

# KAZAKHSTAN STOCK EXCHANGE

---

---

**Approved**

by decision No. 19/0 of Kazakhstan  
Stock Exchange Board  
of February 10, 2004

## **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 Procedure of Coding of Members of Kazakhstan Stock Exchange, Financial Instruments and Securities Issuers**

---

---

Almaty  
2004

## LIST OF AMENDMENTS

**1. Changes and Additions No. 1:**

- approved by decision No. 162/0 of Kazakhstan Stock Exchange Board of December 28, 2004;
- effective from January 1, 2005.

**2. Additions and Change No. 2:**

- approved by decision No. 4/3 of Kazakhstan Stock Exchange Board of January 13, 2006;
- effective from January 16, 2006.

**3. Changes and Additions No. 3:**

- approved by decision No. 11/0 of Kazakhstan Stock Exchange Board of January 23, 2007;
- effective from January 23, 2007.

**4. Changes No. 4:**

- approved by decision No. 164/0 of Kazakhstan Stock Exchange Board of November 14, 2007;
- effective from November 14, 2007.

**5. Changes and Additions No. 5:**

- approved by decision No. 179/0 of Kazakhstan Stock Exchange Board of December 13, 2007;
- effective from с 13 декабря 2007 года.

**6. Additions and Changes No. 6:**

- approved by decision No. 182/1 of Kazakhstan Stock Exchange Board of December 21, 2007;
- effective from December 21, 2007.

**7. Changes No. 7:**

- approved by decision No. 13/0 of Kazakhstan Stock Exchange Board of January 25, 2008;
- effective from January 28, 2008.

**8. Additions and Change No. 8:**

- approved by decision No. 160/0 of Kazakhstan Stock Exchange Board of November 21, 2008;
- effective from November 24, 2008.

This Instruction specifies the procedure of contracted notations assignment (trading codes) to members of Kazakhstan Stock Exchange, (hereinafter referred to as – the Exchange), financial instruments and securities issuers.

Contracted notations (trading codes) (hereinafter referred to as – the Codes) are used for purposes of identification of the Exchange members and financial instruments in the Exchange trading system and also at the Exchange carrying out information activities for purposes of optimization of the volume of the information spread thereby.

#### **Article 1. Codes of the Exchange Members**

1. The identification codes of the Exchange members as licensees assigned by the National Securities Commission of the Republic of Kazakhstan, National Bank of the Republic of Kazakhstan or the Agency of the Republic of Kazakhstan on Regulation and Supervision of Financial Market and Financial Organizations are used as the Exchange members' Codes.
2. In case the National Securities Commission of the Republic of Kazakhstan, the National Bank of the Republic of Kazakhstan or the Agency of the Republic of Kazakhstan on Regulation and Supervision of Financial Market and Financial Organizations assigned no identification Code to any of the Exchange members, the Code is to be determined subject to the Exchange Board decision as follows:
  - 1) the Exchange member Code is composed of five symbols for which purpose initial (capital) letters of the Latin alphabet are used (with account to provided in sub-item 4) of this item);
  - 2) the Exchange member Code is to be composed on the basis of his name and should be similar in sound thereto;
  - 3) in case the Exchange members that differ by their forms of incorporation have the same or similar names, they may use the letters reflecting their forms of incorporation in the Exchange members Codes;
  - 4) the symbol "\_" (underscoring) is allowed for use in the Exchange member Code, beginning with the second position on the left;
  - 5) it is not allowed to assign the same or similar to a degree of confusion Codes to different Exchange members;
  - 6) in case the Exchange member name changes the Code prior assigned thereto, as a rule, is not subject to alteration.

#### **Article 2. Codes of Foreign Currency<sup>1</sup>**

1. The foreign currency codes are generated on the basis of respective alphabetical codes in compliance with the international standard ISO 4217, for example, "USD" (dollar of the USA), "EUR" (euro), and "RUB" ("new" (from January 1, 2001) rubble of the Russian Federation).
2. The code of the foreign currency, tradable with settlements T+0<sup>2</sup> (with execution of the deals concluded at foreign currency trades on the trading day), consists of:
  - 1) the basis of the foreign currency Code;
  - 2) a symbol "\_" (underscoring);

---

<sup>1</sup> Financial instruments and securities issuers codes examples are provided in article 14 hereof.

