KAZAKHSTAN STOCK EXCHANGE JSC

A p p r o v e d

by a decision of the Management Board of
Kazakhstan Stock Exchange JSC

(minutes No. 73 of the meeting
on June 2, 2020)

Effective

from August 3, 2020

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.

INSTRUCTION

on the procedure for assigning codes to members of Kazakhstan Stock Exchange JSC and their accounts, users of trading systems, participants and digital instruments of the digital asset platform and digital financial assets, issuers of securities and financial instruments

(This heading was changed by the decision of the Exchange's Management Board dated September 15, 2026)

Almaty

2020

LIST OF AMENDMENTS

1. **Amendments No. 1:**
   - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 136 of the meeting on October 8, 2020);
   - effective from October 9, 2020.
2. **Amendments No. 2:**
   - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 142 of the meeting on October 22, 2020);
   - effective from November 30, 2020.
3. **Amendments No. 3:**
   - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 4 of the meeting on January 21, 2021);
   - effective from January 22, 2021.
4. **Amendments No. 4:**
   - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 57 of the meeting on June 11, 2021);
   - effective from June 14, 2021.
5. **Amendments No. № 5:**
   - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 59 of the meeting on June 15, 2021);
   - effective from July 7, 2021.
6. **Amendments No. 6:**
   - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 61 of the meeting on June 23, 2021);
   - effective from July 1, 2021.
7. **Amendment No. 7:**
   - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 115 of the meeting on November 2, 2021);
   - effective from November 3, 2021.
8. **Amendment No. 8:**
   - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 134 of the meeting on December 15, 2021);
   - effective from January 5, 2022.
9. **Amendment No. 9:**
   - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 66 of the meeting on May 19, 2022);
   - effective from May 23, 2022.
10. **Amendment No. 10:**
    - approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 91 of the meeting on July 28, 2022);
    - effective from August 22, 2022.

11. Amendments No. 11:

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 121 of the meeting on October 20, 2022);

– effective from October 26, 2022.

12. Amendments No. 12:

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 85 of the meeting on August 15, 2023);

– effective from September 25, 2023.

13. Amendments No. 13:

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 130 of the meeting on November 24, 2023);

– effective from November 27, 2023.

14. Amendments No. 14:

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 147 of the meeting on December 12, 2024);

– effective from January 05, 2025.

15. Amendments No. 15:

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 68 of the meeting on July 15, 2025);

– effective from August 01, 2025.

16. Amendments No. 16:

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 10 of the meeting on January 29, 2026);

– effective from January 30, 2026.

17. Amendment No. 17:

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 22 of the meeting on February 26, 2026);

– effective from the date of entry into force of changes and additions No. 5 to the Rules for providing access to the Exchange's trading systems, approved by the decision of the Exchange's Board of Directors (minutes No. 8 of the meeting of March 17, 2020).

18. Amendments No. 18:

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 39 of the meeting on April 07, 2026);

– effective from April 07, 2026.

19. Amendments No. 19:

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 66 of the meeting on June 11, 2026);

– effective from July 01, 2026.

20. Amendments No. 20

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 91 of the meeting on August 4, 2026);

– effective from August 4, 2026.

21. Amendments No. 21

– approved by a decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes No. 111 of the meeting on September 15, 2026);

– effective from September 15, 2026.

22. Amendments No. 22:

– approved by decision of the Management Board of Kazakhstan Stock Exchange JSC (minutes of meeting dated October 1, 2026, No. 123);

– effective from October 6, 2026.

This Instruction defines the procedure for assigning abbreviated designations (hereinafter referred to as codes) to members of Kazakhstan Stock Exchange JSC (hereinafter referred to as the Exchange) and their accounts, users of trading systems (hereinafter collectively referred to as the trading system), participants and digital instruments of the digital asset and digital financial asset platform (hereinafter referred to as the DA and DFA platforms), issuers of securities and financial instruments.

