

KAZAKHSTAN STOCK EXCHANGE JSC

Approved

by a decision of the Management Board
of Kazakhstan Stock Exchange JSC
(minutes No.118
dated October 7, 2019)

Effective as of

December 3, 2019

NOTICE

The Rules have been translated into English by employees of Kazakhstan Stock Exchange solely for information purposes. In case of any incompliance of this translation with the Rules' original in Russian, the Russian version prevails.

RULES

**for internal accounting of money
and paperwork for settlements of exchange
trading**

LIST OF AMENDMENTS

1. Changes and additions No. 1:

- approved by a decision of the Board of Directors of Kazakhstan Stock Exchange (minutes No.156 dated November 26, 2020);
- effective as of November 30, 2020.

2. Changes and additions No. 2:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange (minutes No. 57 dated June 11, 2021);
- effective as of June 25, 2021.

3. Changes and addition No. 3:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange (minutes No. 101 dated September 27, 2021);
- effective as of September 28, 2021.

4. Changes and additions No. 4:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange (minutes No. 91 dated July 28, 2022);
- effective as of August 22, 2022.

5. Changes and additions No. 5:

- approved by a decision of the Management Board of Kazakhstan Stock Exchange (minutes No. 78 dated August 03, 2023);
- effective as of August 04, 2023.

These Rules have been developed in accordance with the legislation of the Republic of Kazakhstan and the charter of Kazakhstan Stock Exchange JSC (hereinafter – the Exchange) and determine the general conditions and procedure for accounting of money on settlements related to trades held in the Exchange's trading system and carried out through its correspondent accounts.

Section 1. GENERAL PROVISIONS

1. The terms and designations used in these Rules are identical to the terms and designations defined by the legislation of the Republic of Kazakhstan and other internal documents of the Exchange, including the Regulations on membership, as well as internal documents of the Exchange governing the settlement of exchange trading.
2. For the purposes of these Rules:
 - 1) correspondent accounts of the Exchange are the correspondent accounts of the Exchange in tenge and/or foreign currencies with the National Bank of the Republic of Kazakhstan, in foreign banks and/or second-tier banks of the Republic of Kazakhstan, as well as a correspondent account of the Exchange with Central Securities Depository JSC;
 - 2) a clearing participant's application means an application of a clearing participant for the return or transfer of money, and other statements and/or orders of clearing participants about the intention to perform operations related to with the implementation of settlements for exchange trading;
 - 3) settlements mean payments in Kazakh tenge and/or foreign currencies stipulated by the Exchange's internal documents "Rules for Settlements of Foreign Currency Trades", "Rules for Settlements of Trades in the Derivatives Market" and "Rules for Making Monetary market" (hereinafter – Settlement Rules).
 - 4) deals are understood as deals with financial instruments, concluded at trades held in the Exchange's trading system;
 - 5) an electronic document exchange system is understood as software that allows the transmission of messages, including payment documents, statements, orders, and/or other messages related to with the implementation of settlements, electronically, using an electronic digital signature;
 - 6) an accounting system is understood as an information system designed to record money on the correspondent accounts of the Exchange, as well as to store data on transactions carried out on them;
 - 7) recording account is understood as a set of registration records and other designations in the Exchange's information systems intended for maintaining internal accounting of money on the Exchange's correspondent accounts in Kazakh tenge and/or foreign currencies.
3. In the accounting system, the Exchange opens and maintains recording accounts of clearing participants and the Exchange solely for the purpose of internal accounting and reflection of crediting transactions and write-off of money carried out on the Exchange's correspondent accounts for settlements of exchange trading, internal accounting of the collateral of clearing participants received from clearing participants to the Exchange's correspondent accounts for the fulfillment of their obligations under transactions, as a contribution to collateral pools to serve as collateral for the issuance of general collateral certificates, accounting for their claims based on the results of clearing, as well as the Exchange's assets and liabilities arising in connection with its activities as the central counterparty (*this item was changed by a decision of the Exchange's Management Board dated July 28, 2022*).
4. In the accounting system, the Exchange opens and maintains recording accounts in tenge and in those foreign currencies in which the Exchange's correspondent accounts are opened.
5. In the accounting system of the Exchange, consolidated accounting of monetary transactions on correspondent accounts of the Exchange is carried out, as well as separate accounting of balances and cash flows

in the context of each individual clearing participant.