<sup>2</sup> The generally accepted in the world practice designation of terms of making settlements on exchange deals (exchange deals execution) in the form of the record "T+n", whereat T – a day of the exchange trades, where the deal was concluded, and n – a duration of the period between the indicated exchange trades day and the day of making settlements on this deal (working days).

- 3) letters "TOD"<sup>3</sup>.
3. The code of the foreign currency tradable on settlements terms T+1 (with execution of the deals concluded at trades in foreign currency on the following working day<sup>4</sup> after the trading day), consists of:
  - 1) the basis of the foreign currency Code;
  - 2) a symbol "\_" (underscoring);
  - 3) letters "TOM"<sup>5</sup>.
4. The code of the foreign currency tradable on settlements terms T+2 (with execution of the deals concluded at trades in foreign currency on the second working day after the trading day), consists of:
  - 1) the basis of the foreign currency Code;
  - 2) a symbol "\_" (underscoring);
  - 3) letters "SPT"<sup>6</sup>.
5. The code of the foreign currency tradable with settlements terms later than on the second working day after the trading day is composed of:
  - 1) the basis of the foreign currency Code;
  - 2) symbol "\_" (underscoring);
  - 3) letter "T"<sup>2</sup>;
  - 4) symbol "\_" (underscoring);
  - 5) the digit, denoting a number of working days between the day of trades in foreign currency and the day of execution of the deals concluded at such trades.

**Article 3. Codes of Corporate Securities Issuers<sup>7</sup>**

1. The Code of a corporate securities issuer is composed of:
  - 1) a two-letter alphabet code of the state whose legal person is this issuer, in compliance with the international standard ISO 3166-1, except as prescribed by item 2 of this article (*this sub-item was changed subject to the Exchange Board decision of November 14, 2007*);
  - 2) a symbol "\_" (underscoring), except as provided in item 2 of this article;
  - 3) the issuer identification Code (*this sub-item was changed subject to the Exchange Board decision of January 23, 2007*).
2. A two-letter alphabet code of the Republic of Kazakhstan subject to the international standard ISO 3166-1 ("KZ") and symbol "\_" (underscoring) are not used in codes of the corporate securities issuers – legal persons of the Republic of Kazakhstan (*this item was changed subject to the Exchange Board decision of November 14, 2007*).
3. The corporate securities issuer identification code is assigned subject to the Exchange Board decision in the following manner:

---

<sup>3</sup> Abbreviation of the English word "today"

<sup>4</sup> Hereinafter in this item, a working day is the day which is a working day in the Republic of Kazakhstan.

<sup>5</sup> Abbreviation of the English word "tomorrow"

<sup>6</sup> Abbreviation of the English word "spot" – a generally accepted in the world practice name of settlements terms on currency markets, supposing end of settlements on a foreign currency purchase and sale deal on the second day after conclusion of the deal

<sup>7</sup> Hereinafter securities mean only serial securities.

- 1) the issuer identification code is composed of four symbols, for which purpose the Latin alphabet initial (capital) letters are used;
- 2) the issuer identification Code is composed on the basis of its name and should be similar to it in sound;
- 3) it is allowed to use the "\_" (underscoring) symbol in the issuer identification code beginning from the second position on the left;
- 4) in case the issuer is a bank, then, as a rule, the letters "BN" should be on the third and the fourth positions on the left in its identification code;
- 5) in case the issuer is an accumulative pension fund, then, as a rule, the letters "PF" should be on the third and the fourth positions left in its identification code;
- 6) it is prohibited to assign different issuers of corporate securities with the identification codes that are the same or similar to a degree of confusion;
- 7) in case the corporate securities issuer name changes the identification code which was assigned prior, as a rule, it is not subject to alteration.

*(This item was changed by the Exchange Board decision of January 23, 2007).*

#### **Article 4. Codes of Corporate Securities**

1. Codes of corporate securities (except for the corporate securities, being a part of the state-owned shareholding privatized through the Exchange, whose Codes are determined subject to item 2 of this article, and Kazakhstan depository receipts and other derivative securities (derivatives), whose underlying asset is the corporate securities, issued in compliance with the legislation of the states other than that of the Republic of Kazakhstan, whose Codes are determined in accordance with article 5 hereof) are assigned thereto by the Exchange Board decisions in the manner as follows:
  - 1) the Code of the issuer is used in the capacity of common shares codes;
  - 2) the Code of preferred shares is composed of:

the securities issuer Code;

