

KAZAKHSTAN STOCK EXCHANGE

A p p r o v e d

by Kazakhstan Stock Exchange
Management Board

(meeting minutes No. 158
dated October 11, 2013)

E f f e c t i v e a s o f

October 16, 2013

N O T I C E

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.

I N S T R U C T I O N

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

Almaty

2013

LIST OF AMENDMENTS

1. Changes No. 1:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 67 of the meeting on May 6, 2014);
- effective as of May 12, 2014.

2. Changes and additions No. 2:

- approved by decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 31 of the meeting on March 11, 2015);
- effective as of March 12, 2015.

3. Changes No. 3:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 53 of the meeting on April 28, 2015);
- effective as of April 29, 2015.

4. Changes No. 4:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 60 of the meeting on June 16, 2016);
- effective as of July 1, 2016.

5. Addition No. 5:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 75 of the meeting on July 28, 2016);
- effective as of July 29, 2016.

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 each one referred to as – the Code) 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 authorized body are used as the Exchange members' Codes.

For purposes of this Instruction the authorized body means a government body performing functions of the licensor of the securities market.

(This item was changed by decision of Exchange Management Board of May 6, 2014).

2. In case the authorized body has assigned no identification Code to any of the Exchange members, then his Code is to be determined by the Exchange's structural unit carrying out monitoring of Exchange members as follows *(this paragraph was changed by decisions of Exchange Management Board of May 6, 2014 and March 11, 2015)*:

- 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 the specifics 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 Financial Instruments on the Foreign Currency¹ Market

(This heading was changed by decision of Exchange Management Board of May 6, 2014).

1. A Code is assigned to a financial instrument on the foreign currency market while adjusting the Exchange's trading system due to opening of trades in that financial instrument *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*.

When assigning a Code to a financial instrument on the foreign currency market, alphabetic currency codes are used in accordance with ISO 4217.

In case of updating of ISO 4217 due to a change in the alphabetic currency code being part of the Code of a financial instrument on the foreign currency market, the Code of such financial instrument may be changed to ensure compliance of the alphabetic currency code being part of the Code of a

¹ Financial instruments and securities issuers codes examples are provided in article 17 hereof.

financial instrument on the foreign currency market with ISO 4217 (*this paragraph was changed by decision of Exchange Management Board of March 11, 2015*).

(*This item was changed by decision of Exchange Management Board of May 6, 2014*).

2. The code of a financial instrument on the foreign currency, traded with settlements T+0² (with execution of the deals concluded at trades on the trading day), consists of (*this paragraph was changed by decision of Exchange Management Board of May 6, 2014*):
 - 1) alphabetic code of the traded foreign currency (*this sub-item was changed by decision of Exchange Management Board of May 6, 2014*);
 - 2) alphabetic code of the currency in which settlements on transactions in the traded foreign currency are executed (*this sub-item was changed by decision of Exchange Management Board of May 6, 2014*);
 - 3) a "_" symbol (underscoring);
 - 4) letters "TOD"³.
3. The code of the financial instrument traded on the foreign currency market on settlements terms T+1 (with execution of the deals concluded at trades on the following working day⁴ after the trading day), consists of (*this paragraph was changed by decision of Exchange Management Board of May 6, 2014*):
 - 1) alphabetic code of the traded foreign currency (*this sub-item was changed by decision of Exchange Management Board of May 6, 2014*);
 - 2) alphabetic code of the currency in which settlements on transactions in the traded foreign currency are executed (*this sub-item was changed by decision of Exchange Management Board of May 6, 2014*);
 - 3) a symbol "_" (underscoring);
 - 4) letters "TOM"⁵.
4. The code of the financial instrument traded on the foreign currency market on settlements terms T+2 (with execution of the deals concluded at trades on the second working day after the trading day), consists of (*this paragraph was changed by decision of Exchange Management Board of May 6, 2014*):
 - 1) alphabetic code of the traded foreign currency (*this sub-item was changed by decision of Exchange Management Board of May 6, 2014*);
 - 2) alphabetic code of the currency in which settlements on transactions in the traded foreign currency are executed (*this sub-item was changed by decision of Exchange Management Board of May 6, 2014*);
 - 3) a "_" symbol (underscoring);
 - 4) letters "SPT"⁶.