Section 2. OPENING AND CLOSING ACCOUNTS AND SUB-ACCOUNTS

6. Recording accounts are opened for clearing participants and the Exchange. The Exchange independently opens, maintains and closes recording accounts upon assigning the Exchange member the status of a clearing participant, carrying out activities as a clearing participant and depriving him of the status of a clearing participant, respectively.

7. When opening, maintaining and closing recording accounts, the Exchange's Clearing House is guided by the documents of clearing participants provided by them to the Exchange in accordance with the requirements established by the Exchange's internal document "Regulations on Membership", including:

list of traders;

document with sample signatures.

Additional actions on the part of the clearing participant to open, maintain or close recording account are not required.

8. Recording accounts for a clearing participant are opened by the Exchange no later than one business day after the day the member of the Exchange is assigned the status of a clearing participant in any market. The basis for opening an account is the fact that the member of the Exchange has been assigned the specified status.

Accounts of the collateral pool are opened by the Exchange no later than one business day after the day the Exchange receives the clearing participant's application for joining the collateral pool agreement. The basis for opening a collateral pool account is the notification of the Clearing House of the Exchange about the receipt of this application (*this item was included by a decision of the Exchange's Management Board dated July 28, 2022*).

9. When opening an account for a clearing participant, the Exchange assigns it a unique number containing a registration code assigned to this clearing participant upon joining the Exchange, a sign of the account currency, and allowing to uniquely identify this clearing participant and the type of account.

10. For each clearing participant separately on each exchange market, the Exchange opens the following recording accounts:

1) one consolidated recording account for the general accounting of money transferred by the clearing participant to the correspondent accounts of the Exchange in each currency;

2) one recording account for accounting of money intended for securing and executing transactions concluded by him on the Exchange on his own behalf and in his own interests (own account);

3) one recording account for accounting of money intended to secure and execute transactions concluded by him on the Exchange on behalf of and in the interests of his clients (aggregated client account);

for a clearing participant providing its clients with a SMA access (sponsored access) to the trading and clearing system of the Exchange, several accounting accounts can be opened to account money intended to secure and execute transactions they closed on the Exchange on behalf and to the benefit of its clients (aggregated client accounts) (*this paragraph was included by a decision of the Exchange's Management Board dated August 03, 2023*);

4) one recording account for accounting of money intended for collateral and execution of transactions of the custodian clients of the clearing participant – only opened for the clearing participant who is the user of the control and collateral system (aggregated custodian account);