letter "p"<sup>8</sup>;

in case the same emitter issues several types of preferred shares – additional symbols (digits, as a rule) allowing to distinguish between the preferred shares should be used;
  - 3) The Code of bonds or other debt securities, issued in compliance with the legislation of the state whose legal person is the issuer thereof, is composed of *(this paragraph was changed by the Exchange Board decision of January 23, 2007 and supplemented by the Exchange Board decision of December 21, 2007)*:

the bonds (other debt securities) issuer Code *(this paragraph was supplemented by the Exchange Board decision of December 21, 2007)*;

letter "b"<sup>9</sup>;

the digit, denoting (digits, denoting) the order number of these bonds issue (other debt securities) in compliance with the Exchange data *(this paragraph was changed by the Exchange Board decision of December 21, 2007)*;

---

<sup>8</sup> Abbreviation of the English words "preference" and "preferred".

<sup>9</sup> Abbreviation of the English word "bond"

- 4) The Code of bonds or other debt securities, issued in compliance with the legislation of other state (in respect of the state whose legal person is these bonds issuer (other debt securities) is composed of *(this paragraph was changed by the Exchange Board decision of January 23, 2007 and supplemented by the Exchange Board decision of December 21, 2007)*:  
the bonds (other debt securities) issuer Code *(this paragraph was supplemented by the Exchange Board decision of December 21, 2007)*;  
letter "e"<sup>10</sup>;  
the digit, denoting (digits, denoting) the order number of these bonds issue (other debt securities) in compliance with the Exchange data *(this paragraph was changed by the Exchange Board decision of December 21, 2007)*;
  - 5) the Code of bonds or other debt securities, issued by a special purpose vehicle<sup>11</sup> is composed of *(this paragraph was supplemented by the Exchange Board decision of December 21, 2007)*:  
the Code of an organization – an underwriter of execution of obligations on these bonds (other debt securities) and the only founder (member, shareholder) of this special purpose vehicle – as corporate securities issuer *(this paragraph was supplemented by the Exchange Board decisions of December 13 and December 21, 2007)*;  
letter "e"<sup>10</sup>;  
a digit (digits) denoting these bonds issue order number (other debt securities) in compliance with the Exchange data<sup>12</sup> *(this paragraph was changed by the Exchange Board decisions of January 23 and December 21, 2007)*;
  - 6) the Code of mutual investment fund units is composed of:  
a Code of the management company of the mutual investment fund;  
a unique combination of lower case letters and/or digits denoting the mutual investment fund *(this sub-item was included by the Exchange Board decision of January 23, 2007)*.
2. Codes of corporate securities, being a part of the privatized state-owned shareholding privatized through the Exchange, are determined by the Exchange Board decisions and are composed of:
    - 1) letters "NZ", in case the securities are registered on the securities account opened in Central Securities Depository JSC, or the letter "Z", in case these securities are registered on the client account opened directly in the share register *(this sub-item was changed by the Exchange Council decision of April 14, 2005)*;
    - 2) symbol "\_" (underscoring);
    - 3) the Code of the securities issuer;

---

<sup>10</sup> An abbreviation of the English word "eurobond"

<sup>11</sup> The English word combination "Special Purpose Vehicle" (a generally accepted abbreviation – "SPV") that is used to denote a legal entity of any state whose only founder (member, shareholder) is a legal entity of the other state and issues bonds on the security and in the interests of the second of the named legal entities *(this footnote was changed by the Exchange Board decisions of January 23 and December 13, 2007)*.

<sup>12</sup> For purposes of determination of order numbers of special purposes vehicles bonds issue the Exchange considers the organization – an undertaker of execution of obligations on these bonds and the only founder (member, shareholder) of such special purpose vehicle as the issuer of the bonds issued by a special purpose vehicle.

- 4) in case of necessity of a more accurate identification of the securities – the symbol "\_" (underscoring) and a set of the symbols intended for such identification.