The codes are used to identify members of the Exchange, financial instruments and users in the trading system, participants and digital instruments of the DA and DFA platforms, as well as during the implementation of information activities by the Exchange in order to optimize the amount of information disseminated by the Exchange.

The terms used in this Instruction shall have the meaning given to them in this Instruction and other internal documents of the Exchange.

(This preamble was changed by the decisions of the Exchange's Management Board dated May 19, 2026 and September 15, 2026)

Article 1. Requirements for codes assigned to members of the Exchange

1. A code to a member of the Exchange as a trading participant is assigned by the Exchange's division that monitors members of the Exchange in the following order:

   1) the code must consist of five symbols which are capital letters of the Latin alphabet (given the feature established by sub-clause 4) of this clause, and with the exception of the case established by sub-clause 1-1) of this clause) *(this sub-item was changed by a decision of the Exchange's Management Board dated December 12, 2024)*;

   1-1) if a member of the Exchange is a participant in the electronic trading system, code of this member:

   must consist of six symbols, four of which are capital letters of the Latin alphabet;

   shall be supplemented to the right by symbols "_T";

   (this sub-item was included by a decision of the Exchange's Management Board dated December 12, 2024)

   2) the code must be drawn up on the basis of its name and must be close to it in sound;

   3) if members of the Exchange of different organizational and legal forms have the same or similar names, it is allowed to use letters in the codes of these members of the Exchange that reflect their organizational and legal form;

   4) it shall be allowed to use in the code of a member of the Exchange, starting from the second position from the left, the symbol "_" (underscore) (except for the case established by sub-clause 1-1) of this clause) *(this sub-item was changed by a decision of the Exchange's Management Board dated December 12, 2024)*;

   5) it is prohibited to assign identical or confusingly similar codes to various members of the Exchange;

   6) if the name of a member of the Exchange is changed, the code previously assigned to him is not subject to change.

2. The code of a member of the Exchange as a user of the control and collateral system is determined by the Exchange's division that organizes trades and consists of:

   1) the code of the member of the Exchange;

2) character "_" (underscore);

3) the letters "K".

3. The Exchange's division that monitors members of the Exchange assigns a registration number to a member of the Exchange of the "currency market" and "derivatives market" categories in accordance with the sequence of its admission to the Exchange membership.

The registration number of a member of the Exchange of the "foreign exchange market" and "derivatives market" categories consists of three digits. If the registration number is less than 100, then the digits denoting such a number are padded on the left with one or more zeros so that the total number of these digits is three.

3-1. The division of the Exchange that organizes trading assigns to the Exchange member of the "derivatives market" category the code of the settlement company and the settlement code for accounting for own and client funds *(this item was included by the decision of the Exchange's Management Board dated June 15, 2021)*.

3-2. The code of the settlement firm of a member of the Exchange of the "derivatives market" category consists of two characters, which can be used as numbers or uppercase letters of the Latin alphabet. At the same time, for banks, the code of the settlement company corresponds to the last two digits of its registration number, for a brokerage organization, the code of the settlement company corresponds to the first two characters of its trading code *(This item was included by a decision of the Exchange's Management Board dated June 15, 2021)*.

3-3. The settlement code of a member of the Exchange of the "derivatives market" category for accounting for own funds consists of five characters corresponding to the first five characters of the sub-account of such a member of the Exchange in the accounting system of the Central Securities Depository.

If a member of the Exchange does not have a sub-account in the Central Securities Depository of the "derivatives market" category, the settlement code of such a member of the Exchange consists of a five-digit number, starting from 99999 in descending order.

(This item was included by a decision of the Exchange's Management Board dated June 15, 2021)

3-4. The settlement code of the Exchange member of the "derivatives market" category for accounting for client funds consists of::

1) digits "5";

2) four symbols corresponding to the symbols from the second to the fifth subaccount of such an Exchange member in the accounting system of the Central Securities Depository.