- 5) for each type of collateral pool – one account for accounting of own money contributed by clearing participants to the respective collateral pools as collateral for the issuance of general collateral certificates, and one account for aggregated accounting of client money contributed by clearing participants to the relevant collateral pools as collateral for the issuance of general collateral certificates (*this sub-item was included by a decision of the Exchange's Management Board dated July 28, 2022*).
- 10-1. For a clearing participant on the stock market who is a participant in the system for ensuring completeness of settlements of the National Bank of the Republic of Kazakhstan for interbank transactions (hereinafter referred to as the System) carried out on the territory of the Republic of Kazakhstan in the Interbank Payment Card System (hereinafter referred to as the IBPCS), the Exchange opens a separate aggregated client account in Kazakhstan tenge (hereinafter referred to as the IBPCS collateral account), for accounting the money contributed by this clearing participant as a collateral to complete settlements in the System.
- The IBPCS collateral account is opened by the Exchange no later than one business day after the day the Exchange receives a notice about opening of the collateral account with Central Securities Depository JSC. Basis to open the IBPCS collateral account is an information message from the Clearing House of the Exchange about receipt of this notice.
- (This item was included by a decision of the Exchange's Management Board dated August 03, 2023)*
11. The Exchange opens one recording account to account for the claims and obligations of the Exchange as the central counterparty in each exchange market, in which the Exchange performs the functions of the central counterparty, in tenge and in each foreign currency and one recording account for each correspondent account of the Exchange in order to record balances and movement of money in the context of each separate correspondent account of the Exchange (*this item was changed by a decision of the Exchange's Board of Directors dated November 26, 2020*);
 12. For the purpose of separate accounting of money for various operations carried out on correspondent accounts of the Exchange, as well as when the Exchange carries out the activities of the central counterparty, separate sub-accounts are opened and maintained within the recording accounts in tenge and foreign currencies, including:
 - 1) to account for collateral for exchange transactions that are opened within the recording accounts specified in sub-items 2) -4) of item 10 of these Rules;
 - 2) to record the contributions of clearing participants to the guarantee fund of each exchange market, which are opened within the recording collection accounts;
 - 3) for the general accounting of guarantee fees of all clearing participants, separately for each exchange market, which are opened within the Exchange's recording accounts;
 - 4) to account for fines, penalties, forfeit, which are opened as the corresponding sanctions are applied to clearing participants;
 - 5) to account for money received on the Exchange's correspondent accounts, the purpose of which cannot be unambiguously determined based on the accompanying payment documents that are opened within the Exchange's recording accounts and collection recording accounts of clearing participants;
 - 6) other sub-accounts to ensure maximum segregation and transparency of the movement of money on the correspondent accounts of the Exchange, that is opened as needed.
 13. If the internal documents of the Exchange for any exchange market provide for the conclusion of transactions, the provision of collateral or the formation of guarantee funds in several currencies, then the recording accounts and/or sub-accounts specified in articles 10, 11 and 12 of these Rules are opened separately in each currency.
 14. The recording accounts opened for a clearing participant are closed by the Clearing House of the Exchange no later than one business day after it has been deprived of its status as a clearing participant in any market or when it is removed from trading in all financial instruments denominated in any currency. Accounting accounts are closed provided that there are no unfulfilled obligations and balances on the corresponding closed accounts. In other cases, the Exchange notifies the clearing participant on the existence of such obligations or balances and

closes the accounts on the next business day after the fulfillment of these obligations and the withdrawal of these balances *(this item was changed by a decision of the Exchange's Management Board dated July 28, 2022)*.

15. The Exchange does not notify clearing participants about the opening or closing of their recording accounts, since such accounts are used by the Exchange solely for maintaining internal accounting of the receipt and withdrawal of money on the Exchange's correspondent accounts.

Section 3. MAINTENANCE OF ACCOUNTS AND SUB-ACCOUNTS

16. The following documents are grounds for making entries in the Exchange's internal accounting system reflecting the movement of money in correspondent accounts of the Exchange, as well as for writing off or crediting money on recording accounts (subaccounts) of clearing participants:

- 1) relevant extracts and other payment documents provided by correspondent banks of the Exchange, received through the system of exchange of electronic documents between the Exchange and the correspondent bank of the Exchange and confirming the operations of crediting and debiting money on the correspondent accounts of the Exchange;
- 2) reports or other documents on clearing results indicating the values of claims and obligations of clearing participants and the Exchange, drawn up in accordance with the Exchange internal document "Rules for Clearing Transactions in Financial Instruments" (hereinafter - the Clearing Rules);
- 3) applications of clearing participants, provided that the operation specified in the application can be performed by the Exchange in accordance with the Settlement Rules, Clearing Rules and these Rules *(this sub-item was changed by a decision of the Exchange's Management Board of June 11, 2021)*.

17. Reflection on recording accounts of operations of crediting and debiting money on correspondent accounts of the Exchange is carried out by the Exchange's Clearing House after receiving and processing the documents specified in sub-items 1) - 3) of this item, no later than the end of the business day following the day of actual movement of money through correspondent accounts of the Exchange. In this case, the date of operations for crediting and debiting money on recording accounts is the date of the movement of money through the correspondent accounts of the Exchange, the date specified in the document on the results of clearing, or in the application of the clearing participant on the transfer of collateral between the exchange markets and between the accounts of the clearing participant *(this item was changed by decisions of the Exchange's Management Board of June 11, 2021 and September 27, 2021)*.