**Article 5. Codes of Derivative Securities (Derivatives of Financial Instruments), the Basic Asset of which are Corporate Securities**

*(This headline was changed by the Exchange Board decision of December 13, 2007).*

1. Codes of Kazakhstan depository receipts are assigned thereto by the Exchange Board decision and are composed of *(this paragraph was changed by the Exchange Board decision of December 13, 2007)*:
  - 1) letters "KDR"<sup>13</sup>;
  - 2) symbol "\_" (underscoring);
  - 3) the Code of the corporate securities, used in the capacity of underlying asset of Kazakhstan depository receipts, determined in compliance with item 1 of article 4 hereof *(this sub-item was changed by the Exchange Board decision of December 13, 2007)*;
  - 4) in case of more accurate identification of these Kazakhstan depository receipts (derivative securities, derivatives) is required – the symbol "\_" (underscoring) and a set of symbols intended for such identification *(this sub-item was changed by the Exchange Board decision of December 13, 2007)*.
2. The code of another, other than Kazakhstan depository receipts, securities derivatives (financial instruments derivatives), the basic asset of which are corporate securities, issued in compliance with the legislation of another, other than the Republic of Kazakhstan, states (including corporate securities of several denominations), is assigned by the Exchange Board decision and is composed of:
  - 1) The code of these securities derivatives issuer or (if these derivative securities are issued by a special vehicle) the Code of an organization – an underwriter of execution of obligations on these securities and the sole founder (participant, shareholders) of such special vehicle – as corporate securities issuer;
  - 2) letter "d"<sup>14</sup>;
  - 3) in case of more accurate identification of these Kazakhstan depository receipts (derivative securities, derivatives) is required – the symbol "\_" (underscoring) and a set of symbols intended for such identification.

*(This item was included by the Exchange Board decision of December 13, 2007).*

**Article 6. Codes of International Securities of the Republic of Kazakhstan**

1. The Code of international securities of the Republic of Kazakhstan is assigned thereto by the Exchange Information and Analysis Department at the Exchange trading system setting in connection with these securities issue and are composed of *(this paragraph was changed by the Exchange Board decision of January 25, 2008)*:
  - 1) letters "KZ";
  - 2) symbol "\_" (underscoring);

---

<sup>13</sup> An abbreviation of the English word combination "Kazakhstan depository receipt"

<sup>14</sup> An abbreviation of the English word "derivative" *(this footnote was included by the Exchange Board decision of December 13, 2007)*.

- 3) two digits, denoting the securities issue order number (with account to provided in item 2 of this article);
  - 4) symbol "\_" (underscoring);
  - 5) two last digits of the securities maturity year;
  - 6) two digits denoting the securities maturity month order number (with account to specified in item 2 of this article).
2. In case an issue order number of international securities of the Republic of Kazakhstan is less than ten, the digit, denoting this number is complemented with a null on the left.

In case the maturity month order number of international securities of the Republic of Kazakhstan is less than ten, the digit, denoting this number is complemented with a null on the left.

#### **Article 7. Codes of Government Securities of the Republic of Kazakhstan**

1. The Code of government securities of the Republic of Kazakhstan is assigned thereto by the Exchange Information and Analysis Department at the Exchange trading system setting in connection with these securities issue and is composed of *(this paragraph was changed by the Exchange Board decision of January 25, 2008)*:
  - 1) initial (capital) Latin letters "MKM" (in case these securities relate to state short term treasury obligations of the Republic of Kazakhstan (MEKKAM)); or  
initial (capital) Latin letters "MOM" (if these securities are related to state mid-term treasury obligations of the Republic of Kazakhstan (MEOKAM)); or *(this paragraph was changed by the Exchange Board decision of December 28, 2004)*  
initial (capital) Latin letters "MIM" (if these securities are related to state indexed treasury obligations of the Republic of Kazakhstan (MEIKAM)); or *(this paragraph was changed by the Exchange Board decision of December 28, 2004)*;  
initial (capital) Latin alphabet letters "MUM" (in case these securities are related to state long-term treasury obligations of the Republic of Kazakhstan (MEUKAM)); or *(this paragraph was included by the Exchange Board decision of December 28, 2004)*  
initial (capital) Latin alphabet letters "MOX" (in case these securities are related to state mid-term indexed treasury obligations of the Republic of Kazakhstan (MOIKAM)); or *(this paragraph was included by the Exchange Board decision of December 28, 2004)*  
initial (capital) Latin alphabet letters "MUX" (in case these securities are related to state long-term indexed treasury obligations of the Republic of Kazakhstan (MUIKAM)); or *(this paragraph was included by the Exchange Board decision of December 28, 2004)*  
initial (capital) Latin alphabet letters "MUJ" (if these securities are related to state long-term savings treasury obligations of the Republic of Kazakhstan (MEUJKAM)) *(this paragraph was included by the Exchange Board decision of December 28, 2004)*;
  - 2) three digits denoting the securities circulation term in months (with account to specified in item 2 of this article);
  - 3) symbol "\_" (underscoring);

- 4) last four digits of the securities issue order number (with account to specified in item 2 of this article).
2. In case the circulation term of securities of the Republic of Kazakhstan Government is less than one hundred months, the digits, denoting this term are complemented with one or more nulls on the left so that the total of nulls equals three.

