to ensure compliance with the alphabetic currency code, which is part of the code of a financial instrument in the foreign exchange market, with the ISO 4217 standard.

2. The code of a financial instrument on the foreign exchange market traded with calculations T+0<sup>19</sup> (with the execution of transactions concluded at the auction on the day of trading) consists of:
  - 1) alphabetical code of the traded foreign currency;
  - 2) the alphabetic code of the currency in which settlements are made on transactions with traded foreign currency;
  - 3) the "\_" character (underscore);
  - 4) Letter "TOD"<sup>20</sup>.

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<sup>17</sup> Conditional designation of the phrase "Bonds of the issuer with a share of state participation" (*this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

<sup>18</sup> Examples of codes of financial instruments and issuers of securities are given in Article 18 of this Instruction (*this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

<sup>19</sup> The designation of the terms of settlement of exchange transactions (execution of exchange transactions) generally accepted in the world practice in the form of a record "T+n", where T is the day of exchange trading on which the transaction was concluded, and n is the duration of the break between the specified day of exchange trading and the day of settlement of this transaction (in working days) (*this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

<sup>20</sup> Abbreviation of the English word "today" ("today") (*this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

3. The code of a financial instrument on the foreign exchange market traded with T+1 calculations (with the execution of transactions concluded at the auction on the next business day <sup>21</sup> after the trading day) consists of:
  - 1) alphabetical code of the traded foreign currency;
  - 2) the alphabetic code of the currency in which settlements are made on transactions with traded foreign currency;
  - 3) the "\_" character (underscore);
  - 4) Letter "TOM"<sup>22</sup>.
4. The code of a financial instrument on the foreign exchange market traded with T+2 calculations (with the execution of transactions concluded at the auction on the second business day after the trading day) consists of:
  - 1) alphabetical code of the traded foreign currency;
  - 2) the alphabetic code of the currency in which settlements are made on transactions with traded foreign currency;
  - 3) the "\_" character (underscore);
  - 4) Letter "SPT"<sup>23</sup>.
5. The code of a financial instrument on the foreign exchange market, traded with settlements later than on the second business day after the trading day, consists of:
  - 1) alphabetical code of the traded foreign currency;
  - 2) the alphabetic code of the currency in which settlements are made on transactions with traded foreign currency;
  - 3) the "\_" character (underscore);
  - 4) two digits denoting the number of weeks, or months, or years equal to the duration of the period between the day of the conclusion of transactions that are included in this operation and the day of execution of one of these transactions for which a later settlement period is set;
  - 5) the letters W, M or Y denoting the week, month or year, respectively.
6. The code of the delivery futures traded on the foreign exchange market consists of:
  - 1) the alphabetic code of the foreign currency that is the underlying asset of this futures;
  - 2) the alphabetic code of the foreign currency in which settlements are made on transactions within the framework of this futures;
  - 3) the "\_" character (underscore);
  - 4) three capital letters FWD.

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<sup>21</sup> Here and further in this paragraph, a working day is understood as a day that is a working day in the Republic of Kazakhstan (*this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

<sup>22</sup> An abbreviation of the English word "tomorrow" ("tomorrow") (*this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

<sup>23</sup> The abbreviation of the English word "spot" is the name of the terms of settlements in the foreign exchange markets generally accepted in world practice, assuming the completion of settlements on the purchase and sale of foreign currency on the second working day after the conclusion of this transaction (*this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

*(This item was included by the decision of the Board of the Exchange dated October 22, 2020)*

**Article 14-1. Codes of operations with foreign currencies**

The foreign currency transaction code consists of:

- 1) the alphabetical code of the foreign currency, which is the subject of this transaction;
- 2) the alphabetical code of the foreign currency in which the transactions are settled within this transaction;
- 3) character "\_" (underscore);
- 4) one digit denoting the number equal to the duration of the period in full business days between the day of conclusion of deals that are included in this transaction and the day of execution of that one of these deals for which an earlier settlement date is set;
- 5) character "\_" (underscore);
- 6) three digits denoting the number equal to the duration of the period in business days between the day of execution of the deal with an earlier settlement date and the day of execution of that one of these deals for which a later settlement date is set.