² 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 Abbreviation of the English word "today"

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

⁵ Abbreviation of the English word "tomorrow"

⁶ 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

5. The code of the financial instrument traded on the foreign currency market on settlements terms later than on the second working day after the trading day is composed of *(this paragraph was changed by decision of Exchange Management Board of May 6, 2014)*:
 - 1) alphabetic code of the traded foreign currency *(this sub-item was changed by decision of Exchange Management Board of May 6, 2014)*;
 - 2) alphabetic code of the currency in which settlements on transactions in the traded foreign currency are executed *(this sub-item was changed by decision of Exchange Management Board of May 6, 2014)*;
 - 3) symbol "_" (underscoring);
 - 4) letter "T"²;
 - 5) symbol "_" (underscoring);
 - 6) the digits denoting the 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. Currency Swap Transactions Codes

The currency swap transaction code consists of:

- 1) the alphabetic code of the foreign currency being the subject of a particular currency swap transaction *(this sub-item was changed by decision of Exchange Management Board of May 6, 2014)*;
- 2) alphabetic code of the foreign currency in which settlements on deals within a particular transaction are executed *(this sub-item was changed by decision of Exchange Management Board of May 6, 2014)*;
- 3) a "_" symbol (underscoring);
- 4) one figure denoting the number equal to the duration of the period in full working days between the conclusion day of transactions involved in a particular currency swap transaction and the execution day of the deal with an earlier settlement date;
- 5) a "_" symbol (underscoring);
- 6) three figures denoting the number equal to the duration of the period in working days between the conclusion day of transactions involved in a particular currency swap transaction and the execution day of the deal with a later settlement date.

Article 4. Codes of Corporate Securities Issuers⁷

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;
 - 2) a symbol "_" (underscoring), except as provided in item 2 of this article;
 - 3) the issuer identification Code.
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

⁷ Hereinafter securities mean only serial securities.

used in codes of the corporate securities issuers – legal persons of the Republic of Kazakhstan.

3. The identification code of a corporate securities issuer is assigned to it by the Exchange's structural unit responsible for listing of securities (hereinafter – the listing unit) in the following manner (*this paragraph was changed by decision of Exchange Management Board of March 11, 2015*):
 - 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) if the name of an issuer of corporate securities changes it can be assigned another identification code that differs from previously assigned one.

Article 5. Codes of Corporate Securities

1. Codes of corporate securities (except for the corporate securities, being a part of the state-owned shareholdings being privatized through the Exchange, whose Codes are determined subject to item 2 of this article, and Kazakhstan depository receipts and other derivative securities (derivative financial instruments, except for futures), whose underlying asset are 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 6 hereof) are assigned thereto by the listing unit as follows (*this paragraph was changed by decision of Exchange Management Board of March 11, 2015*):
 - 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"⁸;
 - 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:
 - the bonds (other debt securities) issuer Code;
 - letter "b"⁹;

⁸ Abbreviation of the English words "preference" and "preferred".

- the digit, denoting (digits, denoting) the order number of these bonds issue (other debt securities) in compliance with the Exchange data;
- 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:
- the bonds (other debt securities) issuer Code;
- letter "e"¹⁰;
- the digit, denoting (digits, denoting) the order number of these bonds issue (other debt securities) in compliance with the Exchange data;
- 5) the Code of bonds or other debt securities, issued by a special purpose vehicle¹¹ is composed of:
- 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;
- letter "e"¹⁰;
- a digit (digits) denoting these bonds issue order number (other debt securities) in compliance with the Exchange data¹²;
- 6) the Code of mutual investment fund units is composed of:
- the 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;
- 7) The Code of sukuk bonds is composed of:
- the code of the issuer of particular sukuk bonds;
- letter "s";
- the digit denoting (digits, denoting) the order number of the issue of these sukuk bonds by this issuer in compliance with the Exchange data.
2. Codes of corporate securities, being a part of state-owned shareholdings being privatized through the Exchange, are assigned by the listing unit and are composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*:
- 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;
- 2) symbol "_" (underscoring);
- 3) the Code of the securities issuer;

⁹ Abbreviation of the English word "bond".

¹⁰ An abbreviation of the English word "eurobond".

¹¹ 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.