In case an issue order number of securities of the Republic of Kazakhstan Government is less than one hundred, the digits, denoting this number are complemented with one or more nulls on the left so that the total of nulls equals three.

#### **Article 8. Codes of Securities of the National Bank of the Republic of Kazakhstan**

1. The Code of securities of the National Bank of the Republic of Kazakhstan is assigned thereto by the Exchange Information and Analysis Department at the Exchange trading system setting in connection with these securities issue and is composed of *(this paragraph was changed by the Exchange Board decision of January 25, 2008)*:
  - 1) letters "NT"<sup>15</sup>;
  - 2) a single-letter designation of the currency which denominates these securities<sup>16</sup>;
  - 3) three digits, denoting the securities circulation term in days (with account to specified in item 2 of this article).
  - 4) symbol "\_" (underscoring);
  - 5) last four digits of the securities issue order number (with account to specified in item 2 of this article);
2. In case the circulation term of securities of the National Bank of the Republic of Kazakhstan is less than one hundred days, the digits, denoting this term are complemented with one or more nulls on the left so that the total of digits equals three.

In case the issue order number of securities of the National Bank of the Republic of Kazakhstan is less than one hundred, the digits, denoting this number are complemented with one or more nulls on the left so that their total equals three.

#### **Article 9. Codes of Local Authorities Securities**

1. The Code of securities of a local authority is assigned thereto by the Exchange Board decision and is composed of:
  - 1) a two-letter code of the local authority – an issuer of the securities<sup>17</sup>;

---

<sup>15</sup> A conventional abbreviation of the English word "note" *(this footnote numbering was changed by the Exchange Board decision of December 13, 2007)*.

<sup>16</sup> "K" – Kazakhstan tenge, "U" – dollar of USA, "E" – euro, "J" – Japanese yen *(this footnote numbering was changed by the Exchange Board decision of December 13, 2007)*.

<sup>17</sup> Subjective to the region of the Republic of Kazakhstan a respective local authority is assigned a code as follows:

Astana	AS	Western-Kazakhstan region	ZK
Almaty	AL	Karaganda region	KG
Akmola region	AK	Kzylorda region	KO
Aktobe region	AB	Kostanai region	KS
Almaty region	AT	Mangistau region	MG
Atyrau region	AR	Pavlodar region	PV
Eastern-Kazakhstan region	VK	Northern-Kazakhstan region	SK
Zhambyl region	DZ	Southern-Kazakhstan region	UK

*(This footnote numbering was changed by the Exchange Board decision of December 13, 2007)*

- 2) a single-letter designation of the currency that denominates these securities<sup>16</sup>;
  - 3) three digits, denoting the securities circulation term in months (with account to specified in item 2 of this article);
  - 4) symbol "\_" (underscoring);
  - 5) last three digits of the securities issue order number (with account to specified in item 2 of this article).
2. In case the circulation term of securities of a local authority is less than one hundred months, the digits, denoting this term, are complemented with one or more nulls on the left so that the total of digits equals three.

In case the issue order number of securities of a local authority is less than one hundred, the digits, denoting this number, are complemented with one or more nulls on the left so that their total equals three.

#### **Article 10. Codes of Foreign Government Securities**

1. The Code of foreign government securities is assigned thereto by the Exchange Board decision and is composed of:
  - 1) a two-letter alphabet code of the state – the securities issuer, in compliance with the international standard ISO 3166-1;
  - 2) symbol "\_" (underscoring);
  - 3) two digits, denoting the securities issue order number (subject to the Exchange numeration);
  - 4) symbol "\_" (underscoring);
  - 5) last two digits of the securities maturity year;
  - 6) two digits, denoting the securities maturity month order number (with account to specified in item 2 of this article).
2. In case the order number of foreign government securities maturity month order number is less than ten, the digit, denoting this number is complemented with a null on the left.