(This item was included by a decision of the Exchange's Management Board dated June 15, 2021)

4. A member of the Exchange who is simultaneously a trading participant and the user of the control and collateral system, are assigned two different identification codes in accordance with items 1 and 2 of this article.

Article 1-1. Requirements for codes assigned to trading participants of the DA and DFA platforms

A code of the trading participant of the DA and DFA platform is assigned by the division Client Relations Office in the following order:

1) the code must consist of five characters, which must be capital letters of the Latin alphabet;

2) the first symbol of the code is the letter "D", which is the sign of the code of the trading participant of the DA and DFA platform;

3) the next four symbols from the second to the fifth position are determined based on the name of the trading participant and should be close to it in sound;

4) it is prohibited to assign identical or confusingly similar codes to different trading participants;

5) if trading participants of different organizational and legal forms have the same or similar names, it is permitted to use letters in the data codes of trading participants that reflect their organizational and legal form;

6) when the name of a trading participant changes, the code previously assigned to it is not subject to change, unless otherwise determined by the Management Board.

(This article was included by the decision of the Exchange's Management Board dated September 15, 2026)

Article 2. Trading system user codes

The trading system user Code (hereinafter referred to as the short code in relation to the trading system user) is determined by appendices 1 and 3 to this Instruction depending to which trading system such user is granted an access.

(This article was changed by decisions of the Exchange's Management Board dated June 15, 2021 and August 15, 2023)

Article 2-1. Codes of clients of members of the Exchange of the "currency" category

1. Assignment of a client code to a member of the Exchange of the "currency" category may be carried out depending on the conditions established in the internal document of the Exchange, which determines the procedure for using trading and clearing accounts *(this item was changed by a decision of the Exchange's Management Board dated January 29, 2026)*.

2. The client code assigned depending on the conditions provided for in the first option consists of *(this paragraph was changed by a decision of the Exchange's Management Board dated January 29, 2026)*:

   1) capital letters of the Latin alphabet, identical to the letters of the identification code of the member of the Exchange representing interests of a first level client, and located before the "_" (underscore) symbol (if any);

   2) numbers "0" (or a combination of several zeros), if the number of letters in the identification code of a member of the Exchange is less than five characters;

   3) digits "01";

   4) five symbols denoting an individual number of the first level client according to data of such member of the Exchange *(this sub-item was changed by a decision of the Exchange's Management Board dated August 15, 2023)*.

3. The client code assigned depending on the conditions provided for in the second option corresponds to the client code opened in the accounting system of the Central Depository *(this sub-item was changed by decisions of the Exchange's Management Board dated August 15, 2023 and January 29, 2026)*.

4. *(This item was excluded by a decision of the Exchange's Management Board dated August 15, 2023)*.

(This article was included by a decision of the Exchange's Management Board dated October 22, 2020)

Article 2-2. Codes of unique identification numbers of Exchange members of the "derivatives market" category and their clients

1. The code of the unique identification number of a member of the Exchange of the "derivatives market" category consists of:
   1) five characters that make up the settlement code of a member of the Exchange of the "derivatives market" category for accounting for own funds;
   2) digits "00";
   3) five digits indicating the serial number of such a code (taking into account the specifics established by paragraph 3 of this article).
2. The code of the unique identification number of the client of a member of the Exchange of the "derivatives market" category consists of:
   1) five characters that make up the settlement code of the Exchange member of the "derivatives market" category for accounting for client funds;
   2) digits "01";
   3) five digits indicating the serial number of such a code (taking into account the specifics established by paragraph 3 of this article).
3. If the sequence number of the unique identification number code is less than 10,000, then the digits indicating such a number are supplemented on the left with one or more zeros so that the total number of these digits is five.