¹² 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 6. Codes of Derivative Securities (Derivatives of Financial Instruments, Excluding Futures), the Basic Asset of which are Corporate Securities

1. Codes of Kazakhstan depository receipts are assigned thereto by the listing unit and are composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*:
 - 1) letters "KDR"¹³;
 - 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 5 hereof;
 - 4) in case of more accurate identification of these receipts is required – the symbol "_" (underscoring) and a set of symbols intended for such identification.
2. The code of other, apart from Kazakhstan depository receipts, securities derivatives (financial instruments derivatives, excluding futures), 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 listing unit and is composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*:
 - 1) The code of these securities' (financial instruments) issuer; or
the Code of the organization which guarantees execution of obligations on these securities (financial instruments) and the sole founder (participant, shareholder) of such special vehicle if these securities have been issued by such special vehicle;
 - 2) letter "d"¹⁴;
 - 3) in case more accurate identification of these securities (financial instruments) is required – the symbol "_" (underscoring) and a set of symbols intended for such identification.

Article 7. 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 listing unit and is composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*:
 - 1) letters "KZ";
 - 2) symbol "_" (underscoring);
 - 3) two digits, denoting the securities issue order number (with account to the specifics provided in item 2 of this article);
 - 4) symbol "_" (underscoring);
 - 5) two last digits of the securities maturity year;

¹³ An abbreviation of the English word combination "Kazakhstan depository receipt".

¹⁴ An abbreviation of the English word "derivative".

- 6) two digits denoting the securities maturity month order number (with account to specifics set in item 2 of this article).
2. In case the issue order number of international securities of the Republic of Kazakhstan is less than 10, 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 10, the digit, denoting this number is complemented with a null on the left.

Article 8. Codes of Government Securities of the Republic of Kazakhstan

1. The Code of securities of the government the Republic of Kazakhstan is assigned thereto by the Exchange's Information and Statistics Department at setting the Exchange's trading system in connection with these securities issue and is composed of *(this paragraph was changed by a decision of the Exchange's Management Board dated June 16, 2016)*:
 - 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;

initial (capital) Latin alphabet letters "MUM" (in case these securities are related to state long-term treasury obligations of the Republic of Kazakhstan (MEUKAM));

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

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

initial (capital) Latin alphabet letters "MUJ" (if these securities are related to state long-term savings treasury obligations of the Republic of Kazakhstan (MEUJKAM));

initial (capital) Latin alphabet letters "MOK" (if these securities are related to state special mid-term savings treasury obligations of the Republic of Kazakhstan (MAOKAM));
 - 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 the detail specified in item 2 of this article).
2. In case the circulation term of securities of the Republic of Kazakhstan Government is less than 100 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 the issue order number of securities of the Republic of Kazakhstan Government is less than 1,000, the digits, denoting this number are complemented with one or more nulls on the left so that the total of nulls equals four.

Article 9. 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's Information and Statistics Department at setting the Exchange's trading system in connection with these securities issue and is composed of *(this paragraph was changed by a decision of the Exchange's Management Board dated June 16, 2016)*:
 - 1) letters "NT"¹⁵;
 - 2) a single-letter designation of the currency which denominates these securities (with account to specifics set in item 2 of this article);
 - 3) three digits, denoting the securities circulation term in days (with account to specifics set in item 2 of this article).
 - 4) symbol "_" (underscoring);
 - 5) last four digits of the securities issue order number (with account to specifics set in item 2 of this article);
2. The following letters are used a one-letter designations of the currency in which 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 yen;
 - 3) "K" – for designation of the tenge;
 - 4) "U" – for designation of the US dollar.
3. In case the circulation term of securities of the National Bank of the Republic of Kazakhstan is less than 100 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 1,000, the digits, denoting this number are complemented with one or more nulls on the left so that their total equals four.

Article 10. Codes of Local Authorities Securities

1. The Code of securities of a local authority is assigned thereto by the listing unit and is composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*:
 - 1) a two-letter code of the local authority – an issuer of the securities (taking into account the specifics set by item 2 of this article);
 - 2) a single-letter designation of the currency that denominates these securities (taking into account the specifics set by item 2 of article 9 of this Instruction);
 - 3) three digits, denoting the securities circulation term in months (with account to specified in item 3 of this article);
 - 4) symbol "_" (underscoring);
 - 5) last three digits of the securities issue order number (with account to specifics set in item 3 of this article).

¹⁵ A conventional abbreviation of the English word "note".