*(This article was included by the decision of the Board of the Exchange dated October 22, 2020)*

**Article 15. Currency Swap Transaction Codes**

The currency swap transaction code consists of:

- 1) the alphabetical code of the foreign currency, which is the subject of this transaction;
- 2) the alphabetical code of the foreign currency in which settlements are carried out within this transaction;
- 3) character "\_" (underscore);
- 4) one digit denoting the number equal to the duration of the period in full business days between the day of exchange trading on which this transaction was carried out and the day of fulfillment of obligations with an earlier settlement date;
- 5) character "\_" (underscore);
- 6) two digits indicating the number of weeks, or months, or years equal to the duration of the period between the day of fulfillment of obligations with an earlier settlement date, and the day of fulfillment of obligations with a later settlement date;
- 7) the letter W, M or Y, denoting the week, month or year, respectively.

*(This article was amended by the decision of the Board of the Exchange dated October 22, 2020)*

**Article 16. Codes of futures on financial instruments (prices of financial instruments) and the purpose of stock market indicators**

1. The futures code for a financial instrument (the price of a financial instrument) or the purpose of a stock market indicator is assigned in connection with the opening of trading in this financial instrument and consists of:
  - 1) the code of the underlying asset of these futures (taking into account the features established by item 2 of this article);
  - 2) the " - " character (hyphen);



- 3) the number indicating the sequential number of the month of execution of this futures;
- 4) the "." character (dot);
- 5) two digits denoting the last two digits of the year of execution of this futures.

*(This item was changed by the decision of the Exchange's Management Board dated June 15, 2021)*

2. The following symbolic combinations are used as the codes of the underlying assets of futures on financial instruments (prices of financial instruments) and the purpose of stock market indicators:
  - 1) for futures on foreign currency or on the price of this currency – the first two characters, which are the first Latin letters of the alphabetic currency code in accordance with the international standard ISO 4217;
  - 2) for stock futures issued by a non-resident of the Republic of Kazakhstan - the symbols that make up the code of the underlying asset, following the symbol """ (underline);
  - 3) for futures on the value of the KASE Index – "KX".

*(This item was changed by the decision of the Exchange's Management Board dated June 15, 2021)*

3. *(This item was excluded by the decision of the Board of the Exchange dated June 15, 2021).*

**Article 17.** *(This article was excluded by the decision of the Board of the Exchange dated June 15, 2021)*

**Article 18. Examples of codes**

1. Example to item 1 of article 1 of this Instruction (Exchange member code): "AHBS\_".
2. Example to item 2 of Article 1 of this Instruction (user code of the control and collateral system): "AHBS\_K".
3. Example for item 3-2 of Article 1 of this Instruction (clearing firm code):
  - 1) for banks – 09;
  - 2) for a brokerage organization – OR.
4. Example to item 3-3 of Article 1 of this Instruction (settlement code for accounting for own funds): 102741, 99975.
5. Example to item 3-4 of Article 1 of this Instruction (settlement code for accounting for client funds): 502741.
6. Example to item 2 of Article 2-1 of this Instruction (the code of the first-level client): "ABRK00100023".
7. Example to item 3 of Article 2-1 of this Instruction (second-level client code): "ABRK00200009".
8. Example to item 1 of article 2-2 of this Instruction (code of the unique identification number of the Exchange member of the category "derivatives market"): 104580035987.
9. Example to item 2 of article 2-2 of this Instruction (code of the unique identification number of the Exchange member's client of the "derivatives market" category): 104580127869.