(This article was included by a decision of the Exchange's Management Board dated June 15, 2021)

Article 3. Account codes of members of the Exchange

1. *(This item was excluded by a decision of the Exchange's Management Board dated August 15, 2023)*.
2. *(This item was excluded by a decision of the Exchange's Management Board dated August 15, 2023)*.
3. *(This item was excluded by a decision of the Exchange's Management Board dated August 15, 2023)*.
4. Ten-digit numbers of the corresponding sub-accounts in the accounting system of the Central Depository, sent by the latter to the Exchange's trading system by a message in the format provided for by the agreement on servicing the trading operator, concluded with the Central Depository, are used as components of the symbols of the account codes of a trading participant in the stock market.
5. The code of own first-level account of a stock market participant consists of:
   1) the letters "S";
   2) symbol "+" in case of concluding purchase and sale transactions and carrying out repo operations in trading modes with the CCP, or

      digit "0" in case of concluding purchase and sale transactions and performing direct repo operations, as well as automatic repo operations for sale of the subject of such operation, or

      letter "R" in case of automatic repo operations for purchase of the subject of such operation in trading modes without a CCP;

   (this sub-item was changed by a decision of the Exchange's Management Board dated August 15, 2023)

3) ten-digit number of own sub-account in the accounting system of the Central Depository.

6. The code of the own account of the collateral pool of a stock market participant consists of:

1) the letters "S";

2) a variable symbol denoting the type of collateral pool of the general collateral certificate;

3) ten-digit number of own sub-account in the accounting system of the Central Depository.

7. The code of a client's first-level segregated account of a trading participant of the stock market consists of:

1) the letters "I";

2) symbol "+" in case of concluding purchase and sale transactions and carrying out repo operations in trading modes with the CCP, or

numbers "0" in case of concluding purchase and sale transactions and performing direct repo operations, as well as automatic repo operations for sale of the subject of such operation, or

letter "R" in case of automatic repo operations for purchase of the subject of such operation in trading modes without a CCP;

(this sub-item was changed by a decision of the Exchange's Management Board dated August 15, 2023)

3) ten-digit number of the respective client sub-account in the accounting system of the Central Depository.

8. The code of the client segregated account of the collateral pool of a stock market participant consists of:

1) the letter "I";

2) a variable symbol denoting the type of collateral pool of the general collateral certificate;

3) ten-digit number of own sub-account in the accounting system of the Central Depository.

9. The code of the client account of a stock market participant for aggregate position accounting consists of:

1) the letter "O";

2) symbol "+" in case of concluding purchase and sale transactions and carrying out repo operations in trading modes with a CCP, or

numbers "0" in case of concluding purchase and sale transactions and performing direct repo operations, as well as automatic repo operations for sale of the subject of such operation, or

letter "R" in case of automatic repo operations for purchase of the subject of such operation in trading modes without a CCP;

(this sub-item was changed by a decision of the Exchange's Management Board dated August 15, 2023)

3) ten-digit number of the respective client sub-account in the accounting system of the Central Depository.

9-1. The code of the first-level segregated client account of a trading participant, intended for participation in trading of general collateral certificates which collateral pool includes carbon units, consists of:

1) the letter "I";

2) characters "+Y" or "0Y";

3) a four-digit number of the own sub-account in the Central Depository's accounting system, starting with the second character;

4) five digits denoting the serial number of trading participant's segregated client account.

(This paragraph was included by decision of the Exchange's Management Board dated October 1, 2026)

9-2. The code of a trading participant's client account for aggregated recording of positions, intended for participation in trading of general collateral certificates which collateral pool includes carbon units, consists of:

1) the letter "O";

2) characters "+Y" or "0Y";

3) a four-digit number of the own sub-account in the Central Depository's accounting system, starting with the second character;

4) five digits denoting the serial number of a trading participant's client account for aggregated recording of positions.".

(This paragraph was included by decision of the Exchange's Management Board dated October 1, 2026)

10. The code of the client account of the collateral pool of a stock market trading participant for the aggregated accounting of positions consists of:

1) the letter "O";

2) a variable symbol denoting the type of collateral pool of the general collateral certificate;

3) ten-digit number of own sub-account in the accounting system of the Central Depository.