2. The following letter combinations are used as the two-letter codes of local executive authorities depending upon the region of the Republic of Kazakhstan to which the local executive authority is related:
 - 1) "AS" – for designation of the local executive authority of Astana;
 - 2) "AL" – for designation of the local executive authority of Almaty;
 - 3) "AK" – for designation of the local executive authority of Akmola region;
 - 4) "AB" – for designation of the local executive authority of Aktobe region;
 - 5) "AT" – for designation of the local executive authority of Almaty region;
 - 6) "AR" – for designation of the local executive authority of Atyrau region;
 - 7) "VK" – for designation of the local executive authority of East Kazakhstan region;
 - 8) "DZ" – for designation of the local executive authority of Zhambyl region;
 - 9) "ZK" – for designation of the local executive authority of West Kazakhstan region;
 - 10) "KG" – for designation of the local executive authority of Karagandy region;
 - 11) "KO" – for designation of the local executive authority of KyzylOrda region;
 - 12) "KS" – for designation of the local executive authority of Kostanai region;
 - 13) "MG" – for designation of the local executive authority of Mangistau region;
 - 14) "PV" – for designation of the local executive authority of Pavlodar region;
 - 15) "SK" – for designation of the local executive authority of North Kazakhstan region;
 - 16) "UK" – for designation of the local executive authority of South Kazakhstan region.
3. In case the circulation term of securities of the local executive authority makes up less than 100 months, the digits designating such term are supplemented to the left by one or more nulls so that the total number of those digits makes up three.

In case the issue order number of securities of the local executive authority is less than 100, the digits, denoting this number are complemented with one or more nulls on the left so that their total equals three.

Article 11. Codes of Foreign Government Securities

1. The Code of foreign government securities is assigned thereto by the listing unit and is composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*:
 - 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 specifics set in item 2 of this article).
2. In case the order number of foreign government securities' maturity month is less than 10, the digit, denoting this number is complemented with a null on the left.

Article 12. Codes of Securities of International Financial Organizations

1. The Code of securities of an international financial organization is assigned thereto by the listing unit and is composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*:
 - 1) a four-symbol code of an international financial organization – an issuer of the securities (taking into account the specifics set by item 2 of article);
 - 2) a single-letter designation of the currency that denominates these securities (taking into account the specifics set by item 2 of article 9 of this Instruction);
 - 3) two digits, denoting the securities maturity day (with account to specified in item 3 of this article);
 - 4) two digits, denoting the securities maturity month order number (with account to the specifics provided in item 3 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.
2. The following symbol combinations are used as four-symbol 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 the Bank for International Settlements;
 - 4) "CEB_" – for designation of the Council of Europe Development Bank;
 - 5) "EABR" – for designation of Eurasian Development Bank;
 - 6) "EBRD" – for designation of the European Bank for Reconstruction and Development;
 - 7) "EIB_" – for designation of the European Investment Bank;
 - 8) "IADB" – for designation of the Inter-American Development Bank;
 - 9) "IBRD" – for designation of the International Bank for Reconstruction and Development;
 - 10) "IFC_" – for designation of the International Finance Corporation;
 - 11) "ISB_" – for designation of the Islamic Development Bank;
 - 12) "NIB_" – for designation of the Nordic Investment Bank.
3. In case the maturity day of securities of an international financial organization falls on the first–ninth day of a month, the digit denoting such number is supplemented by a null to the left.

In case the order number of the maturity month of securities of an international financial organization makes less than 10, the digit denoting such number is supplemented by a null to the left.

Article 13. Codes of Futures on financial instruments (prices of financial instruments) and on values of indicators of the stock market

1. The Code of futures for a financial instrument or exchange indicator is assigned to this futures by the Exchange Management Board decision and is composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*:
 - 1) letters "F"¹⁶;
 - 2) symbol "_" (underlining);
 - 3) the code of the underlying asset of this futures (considering specifics set forth by item 2 of this article);
 - 4) two digits denoting the last two digits of the year of this futures execution;
 - 5) two digits denoting the order number of the execution month of that futures (taking into account the specifics set by item 3 of this article);
 - 5-1) two digits indicating the date of the futures execution (applied to the one-week futures) *(this sub-item was included by a decision of the Exchange's management Board of July 28, 2016)*;
 - 6) symbol "_" (underlining) and letter "D"¹⁷, if this futures is a futures for a particular financial instrument and provides for delivery of financial instruments of this title.
2. The following symbol combinations are used as codes of underlying assets of futures for financial instruments (prices of financial instruments) and for values of indicators of the stock market:
 - 1) first six symbols of the foreign currency code if this futures is a futures for this currency or price of this currency;
 - 2) "INKASE" if this futures is a futures for this currency or price of this currency.
3. In case the execution month order number of the futures for a financial instrument (price of financial instrument) or for the value of a stock market indicator is less than 10, the digit, denoting this number is complemented with a null on the left.