**Instruction on the procedure for assigning codes to members of Kazakhstan Stock Exchange JSC  
and their accounts, users of trading systems, issuers of securities and financial instruments**

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10. Example to item 5 of Article 3 of this Instruction (code of the first-level own account): "S+1030200000", "S01030200000" or "SR1030200000".
11. Example to item 6 of Article 3 of this Instruction (code of own account of the collateral pool of a stock market participant): "Sg1030200000".
12. Example to item 7 of Article 3 of this Instruction (code of a client segregated account of the first-level of a trading participant): "I+1030200014", "I01030200014" or "IR1030200014".
13. Example to item 8 of Article 3 of this Instruction (code of a client segregated account of a collateral pool of the stock market participant): "Ilg1030200014".
14. Example to item 9 of Article 3 of this Instruction (code of the client account of a stock market participant for aggregate position accounting): "O+1030200014", "O01030200014" or "OR1030200014".
15. Example to item 10 of Article 3 of this Instruction (customer account code of the collateral pool of a stock market trading participant for aggregate position accounting): "Og1030200014".
16. Example to item 11 of Article 3 of this Instruction (code of the first-level client segregated account of a user of the control and collateral system): "C+1030200007", "C01030200007" or "CR1030200007".
17. Example to item 12 of Article 3 of this Instruction (code of the client segregated account of the collateral pool of a user of the control and collateral system): "Cg1030200014".
18. Example to item 13 of Article 3 of this Instruction (customer aggregated account code): "L+1030200000", "L01030200000", "K01030200000" or "K+1030200000".
19. Example to item 14 of Article 3 of this Instruction (code of the second-level trading participant's own account): "S+203CE00000".
20. Example to item 15 of Article 3 of this Instruction (code of the second-level client segregated account of a trading participant): "I+4CECI00023", "I04CECI00023" or "IR4CECI00023".
21. Example to item 17 of Article 3 of this Instruction (the code of the own account of a trading participant in the foreign exchange market): "S+FX12300000".
22. Example to item 18 of Article 3 of this Instruction (code of the aggregated client account of a trading participant in the foreign exchange market): "L+FX03400000".
23. Example to item 19 of Article 3 of this Instruction (code of the aggregated own account of a trading participant used in the derivatives market): "0900".
24. Example to item 20 of Article 3 of this Instruction (code of the aggregated client account of a trading participant used in the derivatives market): "0901".
25. Example to item 21 of Article 3 of this Instruction (code of own account of trading participants in the derivatives market): 0900001.
26. Example to item 22 of article 3 of this Instruction (code of the client account of trading participants in the derivatives market): RG01018.
27. Example to item 23 of Article 3 of this Instruction (code of the trading participant's own liquidation trading and clearing account used on the derivatives market): "09OWliq".
28. Example to item 24 of Article 3 of this Instruction (code of the client's liquidating trading and clearing account of a trading participant used in the derivatives market): "09 CLliq".

