

# KAZAKHSTAN STOCK EXCHANGE

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**Approved**

by decision No. 140/0 of Kazakhstan  
Stock Exchange Board  
of October 26, 2004

**Effective**

from January 24, 2005

## **NOTICE**

The Instruction has been translated into English by employees of Kazakhstan Stock Exchange for information purposes only. In case of any incompliance of this translation with the original version of the Instruction in Russian, the Russian version shall always prevail.

# **INSTRUCTION**

## **on Coding Procedures of Kazakhstan Stock Exchange Member Accounts in Trading System**

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Almaty

2004

This Instruction specifies the procedures of codes assignment to the members' accounts of Kazakhstan Stock Exchange (hereinafter referred to as – the Exchange) opened in the trading system for purposes of their positions accounting in financial instruments and KZT.

#### Article 1. General Provisions

1. The concepts used herein mean the following:
  - 1) **"market sector"** – a part of the serviced by the Exchange organized financial instruments market, different from its other parts in types of the tradable financial instruments, trading and settlements rules and the trading system settings;
  - 2) **"cash account"** – an account (own or client), intended for the Exchange member positions accounting in KZT;
  - 3) **"client account"** – an account (trading or cash), intended for the Exchange member positions accounting (in financial instruments or in KZT) on execution of deals in the interests of a client of this Exchange member;
  - 4) **"own account"** – an account (trading or cash), intended for the Exchange member positions accounting (in financial instruments or in KZT) on execution of deals in the personal interests on this Exchange member;
  - 5) **"trading account"** – an account (own or client), intended for the Exchange member positions accounting in financial instruments;
  - 6) **"trading system"** – the Exchange program technical complex by means of which deals with the financial instruments admitted to circulation at trades held by the Exchange are executed;
  - 7) **"Central Depository"** – Central Securities Depository (*this paragraph was changed subject to the Exchange Council decision of April 14, 2005*).
2. Client and own account may be opened for the Exchange member in the trading system.
3. In respect of any market sector one Exchange member may have opened in the trading system:
  - 1) one own trading account;
  - 2) one own cash account;
  - 3) any number of clients trading and cash accounts.
4. Accounts for the Exchange member in the trading system are opened by the Exchange trades organization department upon the Exchange member application which is subject to submission by any methods used in the course of the department interaction with the Exchange members.

#### Article 2. Codes of Trading Accounts

1. Decimal number of the respective sub-account in the accounting system of the Central Depository is used in the capacity of own or client trading account codes in government or corporate serial securities (inclusive of those being repo-transactions subjects) (except as provided in the second paragraph of this item).

The trading accounts whose codes consist of the symbols "REG\_BROKER" (for own accounts) and/or "REG\_CLIENT" (for client accounts) are used in case the subjects of the deals concluded by nego-method with making settlements thereon via the registrar, are the securities not included in the Central Depository accounting system.
2. Financial instruments own or client trading accounts codes, apart from those in respect of government and corporate serial securities consist of:

- 1) a single-letter designation of a market sector<sup>1</sup> in compliance with trading system settings;
- 2) a symbol "\_" (underscoring);
- 3) three digits, specifying the Exchange member registration number;
- 4) a symbol "\_" (underscoring);
- 5) four digits, specifying the trading account<sup>2</sup> order number.

**Article 3. Codes of Cash Accounts**

1. Own or client cash account code is composed of:
  - 1) a single-letter designation of a market sector<sup>1</sup> in compliance with the trading system settings;
  - 2) a symbol "\_" (underscoring);
  - 3) three digits, specifying the Exchange member registration number;
  - 4) a symbol "\_" (underscoring);
  - 5) four digits, denoting the cash account<sup>2</sup> order number.
2. The cash account code should correspond with the trading account code in respect of the same Exchange member (the Exchange member client), except for the cases when a decimal number of the correspondent account in the accounting system of Central Depository or symbols "REG\_BROKER" and "REG\_CLIENT" is used in the capacity of the trading account code.

President

A. Joldasbekov

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<sup>1</sup> Only initial (capital) letters of the Latin alphabet are applicable for designation of the market sector. Examples of a single letter designation of market sectors: foreign currency sector – "F" (contraction of the English word connection "foreign exchange"), futures contract sector – "D" (contraction of the English word "derivative").

<sup>2</sup> The combination "0000" is used for designation of one's own account, and any nonrecurring digits combinations, except for "0000", are used for designation of clients' accounts.