11. The code of the first-level client segregated account of a user of the control and collateral system consists of:

1) the letter "C";

2) symbol "+" in case of concluding purchase and sale transactions and carrying out repo operations in trading modes with a CCP, or

numbers "0" in case of concluding purchase and sale transactions and performing direct repo operations, as well as automatic repo operations for sale of the subject of such operation, or

letter "R" in case of automatic repo operations for purchase of the subject of such operation in trading modes without a CCP;

(this sub-item was changed by a decision of the Exchange's Management Board dated August 15, 2023)

3) ten-digit number of the respective client sub-account in the accounting system of the Central Depository.

12. The code of the client segregated account of the collateral pool of a user of the control and collateral system consists of:

1) the letter "C";

2) a variable symbol denoting the type of collateral pool of the general collateral certificate;

3) ten-digit number of own sub-account in the accounting system of the Central Depository.

13. The code of the client's aggregated account of a stock market participant consists of:

1) "L+" symbols, if the client account is opened to a trading participant, or "K+" symbols, if the client account is opened to a user of the control and security system for the purpose of concluding transactions in trading modes with a CCP, or

symbols "L0", if the client account is opened to a trading participant, or "K0" symbols, if the client account is opened to a user of the control and security system for the purpose of concluding transactions in trading modes without a CCP;

(this sub-item was changed by a decision of the Exchange's Management Board dated August 15, 2023)

2) a ten-digit number of the corresponding own sub-account of the trading participant in the accounting system of the Central Depository.

14. Code of the second level own account of a stock market trading participant, used for concluding transactions in trading modes with a CCP, consists of *(this paragraph was changed by a decision of the Exchange's Management Board dated August 15, 2023)*:

1) symbols "S+";

2) the number "2", meaning the second-level of the trading account;

3) two digits indicating the serial number of the second-level account (taking into account the specifics established by item 24 of this article);

4) the first two letters of the Latin alphabet, identical to the first two letters of the identification code of the trading participant who owns such an account (taking into account the specifics established by item 25 of this article);

5) five zeros corresponding to the last five zeros of the trading participant's first-level own account.

The own second-level trading and clearing account of a stock market trading participant is linked to the own clearing account of the first-level of such a trading participant, used to execute transactions/transfers for settlements concluded from the own trading and clearing account of the second-level.

15. The code of the second-level client segregated account of a stock market trading participant consists of:

1) symbols "I+" in case of concluding purchase and sale transactions and carrying out repo operations in trading modes with a CCP, or

symbols "I0" in case of concluding purchase and sale transactions and performing direct repo operations, as well as automatic repo operations for sale of the subject of such operation, or

"IR" symbols in case of automatic repo operations for purchase of the subject of such operation in trading modes without a CCP;

(this sub-item was changed by a decision of the Exchange's Management Board dated August 15, 2023)

2) a number indicating the serial number of the client's account;

3) the first two letters of the Latin alphabet, identical to the first two letters of the identification code of the trading participant for whom such an account

is opened (taking into account the specifics established by item 25 of this article);

4) the first two letters of the Latin alphabet, identical to the first two letters of the identification code of the user of the control and collateral system, to whose clearing account the second-level account is linked (taking into account the specifics established by item 25 of this article);

5) five digits corresponding to the last five digits of the clearing account of the user of the control and collateral system to which the second-level account is linked.

The client second-level trading and clearing account of a trading participant of the stock market is linked to the client first-level clearing account of the user of the control and collateral system or the first-level clearing account of the trading participant in accordance with the application submitted by the trading participant and used for the execution of transactions/transfers for settlements concluded from the client second-level trading and clearing account.