#### **Article 11. Codes of Securities of International Financial Organizations**

1. The Code of securities of an international financial organization is assigned thereto by the Exchange Board decision and is composed of:
  - 1) a four-symbol code of an international financial organization – an issuer of the securities<sup>18</sup>;
  - 2) a single-letter designation of the currency that denominates these securities<sup>16</sup>;

---

<sup>18</sup> Codes of international financial organizations:

International Bank for Reconstruction and Development	IBRD	Asian Development Bank	ASDB
International Finance Corporation	IFC_	African Development Bank	AFDB
European Bank for Reconstruction and Development	EBRD	European Investment Bank	EIB_
Inter-American Development Bank	IADB	Nordic Investment Bank	NIB_
Bank for International Settlements	BIS_	Council of Europe Development Bank	CEB_
		Islamic Development Bank	ISB_

*(This footnote was supplemented by the Exchange Board decision of January 23, 2007; this footnote numbering was changed by the Exchange Board decision of December 13, 2007)*

- 3) two digits, denoting the securities maturity day (with account to specified in item 2 of this article);
  - 4) two digits, denoting the securities maturity month order number (with account to provided in item 2 of this article);
  - 5) last two digits of the securities maturity year;
  - 6) in case of necessity of more accurate identification of these securities – symbol "\_" (underscoring) and a set of symbols intended for such identification (*this sub-item was supplemented by the Exchange Board decision of December 13, 2007*).
2. In case the maturity day of securities of an international financial organization falls on the first through ninth day of the month, the digit, denoting such day is complemented with a null on the left.
- In case the maturity month order number of securities of an international financial organization is less than ten, the digit, denoting such number is complemented with a null on the left.

**Article 12. Codes of Currency Futures**

1. The Code of a currency future on the rate of a foreign currency to Kazakhstan tenge is assigned thereto by the Exchange Board decision and is composed of:
  - 1) letter "F"<sup>19</sup>;
  - 2) an alphabet code of the foreign currency in compliance with the international standard ISO 4217;
  - 3) last two digits of the future execution year;
  - 4) two digits, denoting an execution month order number of the future (with account to specified in item 3 of this article);
  - 5) letters "UN"<sup>20</sup>.
2. The Code of a currency future on the rate of a foreign currency to the other foreign currency is assigned thereto by the Exchange Board decision and is composed of:
  - 1) letter "F"<sup>19</sup>;
  - 2) the first letter of the alphabet code of the second abovementioned foreign currency in compliance with the international standard ISO 4217;
  - 3) symbol "\_" (underscoring);
  - 4) the first letter of the alphabet code of the first abovementioned foreign currency in compliance with the international standard ISO 4217;
  - 5) last two digits of the future execution year;
  - 6) two digits, denoting the future execution month order number (with account to specified in item 3 of this article);
  - 7) letters "UN"<sup>20</sup>.
3. In case the futures execution month order number is less than ten, the digit, denoting this number is complemented with a null on the left.

---

<sup>19</sup> An abbreviation of the English word combination "futures contract" (*this footnote numbering was changed by the Exchange Board decision of December 13, 2007*).

<sup>20</sup> An abbreviation of the English word "undeliverable" (*this footnote numbering was changed by the Exchange Board decision of December 13, 2007*).

**Article 13. Codes of Futures for Yield of International Securities of the Republic of Kazakhstan**

1. The Code of a future on yield of international securities of the Republic of Kazakhstan is assigned thereto by the Exchange Board decision and is composed of:
  - 1) letter "F"<sup>19</sup>;
  - 2) letters "EN"<sup>21</sup>;
  - 3) a single-letter designation of the currency that denominates the securities<sup>16</sup>;
  - 4) last two digits of the future execution year;
  - 5) two digits, denoting the future execution month order number (with account to specified in item 2 of this article);
  - 6) letters "UN"<sup>20</sup>.
  - 7) symbol "\_" (underscoring);
  - 8) an order number of the securities issue.
2. If the execution month order number of a future on yield of international securities of the Republic of Kazakhstan is less than ten, the digit, denoting this number is complemented with a null on the left.