Article 14. Codes of Futures for Affined Gold Bars

1. The Code of a future on the affined gold bars is assigned thereto by the listing unit and is composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015)*:
 - 1) letter "F"¹⁶;
 - 2) letter "AU"¹⁸;
 - 3) letters "LGD"¹⁹ – for the affined gold, compliant with the Good Delivery standard of the London Bullion Market Association; or
letters "GST"²⁰ – 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

¹⁶ An abbreviation of the English word combination "futures contract".

¹⁷ An abbreviation of the English word "deliverable".

¹⁸ An abbreviation of the Latin word "aurum".

¹⁹ An abbreviation of the English phrase "London Good Delivery".

²⁰ A conventional identification of the phrase "government standard".

inconsistent with the Good Delivery standard of the London Bullion Market Association;

- 4) symbol "_" (underscoring);
 - 5) last two digits of that futures' execution year;
 - 6) two digits, denoting the futures' execution month order number (with account to specified in item 2 of this article);
 - 7) letter "D"¹⁷.
2. If the execution month order number of a futures on refined gold bars is less than 10, the digit, denoting this number is complemented with a null on the left.

Article 15. Codes of Financial Instruments on the Automatic Repo-Market²¹

1. The Code of a financial instrument (repo-transaction) with the GS-basket on the automatic repo-market is assigned thereto by the Exchange Information and Statistics Department at setting the Exchange's trading system in connection with these securities issue and is composed of²² *(this paragraph was changed by a decision of the Exchange's Management Board dated June 16, 2016)*:
 - 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 the specifics provided in item 3 of this article).
- 1-1. The Code of a financial instrument (repo-transaction) with the CS-basket on the automatic repo-market is assigned thereto by the Exchange Information and Statistics Department at setting the Exchange's trading system in connection with these securities issue and is composed of:
 - 1) letters "REPO";
 - 2) symbol "_" (underscoring);
 - 3) letters "CRB"²³;
 - 4) symbol "_" (underscoring);
 - 5) three digits, denoting the repo transaction term in days (with account to the specifics provided in item 3 of this article).

(This item was included by a decision of the Exchange's Management Board of June 16, 2016).

2. The Code of a financial instrument (repo transaction) with non-government securities and securities of local executive bodies on the automatic repo market with corporate securities is assigned thereto when adjusting the Exchange's trading system due to opening of trades in this financial instrument and is composed of *(this paragraph was changed by a decision of the*

²¹ From the English word "repo" – a generally accepted abbreviation of the word combination "repurchase agreement" ("agreement on sale with subsequent repurchase").

²² Codes of the repo transactions, executed by "nego" method, are consistent with codes of the securities, used as subjects of these repo transactions.

²³ Abbreviation of the English words "corporate bonds" *(this footnote was included by a decision of the Exchange's Management Board of June 16, 2016)*.

Exchange's Management Board of March 11, 2015 and supplemented by a decision of the Exchange's Management Board of June 16, 2016):

- 1) letter "R"²⁴;
 - 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 specifics set in item 3 of this article).
3. In case a repo transaction term is less than 100 days, the digits, denoting this term are complemented with one or more nulls on the left so that their total equaled three, except for the term of "Intraday"²⁵ repo transaction denoted as "000".

Article 15-1. Codes of Financial Instruments on the Netting Repo Market

The Code of a financial instrument (repo transaction) on the netting repo market with corporate securities is assigned thereto when adjusting the Exchange's trading system due to opening of trades in this instrument and is composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015):*

- 1) letters "RN" *(this sub-item was changed by decision of Exchange Management Board of April 28, 2015);*
- 2) symbol "_" (underlining);
- 3) the Code of securities which are subject of that repo transaction assigned thereto in compliance with article 5 of this Instruction *(this sub-item was changed by decision of Exchange Management Board of April 28, 2015).*
- 4) *(this sub-item was excluded by decision of Exchange Management Board of April 28, 2015);*
- 5) *(this sub-item was excluded by decision of Exchange Management Board of April 28, 2015);*
- 6) *(this sub-item was excluded by decision of Exchange Management Board of April 28, 2015);*
- 7) *(this sub-item was excluded by decision of Exchange Management Board of April 28, 2015).*

(This article was included by decision of Exchange Management Board of March 11, 2015).