29. Example to item 28 of Article 3 of this Instruction (code of the client account of the National Bank of the Republic of Kazakhstan in the derivatives market): 01NF001, 01EN001.
30. Examples to item 1 of Article 5 of this Instruction (codes of non-government securities): suppose that a joint-stock company – a legal entity of the Republic of Kazakhstan (issuer code of securities – ABCD) has issued ordinary shares, an issue of preferred shares, as well as issues of bonds in the next sequences: the first issue – in accordance with the legislation of the Republic of Kazakhstan, the second issue – in accordance with the legislation of another state, the third issue – in accordance with the legislation of the Republic of Kazakhstan; in addition, after the third issue of bonds by this joint-stock company, bonds were issued by a special enterprise, the sole participant of which is this joint-stock company, under its 100% guarantee. The following codes will be assigned to the securities of this joint-stock company:
  - 1) common shares – ABCD;
  - 2) preferred shares of the first issue – ABCDp ;
  - 3) bonds of the first issue, issued in accordance with the legislation of the state, the legal entity of which is their issuer – ABCDb1;
  - 4) bonds of the second issue, issued in accordance with the legislation of another (in relation to the state, the legal entity of which is the issuer of these bonds (other debt securities)) state – ABCDe1;
  - 5) bonds of the third issue, issued in accordance with the legislation of the Republic of Kazakhstan – ABCDb2;
  - 6) bonds issued by a special enterprise - ABCDe2.
31. Example to item 2 of article 5 of this Instruction (code of non-government securities included in the state blocks of shares privatized through the Exchange): "NZ\_ABCD\_5".
32. Example to item 1 of article 6 of this Instruction (code of Kazakhstan depository receipts): "KDR\_ABCD\_5".
33. Example to item 2 of Article 6 of this Instruction (code of derivative securities other than Kazakhstan depository receipts): "KZAPd".
34. Example to article 7 of this Instruction (codes of securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of a state other than the Republic of Kazakhstan): "KZ\_03\_2810".
35. Example to Article 8 of this Instruction (code of securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of the Republic of Kazakhstan): "MKM006\_0099".
36. Example to article 9 of this Instruction (securities code of the National Bank of the Republic of Kazakhstan): "NTK028\_0789".
37. Example to article 10 of this Instruction (securities code of the local executive body): "KOK036\_178".
38. Example to article 11 of this Instruction (code of foreign government securities): "RU\_01\_2807".
39. Example to article 12 of this Instruction (code of securities of an international financial organization):
  - 1) securities issued by an international financial organization in accordance with the legislation of the Republic of Kazakhstan – EBRDb2 (for sukuk bonds – EBRDs2);

- 2) securities issued by an international financial organization in accordance with the legislation of a country other than the Republic of Kazakhstan – EBRD-2 (for sukuk bonds – EBRDs2).
40. Example to item one of Article 12-1 of this Instruction (code of a general collateral certificate issued for a collateral pool, which may include securities of Collateral List T+): "GCGlobalSec" .
41. Example to item 1 of article 13 of this Instruction: "GCBRK" (code of repo transaction with GS basket).
42. Example to item 2 of article 13 of this Instruction: "NBRK" (code of repo transaction with GS basket with the National Bank of the Republic of Kazakhstan).
43. Example to item 3 of article 13 of this Instruction: "BSP" ( repo transaction code with a basket of OGPU).
44. Example to item 4 of article 13 of this Instruction: "GCBRK-GR" (code of repo transaction with a basket of quasi-public sector securities).
45. Example to item 2 of Article 14 of this Instruction: "USDKZT\_TOD".
46. Example to item 3 of Article 14 of this Instruction "USDKZT\_TOM".
47. Example to item 4 of Article 14 of this Instruction: "USDKZT\_SPT".
48. Example to item 5 of Article 14 of this Instruction "USDKZT\_01W".
49. Example to item 6 of Article 14 of this Instruction (delivery forward code): "USDKZT\_FWD".
50. Example to article 14-1 of this Instruction (codes of operations with foreign currencies):
  - 1) "USDKZT\_0\_001" (code of the transaction with foreign currency, consisting of a transaction for the purchase and sale of US dollars with the execution of this transaction on the day of trading and simultaneously concluded with this transaction and opposite in the direction to it a transaction for the purchase and sale of US dollars in the same amount with execution of the second of these transactions on the next business day after the day of execution of the first of these transactions);
  - 2) "USDKZT\_1\_001" (Code of the currency swap operation, which consists of a transaction for the purchase and sale of US dollars with the execution of this transaction on the next business day after the day of trading and simultaneously concluded with this transaction and opposite in direction to it a transaction for the purchase and sale of US dollars, including the same quantity with the execution of the second of these transactions on the next business day after the day of execution of the first of these transactions).
51. Example to article 15 of this Instruction (currency swap transaction codes): "USDKZT\_0\_01M" (currency swap transaction code with the fulfillment of obligations with an earlier settlement date on the day of trading and the fulfillment of obligations with a later settlement date one month after the fulfillment of obligations with an earlier settlement date).
52. Example to Article 16 of this Instruction (codes of futures for financial instruments (prices of financial instruments) and for the values of stock market indicators):
  - 1) "US-3.22" (code of a non-deliverable futures contract for the US dollar against tenge rate);
  - 2) "KX-6.21" (code of non-deliverable futures for the value of KASE Index);
  - 3) "VTBR-9.21" (code of non-deliverable futures on the price of common shares of VTB Bank (PJSC));

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- 4) "HSBK-12.22" (code of deliverable futures for common shares of Halyk Savings Bank of Kazakhstan JSC).