16. One own and an unlimited number of aggregated client accounts are opened for currency market participants.

17. The code of the own account of a trading participant in the currency market consists of:

1) the capital letter "S";

2) symbol "+";

3) capital letters "FX";

4) three digits indicating the registration number of the member of the Exchange;

5) five zeros.

18. The code of the aggregated client account of a trading participant in the foreign exchange market consists of:

1) the capital letter "L";

2) symbol "+";

3) capital letters "FX";

4) three digits indicating the registration number of the member of the Exchange;

5) five digits indicating the serial number of the aggregated client account of a trading participant (if such a number is less than 10,000, then the digits indicating such a number are supplemented on the left with one or more zeros so that the total number of these digits is five).

19. The code of the aggregated own account of a trading participant used in the derivatives market consists of:

1) the code of the clearing firm;

2) digits "00".

20. The code of the aggregated client account of a trading participant used in the derivatives market consists of:

1) the code of the clearing firm;

2) digits "01".

21. The code of the trading participant's own account used in the derivatives market consists of:

1) the code of the clearing firm;

2) digits "00";

3) three digits denoting the serial number of the trading participant's own account (taking into account the specifics established by item 26 of this article).

22. The code of the trading participant's client account used in the derivatives market consists of:

1) the code of the clearing firm;

2) the numbers "01" (taking into account the specifics established by item 27 of this article);

3) three digits indicating the serial number of the trading participant's client account (taking into account the specifics established by item 26 of this article).

23. The code of the trading participant's own liquidation trading and clearing account used in the derivatives market consists of:

1) the code of the clearing firm;

2) symbols "OWliq".

24. The code of the trading participant's own liquidation trading and clearing account used in the derivatives market consists of:

1) the code of the clearing firm;

2) characters "CLliq".

25. If the number of digits indicating the serial number of the second-level account is less than 10, the digit indicating such a number shall be supplemented with zero on the left.

26. If two or more trading participants have the same first two letters of the Latin alphabet in identification codes, it is allowed to use two other letters of the Latin alphabet, close to its name in sound, for the purpose of identifying the second-level account of such a trading participant.

27. If the serial number of own or client account of a trading participant in the derivatives market is less than 100, then the digits denoting such a number are supplemented on the left with one or more zeros so that the total number of these digits is three.

28. In the code of the client account of the National Bank of the Republic of Kazakhstan, the following characters are used as the second and third characters:

letters "NF" – if the client of the National Bank of the Republic of Kazakhstan is the National Fund of the Republic of Kazakhstan, or

letters "EN" – if the client of the National Bank of the Republic of Kazakhstan is JSC "Unified accumulative pension fund".

(This article is amended by decisions of the Exchange's Management Board of October 22, 2020, May 25, 2021, June 25, 2021, June 23, 2021, December 15, 2021, July 28, 2022)

Article 4. **Article 4. Codes of issuers of non-government securities and/or digital financial assets**

(The title of this article was changed by the decision of the Exchange's Management Board dated September 15, 2026)

1. A code for the issuer of non-government securities and/or digital financial assets – a resident of the Republic of Kazakhstan is assigned by the division of the Exchange responsible for the listing of securities (hereinafter referred to as the listing division), which consists of the identification code of the given issuer.

   An issuer that is simultaneously an issuer of non-government securities and digital financial assets is assigned a single identification code.

   (This item is amended by decisions of the Exchange's Management Board of November 2, 2021, May 19, 2022 and September 15, 2026).

2. A code for a non-resident issuer of non-government securities of the Republic of Kazakhstan is assigned by the listing unit, which consists of:

   1) the identification code of the issuer[2] *(this sub-item was changed by a decision of the Exchange's Management Board dated May 19, 2022)*;

   2) the symbol "_" (underscore);

   3) the letters "KZ".

(This item was amended by a decision of the Exchange's Management Board on November 2, 2021).