Article 16. Codes of Promissory Notes

The Code of a promissory note is assigned thereto by the listing unit and is composed of *(this paragraph was changed by decision of Exchange Management Board of March 11, 2015):*

²⁴ A conventional abbreviation of the English word "repo" *(numbering of this footnote was changed by a decision of the Exchange's Management Board of June 16, 2016).*

²⁵ Intraday (engl.) – within one (working) day *(numbering of this footnote was changed by a decision of the Exchange's Management Board of June 16, 2016).*

- 1) letter "N"²⁶;
- 2) symbol "_" (underscoring);
- 3) the promissory notes issuer code, determined in the order similar to specified in article 4 hereof.

Article 17. Examples of Codes

1. Examples to article 2 hereof (Codes of Foreign Currency Market Instruments) *(this paragraph was changed by decision of Exchange Management Board of May 6, 2014)*:
 - 1) to item 2: "USDKZT_TOD";
 - 2) to item 3: "USDKZT_TOM";
 - 3) to item 4: "USDKZT_SPT";
 - 4) to item 5: "USDKZT_T_3".
2. Example to article 3 of this Instruction (Currency Swap Transactions Codes):
 - 1) "USDKZT_0_001" (Currency swap transaction code, consisting of the US dollar purchasing-selling deal with this deal's execution on the day of trades and entered simultaneously with this deal and counter-directed in relation to it the US dollar purchasing-selling deal in the same quantity with execution of the second one out of these deals on the next business day after the day of trades);
 - 2) "USDKZT_1_002" (Currency swap transaction code, consisting of the US dollar purchasing-selling deal with this deal's execution on the next business day after the day of trades and entered simultaneously with this deal and counter-directed in relation to it the US dollar purchasing-selling deal in the same quantity with execution of the second one out of these deals on the second business day after the day of trades).
3. Examples to item 1 of article 5 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:
 - 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.

²⁶ Abbreviation of the English word "note" *(numbering of this footnote was changed by a decision of the Exchange's Management Board of June 16, 2016)*.

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

4. An example to item 2 of article 5 hereof (Code of Corporate Securities, a Part of State Blocks of Shares being Privatized through the Exchange): "NZ_ABCD_5_5".
5. An example to article 6 hereof (Code of Kazakhstan Depository Receipts): "KDR_RU_ABCD".
6. An example to article 7 hereof (Codes of International Securities of the Republic of Kazakhstan): "KZ_03_0410".
7. An example to article 8 hereof (Code of Government Securities of the Republic of Kazakhstan): "MKM006_0099".
8. An example to article 9 hereof (Code of Securities of the National Bank of the Republic of Kazakhstan): "NTK028_0789".
9. An example to article 10 hereof (Code of Securities of a Local Authority): "VKT036_003".
10. An example to article 11 hereof (Code of Foreign Government Securities): "RU_01_2807".
11. An example to article 12 hereof (Code of Securities of an International Financial Organization): "EBRDU281208_03".
12. Examples to article 13 hereof (Codes of futures for financial instruments (prices of financial instruments) and for values of stock market indicators):
 - 1) "F_USDKZT1311" (code of tenge to US dollar non-deliverable futures);
 - 2) "F_INKASE1212" (code of KASE Index non-deliverable futures);
 - 3) "F_GB_KZMS1402" (code of non-deliverable futures for price of KAZAKHMYS PLC common shares);
 - 4) "F_HSBK1303_D" (code of non-deliverable futures for Halyk Savings Bank of Kazakhstan common shares).
13. Examples to article 14 hereof (Codes of Futures for Affined Gold Bars):
 - 1) "FAULGD_1312D" (The Code of a future for affined gold bars, compliant with the Good Delivery standard of the London Bullion Market Association);
 - 2) "FAUGST_1312D" (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).
14. Examples to article 15 hereof (Codes of Financial Instruments on the Automatic Repo Market):
 - 1) to item 1: "REPO_KZT_001" (Code of a repo transaction in government securities of the Republic of Kazakhstan (except for securities of local executive authorities and government long-term savings treasury obligations of the Republic of Kazakhstan (MEUJKAM) on the automatic repo market);
 - 2) to item 2: "R_ABCDb1_028" (Code of a repo transaction in bonds of the first issue of a joint-stock company – a legal entity of the Republic of Kazakhstan (securities issuer code – ABCD) on the automatic repo market.

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

14-1. Example to article 15-1 of this Instruction (Codes of financial instruments on the netting repo market): "RN_ABCD" *(this paragraph was included by decision of Exchange Management Board of March 11, 2015 and changed by decision of Exchange Management Board of April 28, 2015).*

15. An example to article 16 hereof (Code of a Promissory Note): "N_ABCD".

President

A. Joldasbekov