*(This item was included by the decision of the Board of the Exchange dated October 22, 2020 and amended by the decision of the Board of the Exchange dated June 15, 2021, 19 May of 2022 and July 28, 2022)*

**Article 19. Final provisions**

1. Responsibility for the timely introduction of changes and/or additions to this Instruction (updating) is assigned to the trading division of the Exchange.
2. This Instruction is subject to updating as necessary, but at least once every three years, calculated from the date of entry into force of this Instruction.

Chairperson of the Management Board

A. Aldambergen

**Appendix 1**

to the Instruction on the procedure for assigning codes to members of Kazakhstan Stock Exchange JSC and their accounts, users of trading systems, issuers of securities and financial instruments

**STRUCTURE**

**of the short code of a user of the trading and clearing system ASTS+ (stock market)  
and the trading and clearing system ASTS+ (currency market)**

*(This heading was supplemented by a decision of the Exchange's Management Board dated October 22, 2020)*

User	Number of symbols in the short code	Structure of the short code
1	2	3
Trader or observer of a member of the Exchange	Ten symbols	1) capital letters of the Latin alphabet identical to the letters of the identification code of the Exchange member whose interests are represented by this user; 2) the digit " 0 " (or a combination of several zeros), if the number of letters in the identification code of the Exchange member is less than six characters; 3) a capital letter indicating the connection type: T - a member of the Exchange that does not provide brokerage services, connecting directly to the terminal of the trading and clearing system; B – a member of the Exchange providing brokerage services, connecting directly to the terminal of the trading and clearing system; F - a member of the Exchange that connects to the trading and clearing system through the FIX gateway; G-a member of the Exchange that connects to the trading and clearing system through ASTSBridge; E - a member of the Exchange that connects to the trading and clearing system through its own external software and hardware;

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User	Number of symbols in the short code	Structure of the short code
1	2	3
		<p>4) the letter denoting the user's authority when working with the trading and clearing system:            T – with the right to conclude transactions on all accounts or only on certain accounts of his company;            S – with the right to conclude transactions on all accounts of your company and set restrictions for SMA clients;            V – with the right to view financial instruments and quotes;            P-with the right to transfer money and view all information about the company, including trading and clearing accounts, positions and market information;            A-with the right to view all information about the company, including trading and clearing accounts, positions and market information  <i>(this sub-item was changed by a decision of the Exchange's Management Board dated June 15, 2021)</i>            5) the last two characters are numbers indicating the serial number of this employee of the Exchange member</p>
Employee of a user of the control and collateral system	Ten symbols	<p>1) capital letters of the Latin alphabet, identical to the letters of the identification code of the user of the control and support system, whose interests are represented by this employee, and located before the symbol "_" (if any);            2) the number "0" (or a combination of several zeros), if the number of letters in the identification code of the user of the control and support system is less than five characters;            2) the letter "K";            3) an uppercase letter denoting the type of connection:            C – an employee of the user of the control and collateral system who connects directly to the terminal of the trading and clearing system;            F – an employee of the user of the control and collateral system who connects to the trading and clearing system through the FIX gateway;            G – an employee of the user of the control and collateral system connecting to the trading and clearing system via ASTSBridge;            E – an employee of the user of the control and support system who connects to the trading and clearing system through their own external software and hardware;            4) the letter "S";</p>