18. The distribution of money received to the correspondent accounts of the Exchange among individual subaccounts of the clearing participant's account is carried out by the Clearing House of the Exchange taking into account the information contained in the payment documents received by the Exchange.

19. Any application of a clearing participant is drawn up and submitted to the Exchange in the forms determined by the Settlement Rules, these Rules, and in the absence of established forms - in any form *(this item was changed by a decision of the Exchange's Management Board of June 11, 2021)*.

Unless otherwise established by other internal documents of the Exchange, the applications specified in the first item of this article must be signed by persons having the right of the first and second (if any) signatures of the clearing participant. In this case, the specified signatures must correspond to the document with the sample signatures of the clearing participant available at the Exchange.

In case of submission to the Exchange of applications from clearing participants by traders and other authorized employees of these clearing participants, such applications must be signed

(this item was changed by a decision of the Exchange's Board of Directors dated November 26, 2020);

- by traders - in accordance with the List of Traders presented in accordance with the Exchange's internal document "Regulations on Membership" *(this item was changed by a decision of the Exchange's Board of Directors dated November 26, 2020);*
- other authorized employees of clearing participants - in accordance with a power of attorney presented in the form of Appendix 2 to these Rules *(this item was changed by a decision of the Exchange's Board of Directors dated November 26, 2020);*

The applications specified in the first item of this article must be submitted to the Exchange:

- 1) in electronic form in the systems used by the Exchange for the exchange of electronic documents using an electronic digital signature, or
 - 2) in the form of a paper document.
20. Any application of a clearing participant is subject to execution after verification of the possibility of such execution, only with the permission of the Director of the Clearing House of the Exchange or his deputy.
21. Information about the balances and movement of money on the recording accounts of clearing participants is transmitted to the trading and clearing systems of the Exchange:
- 1) before the start of trading on each exchange market;
 - 2) during the operation of the Exchange's trading and clearing systems when crediting or debiting money from correspondent accounts of the Exchange in favor of clearing participants upon their applications and when reflecting these operations on the recording accounts of clearing participants;
 - 3) based on the results of calculations after each clearing session on each exchange market.

(This item was changed by a decision of the Exchange's Board of Directors dated November 26, 2020)

22. All information about opening, maintaining, closing recording accounts, about all operations performed on all recording accounts shall be stored in the Exchange accounting system. The storage period for this information is not limited.
23. Upon receipt by the Clearing House of information on the inclusion of the clearing participant (its beneficial owner) and/or the client of the clearing participant in the list of persons involved in terrorist activities, in the list of organizations and persons associated with the financing of terrorism and extremism, in the list of organizations and persons associated with financing the proliferation of weapons of mass destruction, the Clearing House, in the manner and terms provided for by the Exchange's internal documents on countering the legalization (laundering) of proceeds from crime, and terrorism financing, terminates any operations to write off money from the correspondent accounts of the Exchange in favor of such a clearing participant and related operations to write off money from the recording accounts of the clearing participant in the accounting system in accordance with the Exchange's internal document governing the procedure for freezing customer transactions *(this item was changed by a decision of the Exchange's Board of Directors dated November 26, 2020);*
24. The Exchange resumes operations terminated in accordance with item 23 of these Rules, in accordance with the legislation of the Republic of Kazakhstan on combating the legalization (laundering) of criminally obtained incomes and financing of terrorism and the Exchange's internal documents on combating the legalization (laundering) of criminally obtained incomes and terrorist financing *(this item was changed by a decision of the Exchange's Board of Directors dated November 26, 2020);*

Section 3.1. TRANSFER OF COLLATERAL OF CLEARING PARTICIPANTS BETWEEN EXCHANGE MARKETS

- 24-1. A clearing participant, in order to manage the collateral, denominated in Kazakh tenge and/or in foreign currencies and put on the correspondent accounts of the Exchange, has the right to submit to the Exchange applications for transferring all or part of this collateral between the exchange markets.

