

# KAZAKHSTAN STOCK EXCHANGE

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## **A g r e e d o n**

with the Agency of the Republic  
of Kazakhstan on Regulation  
and Supervision of Financial Market  
and Financial Organizations

on September 3, 2009

Deputy Chairman of the Agency  
of the Republic of Kazakhstan on  
Regulation and Supervision of Financial  
Market and Financial Organizations

A. ALDAMBERGEN

## **A g r e e d o n**

with the Agency of the Republic  
of Kazakhstan on Regulation  
of Activities of the Regional  
Financial Center of Almaty

on August 18, 2009

Chairman of the Agency of the Republic  
of Kazakhstan on Regulation of Activities  
of the Regional Financial Center of Almaty

A. ARYSTANOV

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

by the decision of Kazakhstan  
Stock Exchange Council

(protocol No. 20 of July 30, 2009)

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

from November 9, 2009

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

Mentioned below Rules in English have been translated by employees of Kazakhstan Stock Exchange for information purposes only. In case of any incompliance of this translation with Rules original version in Russian, the latter prevails.

# **RULES**

## **of Kazakhstan Stock Exchange Trading Floor Functioning as the Special Trading Floor of the Regional Financial Center of Almaty**

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Almaty

2009

**Rules of Kazakhstan Stock Exchange Trading Floor Functioning as the Special  
Trading Floor of the Regional Financial Center of Almaty**

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These Rules have been developed in compliance with:

- the Law of the Republic of Kazakhstan "On the Regional Financial Center of Almaty" of June 5, 2006;
- Order No. 74 of Acting Chairman of the Agency of the Republic of Kazakhstan on Regulation of Activities of the Regional Financial Center of Almaty of December 15, 2006 "On Defining Kazakhstan Stock Exchange Joint Stock Company as the Special Trading Floor of the Regional Financial Center of Almaty"

and define individual terms of Kazakhstan Stock Exchange (hereinafter – the Exchange ) Trading Floor functioning as the Special Trading Floor of the Regional Financial Center of Almaty not regulated by the Exchange internal documents.

**Section 1. TERMS OF THE SPECIAL TRADING FLOOR FUNCTIONING**

1. Corresponding category Exchange members are admitted to trades in financial instruments on the Exchange Trading Floor in the context of its functioning as the Special Trading Floor of the Regional Financial Center of Almaty (hereinafter – the Special Trading Floor).

When making deals on the Special Trading Floor and settlements the specific legal regimen, established to regulate relations between the Regional Financial Center of Almaty participants, shall not be applied to the Exchange members, who are not such participants.

2. All Exchange Trading Floor elements fall to the Special Trading Floor, excluding the part intended for organization of trades in foreign currencies.
3. The order of deals conclusion and settlements on the Special Trading Floor, inclusion of securities to this floor list as well as resolution of disputes and other issues concerning this floor regulation are regulated by the Exchange internal documents, adopted for its trading floor regulation with the exception of the Exchange internal documents, adopted for regulation of foreign currencies trading related issues.

**Section 2. LIST OF FINANCIAL INSTRUMENTS TRADED ON THE SPECIAL  
TRADING FLOOR, THEIR ADMITTANCE AND REMOVAL TERMS**

4. The order of financial instruments admittance to circulation on the Special Trading Floor and their removal is established by the legislation of the Republic of Kazakhstan and the Exchange internal documents, defining the order of financial instruments admittance and removal from circulation on the Exchange Trading Floor.
5. The order of the Special Trading Floor official list forming and transitional provisions related to securities present in official list of the Exchange and the Special Trading Floor of the Regional Financial Center of Almaty (effective before these Rules adoption), and their issuers, inconsistent with as of the date of such official list forming, are established by the Exchange authorized body individual decisions.

**Section 3. FINAL PROVISIONS**

6. These Rules shall become effective according to the order established by the Exchange Council decision and shall stay in force during the validity of Order No. 74 of Acting Chairman of the Agency of the Republic of Kazakhstan on Regulation of Activities of the Regional Financial Center of Almaty of December 15, 2006 "On Defining Kazakhstan Stock Exchange Joint Stock Company as the Special Trading Floor of the Regional Financial Center of Almaty".
7. From the date of these Rules coming into effect shall be recognized null and void Rules of the Special Trading Floor of the Regional Financial Center of Almaty Organization and Functioning, approved by the Exchange Council decision (protocol No. 40 of December 28, 2006).

Acting President

I. Sabitov