**Article 13–1. Codes of Futures for Affined Gold Bars**

1. The Code of a future on the affined gold bars is assigned thereto by the Exchange Board decision and is composed of:
  - 1) letter "F"<sup>19</sup>;
  - 2) letter "AU"<sup>22</sup>;
  - 3) letters "LGD"<sup>23</sup> – for the affined gold, compliant with the Good Delivery standard of the London Bullion Market Association; or  
letters "GST"<sup>24</sup> – for the affined gold, compliant with State Standard 28058-89 "Gold Bars. Technical Conditions" or the Standard of the Republic of Kazakhstan 932-92 "Gold Bars. Technical Conditions", but inconsistent with the Good Delivery standard of the London Bullion Market Association;
  - 4) symbol "\_" (underscoring);
  - 5) last two digits of the future execution year;
  - 6) two digits, denoting the future execution month order number (with account to specified in item 2 of this article);
  - 7) letter "D"<sup>25</sup>.

---

<sup>21</sup> A conventional abbreviation of the English word "eurobond"

<sup>22</sup> An abbreviation of the Latin word "aurum" (*this footnote was included by the Exchange Board decision of November 21, 2008*).

<sup>23</sup> An abbreviation of the English phrase "London Good Delivery" (*this footnote was included by the Exchange Board decision of November 21, 2008*).

<sup>24</sup> A conventional identification of the phrase "government standard" (*this footnote was included by the Exchange Board decision of November 21, 2008*).

<sup>25</sup> An abbreviation of the English word "deliverable" (*this footnote was included by the Exchange Board decision of November 21, 2008*).

2. If the execution month order number of a future on yield of international securities of the Republic of Kazakhstan is less than ten, the digit, denoting this number is complemented with a null on the left.

*(This article was included by the Exchange Board decision of November 21, 2008).*

**Article 14. Codes of Financial Instruments on the Automatic Repo-Market<sup>26</sup>**

1. The Code of a financial instrument (repo-transaction) on the automatic repo-market in government securities of the Republic of Kazakhstan (except for securities of local authorities and state long-term savings treasury obligations of the Republic of Kazakhstan (MEUJKAM)) is assigned thereto by the Exchange Information and Analysis Department at the Exchange trading system setting in connection with these securities issue and is composed of<sup>27</sup> *(this paragraph was supplemented by the Exchange Board decision of January 13, 2006 and changed by the Exchange Board decision of January 25, 2008):*
  - 1) letters "REPO";
  - 2) symbol "\_" (underscoring);
  - 3) currency code of this repo transaction in compliance with the international standard ISO 4217;
  - 4) symbol "\_" (underscoring);
  - 5) three digits, denoting the repo transaction term in days (with account to specified in item 3 of this article) *(this sub-item was changed by the Exchange Board decision of January 13, 2006).*
2. The Code of a financial instrument (repo transaction) on the automatic repo market with corporate securities is assigned thereto by the Exchange Board decision and is composed of:
  - 1) letter "R"<sup>28</sup>;
  - 2) symbol "\_" (underscoring);
  - 3) a code of the corporate securities, which are the subject of this repo transaction, assigned thereto in compliance with article 4 hereof;
  - 4) symbol "\_" (underscoring);
  - 5) three digits, denoting this repo transaction term in days (with account to specified in item 3 of this article).
3. In case a repo transaction term is less than one hundred days, the digits, denoting this term are complemented with one or more nulls on the left so that their total equaled 3.

Term "Intraday" (inside (within) one (working) day) of the repo transaction which executed by "automatic" method, is denoted as "000" *(this paragraph was included by the Exchange Board decision of January 13, 2006).*

---

<sup>26</sup> From the English word "repo" – a generally accepted abbreviation of the word combination "repurchase agreement" ("agreement on sale with subsequent repurchase") *(this footnote numbering was changed by the Exchange Board decision of December 13, 2007 and November 21, 2008).*

<sup>27</sup> Codes of the repo transactions, executed by "nego" method, are consistent with codes of the securities, used as subjects of these repo transactions *(this footnote numbering was changed by the Exchange Board decision of December 13, 2007 and November 21, 2008).*

<sup>28</sup> A conventional abbreviation of the English word "repo" *(this footnote numbering was changed by the Exchange Board decision of December 13, 2007 and November 21, 2008)*

**Article 15. Codes of Promissory Notes**

The Code of a promissory note is assigned thereto by the Exchange Board decision and is composed of:

- 1) letter "N"<sup>29</sup>;
- 2) symbol "\_" (underscoring);
- 3) the promissory notes issuer code, determined in the order similar to specified in article 3 hereof.