Transfer operations between exchange markets in relation to the collateral of clearing participants are carried out by the Exchange on the basis of applications of clearing participants for transfer of collateral between exchange markets and between the accounts of a clearing participant, drawn up in the form of Appendix 3 to these Rules (*this item was changed by a decision of the Exchange's Management Board of September 27, 2021*).

- 24-2. Transfer operations between exchange markets in relation to the collateral of clearing participants can be carried out only on the accounts of the same clearing participant in the same currency.

A clearing participant has the right to submit an application for transfer of collateral between exchange markets for the distribution of collateral between the following accounts:

between own record accounts;

between aggregated customer record accounts;

between own and aggregated client record accounts.

- 24-3. An application for transfer of collateral between exchange markets and between accounts of the clearing participant is submitted by the clearing participant to the Exchange in electronic form in XML format in information transfer system "eTransfer.kz" or in web application of the Exchange performing functions of the clearing participant's account KASEWebSettlement using an electronic digital signature of a trader or another authorized employee of the clearing participant (*this item was changed by decisions of the Exchange's Management Board of September 27, 2021 and August 03, 2023*).

- 24-4. Time for the Exchange to accept applications from clearing participants for transfer of the collateral between exchange markets and between accounts of a clearing participant is from 10:30 a.m. to 05:30 p.m. Astana time (*this item was changed by decisions of the Exchange's Management Board of September 27, 2021 and August 03, 2023*).

- 24-5. In the application for transfer of collateral between the exchange markets and between the accounts of the clearing participant, drawn up in the form of Appendix 3 to these Rules, special codes must be indicated to identify the purpose of the operation, in order to determine the record accounts of the clearing participant, between which the collateral of this clearing participant is transferred.

The list of such codes for each type of exchange market is approved by a member of the Exchange's Management Board in charge of the Exchange's settlement division, and is published on the Exchange's website (www.kase.kz).

(This item was changed by a decision of the Exchange's Management Board of September 27, 2021)

(This section was included by a decision of the Exchange's Management Board of June 11, 2021)

Section 3.2. TRANSFER OF COLLATERAL OF CLEARING PARTICIPANTS BETWEEN THEIR ACCOUNTS

- 24-6. A clearing participant, in order to manage collateral, denominated in Kazakh tenge and/or in foreign currencies and put on the correspondent accounts of the Exchange, has the right to submit applications to the Exchange for transferring all or part of this collateral between its own and aggregated client account.

Transfer operations between the accounts of a clearing participant in relation to the collateral of this clearing participant are carried out by the Exchange on the basis of the clearing participant's application for the transfer of collateral between the exchange markets and between the accounts of the clearing participant, drawn up in the form of Appendix 3 to these Rules.

- 24-7. Transfer operations between the accounts of a clearing participant in relation to the collateral of this clearing participant can be carried out only on the accounts of the same clearing participant in the same currency.
- 24-8. An application for transfer of the collateral between exchange markets and between accounts of the clearing participant is submitted by the clearing participant to the Exchange in electronic form in XML format in the information transfer system "eTransfer.kz" or in web application of the Exchange performing functions of the clearing participant's account KASEWebSettlement using an electronic digital signature of a trader or another authorized employee of a clearing participant (*this item was changed by a decision of the Exchange's Management Board of August 03, 2023*).
- 24-9. Time for the Exchange to accept applications from clearing participants for transfer of the collateral between exchange markets and between accounts of a clearing participant is from 10:30 a.m. to 05:30 p.m. Astana time (*this item was changed by a decision of the Exchange's Management Board of August 03, 2023*).
- 24-10. In the application for transfer of collateral between the exchange markets and between the accounts of a clearing participant, drawn up in the form of Appendix 3 to these Rules, special codes must be indicated to identify the purpose of the operation, in order to determine the accounting accounts of the clearing participant between which the collateral of this clearing participant is transferred.