3. The identification code for the issuer of non-government securities and / or digital financial assets is assigned by the listing division taking into account the following features *(this paragraph was changed by the decision of the Exchange's Management Board dated September 15, 2026)*:

   1) the identification code of this issuer consists of four characters, which are capitalized letters of the Latin alphabet;

   2) the identification code of this issuer is compiled based on its name and should be close to it in sound;

   3) it is allowed to use the symbol "_" (underscore) in the identification code of this issuer, starting from the second position on the left;

   4) if this issuer is a bank, then, as a rule, the letters "BN" should be in its identification code in the third and fourth positions on the left;

   5) if this issuer is an accumulative pension fund, then, as a rule, the letters "PF" should be in its identification code in the third and fourth positions on the left;

   5-1) if this issuer is a microfinance organization, then, as a rule, the letters "MF" should be in the first and second positions on the left in its identification code *(this sub-item was included by the decision of the Exchange's Management Board dated October 8, 2020)*;

   6) it is prohibited to assign identical or confusingly similar identification codes to different issuers of non-government securities and/or digital financial assets *(this sub-item was changed by the decision of the Exchange's Management Board dated September 15, 2026)*;

   7) *(this sub-item was changed by the decision of the Exchange's Management Board dated October 8, 2020 and May 19, 2022 and was excluded by a decision of the Exchange's Management Board dated October 20, 2022)*.

   8) if securities of a foreign issuer are planned to be included in "KASE Global" sector of the "Mixed" market of the Exchange's official list, then it is allowed to use the identification code of such issuer, assigned to it by another stock exchange, included in the list of stock exchanges approved by the Exchange's Management Board *(this sub-item was changed by a decision of the Exchange's Management Board dated May 19, 2022)*;

9) when transferring non-government securities from one floor of the Exchange's official list to another, from the corresponding sector of the "Mixed" floor - to "KASE Global" sector of the "Mixed" market, on the initiative of the securities admittance initiator this issuer may be assigned a different identification code by the Board's decision, different from the one previously assigned to it *(this sub-item was included by a decision of the Exchange's Management Board dated May 19, 2022)*.

(This item is amended by decisions of the Exchange's Management Board dated October 8, 2020 and November 2, 2021)

4. When name of the current issuer of non-government securities is changed at the initiative of the initiator of the admission of these securities, by a decision of the members of the Management Board supervising the trading and information and statistics departments, made based on an internal memo of the monitoring department, such issuer may be assigned a different identification code than that previously assigned to it, if there are sufficient grounds *(this item was included by a decision of the Exchange's Management Board dated October 20, 2022 and was changed by a decision of the Exchange's Management Board dated 12 December of 2024)*.

Article 5. Codes of non-government securities

1. Codes for non-government securities are assigned by the listing division as follows:

1) the code of the common shares is used directly by the code of their issuer;

2) the preferred stock code consists of:

the code of the issuer of these shares;

the letters "p"[1];

3) the code of bonds or other debt securities issued in accordance with the legislation of the state whose legal entity is their issuer consists of:

the code of the issuer of these bonds (other debt securities);

the letters "b"[2] (with the exception of non-government bonds subject to private placement); or

letters "pp"[3] for non-government bonds subject to private placement;

letters "op"[4] for bonds subject to private placement issued in accordance with other legislation *(this paragraph was included by the decision of the Board of the Exchange dated August 4, 2026)*;

the number denoting (the numbers denoting) the serial number of the issue of these bonds (other debt securities) in accordance with the data of the Exchange;

(this sub-item was changed by a decision of the Exchange's Management Board dated June 11, 2021)

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1 Abbreviation of the English words "preference" and "preferred" ("privileged") *(the numbering of this footnote was changed by the decision of the Board of the Exchange dated June 15, 2021 and May 19, 2022)*.

2 Abbreviation of the English word "bond" *(the numbering of this footnote was changed by the decision of the Board of the Exchange dated June 15, 2021 and May 19, 2022)*.