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User	Number of symbols in the short code	Structure of the short code
1	2	3
		5) the last two characters are numbers denoting the serial number of this employee of the user of the control and collateral system
Regulator	Ten symbols	1) capital letters "REGUL"; 2) digits "00"; 3) an uppercase letter denoting the type of connection: R – an employee of the regulator who connects directly to the terminal of the trading and clearing system; F – an employee of the regulator connecting to the trading and clearing system through the FIX gateway; G – an employee of the regulator connecting to the trading and clearing system through ASTSBridge; E – an employee of the regulator connecting to the trading and clearing system through its own external software and hardware; 4) the last two characters are numbers indicating the serial number of this employee of the regulator
SMA-client	Twelve symbols	1) uppercase letters of the Latin alphabet, identical to the letters of the identification code of the member of the Exchange, whose SMA-client this user is; 2) digits "0" (or a combination of several zeros), if the number of letters in the identification code of the Exchange member is less than five characters; 3) the letters "SMA"; 4) an uppercase letter denoting the connection type of the SMA-client: S – SMA-client connecting directly to the terminal of the trading and clearing system; F – SMA-client connecting to the trading and clearing system through the FIX gateway; G – SMA-client connecting to the trading and clearing system via ASTSBridge; E - SMA-client connecting to the trading and clearing system through its own external software and hardware; 5) the last three symbols are digits indicating the serial number of this SMA-client
Employee of the Exchange	Twelve symbols	1) the first four symbols are capital letters of the Latin alphabet "KASE", designating an employee of the Exchange; 2) digits "00"; 3) capital letters denoting the structural division of the Exchange: MKL – Trading Department;



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User	Number of symbols in the short code	Structure of the short code
1	2	3
		CLR – Clearing House; RISK – Clearing Chamber (risk carrier); TRES – Finance and Administration Department; DIS – Department of Information and Statistics; SOS – Clearing Chamber; AUD – Internal Audit Service <i>(this paragraph was included by a decision of the Exchange's Management Board dated October 22, 2020)</i> ; 4) the last three symbols are digits denoting the serial number of this Exchange employee, except for the employees of the financial and administrative division of the Exchange, whose serial number's last symbols are two digits
User of the risk management system	Twelve symbols	1) the first seven symbols are capital letters of the Latin alphabet "RISKMON", denoting an employee of the Clearing Chamber; 2) the last five symbols are numbers indicating the serial number of this employee of the Clearing Chamber
Observer from the Ministry of Finance of the Republic of Kazakhstan	Ten symbols	1) capital letters "MNFRK"; 2) digits "00"; 3) the letter "A" denoting the user's authority when operating the trading and clearing system – with the right to view the trading and clearing accounts and positions of the Ministry of Finance of the Republic of Kazakhstan, as well as information on the special trading sessions held; 4) the last two characters are digits denoting the serial number of the employee of the Ministry of Finance of the Republic of Kazakhstan
<i>(This line was included by a decision of the Exchange's Management Board of January 21, 2021)</i>		

## Appendix 2

to the Instruction on the procedure for assigning codes to members of Kazakhstan Stock Exchange JSC and their accounts, users of trading systems, issuers of securities and financial instruments

# STRUCTURE

## of the short code of a user of the trading system AST

*(This heading was changed by a decision of the Exchange's Management Board dated October 22, 2020)*

User	Number of symbols in the short code	Structure of the short code
1	2	3
Trader of a member of the Exchange, servicing clients	Six symbols	1) the first three symbols are digits indicating the member of the Exchange whose interests are represented by this user; 2) the fourth symbol is a lowercase letter of the Latin alphabet "b" used for designation of (all) members of the Exchange – brokerage organizations; 3) the last two symbols are digits denoting this user
Trader of a member of the Exchange, except brokerage organizations	Five digits	1) the first three digits designate the member of the Exchange whose interests are represented by this user; 2) the last two digits indicate this user
Employee of the user of the control and collateral system	Six symbols	1) the first three symbols are digits indicating the user of the control and collateral system, whose interests are represented by this user; 2) the fourth symbol is a lowercase letter of the Latin alphabet "f" used for designation of (all) users of the control and collateral system; 3) the last two symbols are digits denoting indicating this user
Observe	Six symbols	1) the first three symbols are digits indicating the organization whose interests are represented by this user; 2) the fourth symbol is the lowercase Latin letter "v" used for designation of (all) observers;