**Article 15–1. Coding Features of Financial Instruments on the Special Trading Floor of the Regional Financial Center of Almaty**

In case any financial instruments are admitted to circulation on the special trading floor of the regional financial center of Almaty, for purposes of definition of such financial instruments, their Codes are complemented with letter "a" (lower case) on the left; with that codes of the financial instruments remain unchanged (in the form, they were assigned in compliance with articles 2–15 hereof) at their circulation at other trading floors of the Exchange than the special trading floor of the regional financial center of Almaty.

*(This article was included by the Exchange Board decision of January 23, 2007).*

**Article 16. Examples of Codes**

1. Examples to article 2 hereof (Codes of Foreign Currency):
  - 1) to item 2: "USD\_TOD";
  - 2) to item 3: "USD\_TOM";
  - 3) to item 4: "USD\_SPT";
  - 4) to item 5: "USD\_T\_3".
2. Examples to item 1 of article 4 hereof (Codes of Corporate Securities): let us assume, that a joint-stock company – a legal person of the Republic of Kazakhstan (the securities issuer Code– ABCD) executed an issue of common shares, two issues of preferred shares, different from each other in payment of dividends conditions, and bonds issues in the following sequence: the first issue – in compliance with the legislation of the Republic of Kazakhstan, the second issue – in compliance with the legislation of the other state, the third issue – in compliance with the legislation of the Republic of Kazakhstan; apart from that, after execution of the third bonds issue this organization executed an issue of bonds by a special vehicle enterprise, whose sole member is this organization, on its 100 % security. The securities of this joint-stock company will be assigned the following Codes *(this paragraph was changed by the Exchange Board decision of January 23, 2007)*:
  - 1) to common shares – ABCD;
  - 2) to preferred shares of the first issue – ABCDp1;
  - 3) to preferred shares of the second issue – ABCDp2;
  - 4) to bonds of the first issue – ABCDb1;
  - 5) to bonds of the second issue – ABCDe1;
  - 6) to bonds of the third issue – ABCDb2;
  - 7) to the bonds, issued by a special vehicle enterprise, – ABCDe2.

---

<sup>29</sup> An abbreviation of the English word "note" *(this footnote numbering was changed by the Exchange Board decision of December 13, 2007 and November 21, 2008)*

3. An example to item 2 of article 4 hereof (Code of Corporate Securities, a Part of State Blocks of Shares being Privatized through the Exchange): "NZ\_ABCD\_5\_5".
4. An example to article 5 hereof (Code of Kazakhstan Depository Receipts): "KDR\_RU\_ABCD".
5. An example to article 6 hereof (Codes of International Securities of the Republic of Kazakhstan): "KZ\_03\_0410".
6. An example to article 7 hereof (Code of Government Securities of the Republic of Kazakhstan): "MKM006\_0099".
7. An example to article 8 hereof (Code of Securities of the National Bank of the Republic of Kazakhstan): "NTK028\_0789".
8. An example to article 9 hereof (Code of Securities of a Local Authority): "VKT036\_003".
9. An example to article 10 hereof (Code of Foreign Government Securities): "RU\_01\_0507".
10. An example to article 11 hereof (Code of Securities of an International Financial Organization): "EBRDU281208\_03".
11. An example to article 12 hereof (Codes of Currency Futures):
  - 1) to item 1: "FUSD0412UN";
  - 2) to item 2: "FU\_E0412UN".
12. An example to article 13 hereof (Code of a Future on Yield of International Securities of the Republic of Kazakhstan): "FENU0412UN\_4".
- 12–1. An example to article 13–1 hereof (Codes of Futures for Affined Gold Bars):
  - 1) "FAULGD\_0812D" (The Code of a future for affined gold bars, compliant with the Good Delivery standard of the London Bullion Market Association);
  - 2) "FAUGST\_0812D" (The Code of a future for affined gold bars, compliant with State Standard 28058-89 "Gold Bars. Technical Conditions" or the Standard of the Republic of Kazakhstan 932-92 "Gold Bars. Technical Conditions", but inconsistent with the Good Delivery standard of the London Bullion Market Association).

*(This item was included by the Exchange Board decision of November 21, 2008).*
13. An example to article 14 hereof (Codes of Financial Instruments on the Automatic Repo Market):
  - 1) to item 1: "REPO\_KZT\_001";
  - 2) to item 2: "R\_ABCDb1\_028".
14. An example to article 15 hereof (Code of a Promissory Note): "N\_ABCD".

President

A. Joldasbekov