The list of such codes for each type of the exchange market is approved by the member of the Exchange's Management Board in charge of the Exchange's settlement division, and is published on the Exchange Internet resource (www.kase.kz).

(This section was included by a decision of the Exchange's Management Board of September 27, 2021)

Section 4. BALANCE RECONCILIATION

25. Every day, after the processing of statements and other payment documents confirming the operations of crediting and debiting money on the correspondent accounts of the Exchange and the reflection of these operations on the recording accounts for the previous working day, the Clearing House of the Exchange reconciles the records on the recording accounts with the statements on the correspondent accounts of the Exchange provided Exchange by its correspondent banks.

In case of revealing the specified discrepancies, the Clearing House shall adjust the records in the accounting system in accordance with the statements of the correspondent accounts of the Exchange (*this item was included by a decision of the Exchange's Board of Directors dated November 26, 2020*);

- 25-1. Every day, prior to the start of trading on exchange markets, the Settlement House and the Clearing House of the Exchange reconcile the balances on the accounting and corresponding trading and clearing accounts of the clearing participants as of the end of the previous day.

In the event of discrepancies in cash balances:

- 1) upon detection of the fact of incorrect reflection of transactions in the accounting system, the Clearing House adjusts the records in the accounting system in order to equalize the balances on the accounting accounts with the balances on the trading and clearing accounts;

- 2) if the balances on the recording accounts are correct, the Settlement House notifies the Clearing House by e-mail about the need to equalize the balances on the trading and clearing accounts, in accordance with the balances on the recording accounts.

(This item was included by a decision of the Exchange's Management Board dated July 28, 2022)

26. Annually, no later than January 15, between the clearing participant and the Exchange, the balances of money on the recording accounts of the clearing participant are reconciled as of January 1, if there are such balances.
27. A clearing participant has the right to carry out, upon written request, an unscheduled reconciliation of the data of its own accounting of money transferred by it to the correspondent accounts of the Exchange with the data of the Exchange's accounting system, at any time, at the end of any settlement day.
28. The results of the reconciliation of the balances of money are drawn up in the act of reconciliation of money according to the form of appendix 1 to these Rules, which, at the choice of the clearing participant:
 - 1) is transmitted electronically in the systems used by the Exchange for the exchange of electronic documents using an electronic digital signature, or
 - 2) is drawn up on paper and signed by authorized representatives of the parties carrying out the reconciliation.

(This item was changed by a decision of the Exchange's Management Board of September 27, 2021)

29. A clearing participant has the right to receive, upon his written request, information on the balances of money on the recording accounts of this clearing participant, at any time, for any periods or at the end of any settlement day. Information on the cash balances on the recording accounts of the clearing participant at the choice of the clearing participant:
 - 1) transmitted electronically in the systems used by the Exchange for the exchange of electronic documents using an electronic digital signature, or
 - 2) issued on paper.

Section 5. FINAL PROVISIONS

30. These Rules are subject to updating as necessary, but at least once every five years. The responsibility for updating the Rules rests with the Clearing House of the Exchange.

Chairperson of the Management Board

A. Aldambergen

Appendix 1

to the Rules for internal accounting of money and paperwork for settlements of exchange trading (*this heading was changed by a decision of the Exchange's Board of Directors dated November 26, 2020*);

MONEY RECONCILIATION ACT
as of the end of the day of the XX month of the XXXX year

[date and time of compilation by the Exchange]

[outgoing registration number of the Exchange]

Kazakhstan Stock Exchange JSC (hereinafter – the Exchange), BIC – KICEKZKX, from the one part and _____

(full name of the clearing participant)

(full address of the clearing participant, BIC of the clearing participant (if any))

on the other part, they have drawn up and signed this Act stating that they have made a reconciliation of the data of accounting systems on the balances of money on the recording accounts of clearing participants.

Item No.	Account name	Currency	Amount	Note on discrepancies
		(currency code *)		

* An alphabetic three-letter code designation of the currency for which the recording account is opened.