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User	Number of symbols in the short code	Structure of the short code
1	2	3
		3) the last two symbols are numbers indicating this user
Internet client	Five symbols	1) the first two digits are capital letters identical to the first two letters of the Exchange member's identification code; 2) the last three symbols are digits denoting this user <sup>24</sup>
Employee of the Exchange	Six symbols	1) the first four symbols are capital letters of the Latin alphabet "KASE", denoting the Exchange; 2) the last two symbols are digits indicating this user
Employee of the agent company	Six symbols	1) the first four symbols are a combination of lowercase letters of the Latin alphabet, denoting the agent company, compiled based on its name and sounding similar to it; 2) the last two symbols are digits indicating this user
Employee of the member of the Exchange using the gateway for access	Six symbols	1) the first three symbols are digits designating this Exchange member; 2) the fourth symbol is a lowercase letter of the Latin alphabet "d", denoting (all) Exchange members using the gateway for access; 3) the last two symbols are digits indicating the serial number of the assigned ID

<sup>23</sup> If two or more Exchange members have the same first two characters of identification codes, it is allowed to add uppercase characters to the ID before the last three digits for the purpose of identifying these Exchange members (*this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021 and November 2, 2021 and May 19, 2022*).

**Appendix 3**

to the Instructions on the procedure for assigning codes to members of Kazakhstan Stock Exchange JSC and their accounts, users of trading systems, issuers of securities and financial instruments

*(This appendix was included by a decision of the Exchange's Management Board dated June 15, 2021)*

**THE STRUCTURE  
of the short code of the user of the SPECTRA trading and clearing system**

User	The number of characters in the short code	Structure of the short code
1	2	3
Trader, observer of an Exchange member, SMA client	15 characters	1) lowercase letter of the Latin alphabet "f", denoting the user of the trading and clearing system of the derivatives market; 2) lowercase letter of the Latin alphabet indicating the connection type: t – a user who connects directly to the terminal of the trading and clearing system; g – a user who connects to the trading and clearing system through the PLAZA2 CGate, FIX or FAST gateway; w – a user who connects to the trading and clearing system through the TWIME gateway; 3) the code of the settlement company; 4) lowercase letter of the Latin alphabet, indicating the user's level: r – a user acting on behalf of a member of the Exchange (a trader or an observer); c – SMA client; 5) a lowercase letter of the Latin alphabet indicating the user's authority when working with the trading and

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User	The number of characters in the short code	Structure of the short code
1	2	3
		clearing system: m – with the right to conclude transactions with a direct connection type; t – with the right to conclude transactions with the gateway connection type; v – with the right to view all information about the company, including trading accounts, positions and market information with direct and gateway connection types; 6) the " _ " character (underscore) for the connection types direct and via the TIME gateway, or the characters "x2" for the connection type via the PLAZA2 gateway CGate, FIX or FAST; 7) eight characters, which are arbitrary numbers and / or lowercase letters of the Latin alphabet, denoting this user
Controller	15 characters	1) lowercase letter of the Latin alphabet "f", denoting the user of the trading and clearing system of the derivatives market; 2) lowercase letters "txnb"; 3) the " _ " character (underscore); 4) eight characters, which are arbitrary numbers and / or lowercase letters of the Latin alphabet, denoting this employee of the Exchange
Exchange Employee	15 characters	1) lowercase letter of the Latin alphabet "f", denoting the user of the trading and clearing system of the derivatives market; 2) lowercase letters "txov"; 3) the " _ " character (underscore); 4) eight characters, which are arbitrary numbers and / or lowercase letters of the Latin alphabet, denoting this employee of the Exchange