

# KAZAKHSTAN STOCK EXCHANGE

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**Approved**

by decision No. 75/4 of Kazakhstan  
Stock Exchange Board

of June 9, 2005

**Effective**

June 10, 2005

## **NOTICE**

The Rules have 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 Rules in Russian, the Russian version shall always prevail.

# **RULES**

## **on Annual Rewarding of Listing Companies**

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Almaty

2005

## LIST OF AMENDMENTS

**1. Change No. 1:**

- approved by decision No. 13/3 of the Kazakhstan Stock Exchange Board January 25, 2008;
- effective January 28, 2008.

**2. Changes and Additions No. 2:**

- approved by decision No. 36/0 of the Kazakhstan Stock Exchange Board March 3, 2009;
- effective March 3, 2009.

**3. Change No. 3:**

- approved by decision No. 13 of the Kazakhstan Stock Exchange Board January 14, 2010;
- effective January 13, 2010.

These Rules provide for terms and procedures of annual rewarding of listing companies (companies whose issued securities are listing on Kazakhstan Stock Exchange (the Exchange)), demonstrating the best examples of business behavior on the securities market with regard to disclosure of information on their operation.

1. The concepts used herein are defined in the Listing Rules *(this item was changed by the Exchange Board on January 14, 2010)*.
2. Listing companies shall be rewarded annually (the Rewarding) in accordance with results of the ended calendar year by way of awarding the best of them, subject to the Exchange opinion, with diplomas "For Transparency Dedication", the design and content of which shall be defined by the Exchange.
3. Listing companies shall be rewarded in the following groups:
  - 1) financial companies<sup>1</sup>;
  - 2) industrial, mining and energy companies<sup>1</sup>;
  - 3) other companies, besides specified in sub-items 1) and 2) of this item.

*(This item was changed by the Exchange Board on March 3, 2009).*

4. Only two companies may be rewarded in the groups specified in item 3 hereof *(this item was changed by the Exchange Board on March 3, 2009)*.
5. The companies to be rewarded are determined by the Exchange Listing Department (with subsequent approval of the Exchange Board) expertly on the basis of data on *(this paragraph was changed subject to the Exchange Board decision of January 25, 2008)*:
  - 1) adherence to the Listing rules and agreements with regard to:
    - completeness and timeliness of periodical reports presented to the Exchange – annual and quarterly reports (including financial statements and auditing reports thereon);
    - timeliness and completeness of disclosure of information on current activities;
    - timeliness and completeness of disclosure of information on the events substantially affecting interests of investors;
  - 2) occurrence (non-occurrence) at listed companies of sanctions for non-compliance or untimely compliance with the Listing rules requirements and listing agreements on disclosure of information on their activities;
  - 3) listing companies initiative on disclosure of information on their activities.
6. The listing companies awarded with the diplomas "For Transparency Dedication" in accordance herewith may use the pictures and references thereto in their publications and advertising materials.

President

A. Joldasbekov

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<sup>1</sup> According to classificatory Global Industry Classification Standard (GICS®) *(the footnote was included by the Exchange Board on March 3, 2009)*.