From the Exchange

From the clearing participant:

[Position of authorized employee] (*this line was changed by a decision of the Exchange's Board of Directors dated November 26, 2020*);

[Chief executive's position]

[surname, initials]

[signature]

[surname, initials]

[signature]

[Position of authorized employee] (*this line was changed by a decision of the Exchange's Board of Directors dated November 26, 2020*);

[Position of the chief accountant]

[surname, initials]

[signature]

[surname, initials]

[signature]

Appendix 2

to the Rules for internal
accounting of money and
paperwork for settlements of
exchange trading

(this appendix was changed by a decision of the Exchange's Board of Directors dated November 26, 2020);

POWER OF ATTORNEY № ___

Date

city of Almaty

(full name, BIN of the clearing participant)

hereinafter referred to as the "Principal", represented by the Chairman of the Principal's Management Board ... acting on the basis of the Principal's charter, hereby authorizes ... *(surname, name, patronymic, position of the authorized employee of the clearing participant) (identity card No. ..., issued by, date of issue, IIN ...)*, hereinafter referred to as the "Attorney", to sign, send, submit, on behalf of the Principal, applications related with the implementation of settlements for transactions with the central counterparty on

_____ market.

(type of exchange market)

Signature example _____

(Last name, first name, patronymic (if any) of the authorized employee of the clearing participant)

The powers under this power of attorney cannot be transferred by the Attorney to other persons.

This power of attorney is issued for a period of _____ (inclusive).

(date, month, year)

[Chief executive's position]

[surname, initials]

[signature]

[Chief accountant's position]

[surname, initials]

[signature]

Appendix 3

to the Rules for internal accounting of money and paperwork for settlements of exchange trading

(This appendix was included by a decision of the Exchange's Management Board of June 11, 2021)

APPLICATION

for transfer of collateral between exchange markets and between the accounts of a clearing participant

(This heading was changed by a decision of the Exchange's Management Board of September 27, 2021)

XML file generation specification

The encoding is **utf-8**.

The file requires a mandatory immutable header:

<?xml version = "1.0" encoding = "utf-8"?>

Example file name: **XML26KASPI55.xml**

File name composition	Description of file name sections
Format name	Always XML26
Clearing participant code	5 symbols. For example: KASPI
Message sequence number	Always equal to the value in the "NUMBER" field inside the message

All tags of the file are contained in the root **<MESSAGE>** tag. All tags are required, even if the value is empty. Upper case is used.

Tags	Description of tags inside the file
<NUMBER>	Mandatory. Unique sequence number of the message
<DATETIME>	Mandatory. Date and time of the message formation in the format dd.mm.yyyy hh24: mi: ss, for example: 07.07.2021 11:00:55
<FIRMCODE>	Mandatory. Clearing member code
<BIN>	BIN, if available
<CURRENCY>	Mandatory. Currency code in international format, for example: KZT
<AMOUNT>	Withdrawal amount, for example, 3000.00
<ACCOUNTTYPEDT>	Mandatory. A special identification code for the purpose of the operation to select an accounting account, which will reflect information about the write-off of collateral,
<ACCOUNTTYPEKT>	Mandatory. A special identification code for the purpose of the operation to select an accounting account, which will reflect information about the crediting of collateral,
TRADER>	Mandatory. Surname, name, patronymic (if any) of the trader or authorized employee in full, in Cyrillic.

Example of filling XML26 file:

File name:

XML26KASPI55.xml

Text:

```
<?xml version="1.0" encoding="utf-8"?>
<MESSAGE>
  <NUMBER>55</NUMBER>
  <DATETIME>07.07.2021 11:00:55</DATETIME>
  <FIRMCODE>KASPI</FIRMCODE>
  <BIN>971240001315</BIN>
  <CURRENCY>KZT</CURRENCY>
  <AMOUNT>3000.00</AMOUNT>
  <ACCOUNTTYPEPEDT>FXOWN</ACCOUNTTYPEPEDT>
  <ACCOUNTTYPEKT>OWNI</ACCOUNTTYPEKT>
  <TRADER>John Smith</TRADER>
</MESSAGE>
```