3 Abbreviation of the English words "private placement" *(this footnote was included by the decision of the Board of the Exchange dated June 11, 2021, the numbering of this footnote was changed by the decision of the Board of the Exchange dated June 15, 2021 and May 19, 2022).*

4 Abbreviation of the English words "other private" *(this footnote was included by the decision of the Board of the Exchange dated August 4, 2026)*.

4) code of bonds or other debt securities issued in accordance with the legislation of another (in relation to the state whose legal entity is the issuer of these bonds (other debt securities)) state, consists of:

the code of the issuer of these bonds (other debt securities);

letters "e"[5];

the digit designating (the digits designating) the serial number of the issue of these bonds (other debt securities) in accordance with the data of the Exchange;

5) the code for bonds or other debt securities issued under the guarantee[6] of a legal person consists of:

the code of the organization which is the guarantor[6] or issuer of the bonds (other debt securities) in question;

letters "e[5]";

digit(s) designating the issue number of these bonds (other debt securities) according to the data of the Exchange;

(this sub-item has been amended by a decision of the Exchange's Management Board of 2 November 2, 2021)

6) the securities code of a mutual investment fund, a joint-stock investment fund and a real estate fund consists of:

code of the issuer of these securities *(this paragraph was changed by a decision of the Exchange's Management Board dated May 19, 2022)*;

a unique combination of lowercase letters and/or numbers denoting this fund;

(this sub-item was changed by a decision of the Exchange's Management Board dated October 8, 2020)

7) the sukuk bond code consists of:

the code of the issuer of these bonds;

letters "s";

the digit denoting (the digits denoting) the serial number of the issue of these bonds in accordance with the data of the Exchange;

8) the code of bank certificates of deposit consists of:

the code of the issuer of these certificates;

letters "cd"[7];

the digit denoting (the digits denoting) the serial number of the issue of these certificates assigned by the Exchange *(this paragraph was changed by the decision of the Exchange's Management Board dated October 8, 2020)*;

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5 Abbreviation of the English word "eurobond" *(the numbering of this footnote was changed by the decisions of the Board of the Exchange dated June 11, 2021 and June 15, 2021, May 19, 2022 and August 4, 2026)*.

6 In accordance with the rules of the Exchange's internal document "Listing Rules" *(this footnote has been renumbered by decisions of the Exchange Management Board dated June 11, 2021 and June 15, 2021, the text of this footnote has been changed by a decision of the Exchange Management Board dated November 2, 2021, May 19, 2022 and August 4, 2026)*.

7 Abbreviation of the English words "certificate of deposit" *(this footnote is renumbered by decisions of the Exchange Management Board of June 11, 2021, June 15, 2021 and November 2, 2021, May 19, 2022 and August 4, 2026)*.

9) the code for ETF securities issued under the laws of a state other (in relation to the state of which the issuer of the securities is a legal entity) consists of:

ETF securities code;

the symbol "_" (underscore);

the letters "KZ";

(this sub-item was included by the decision of the Exchange's Management Board dated October 8, 2020 and was changed by the decision of the Exchange's Management Board dated May 19, 2022)

10) *(this sub-item was included by the decision of the Exchange's Management Board dated October 8, 2020 and was excluded by a decision of the Exchange's Management Board dated November 24, 2023)*;

11) The code for ETF securities issued in accordance with the laws of the Republic of Kazakhstan consists of:

a unique combination of lowercase letters designating the ETF;

the symbol "_" (underscore) if the number of letters designating the ETF is less than four;

the letter "f"[8].

(this sub-item was included by the decision of the Exchange's Management Board dated April 07, 2026)

1-1. If non-government securities are on the official list of a foreign stock exchange that is a full member of the World Federation of Exchanges and/or London Stock Exchange (London Stock Exchange Group), it is permitted to use in the code of these securities the letter values of the code assigned by one of the above exchanges *(this item was included by a decision of the Exchange's Management Board dated October 8, 2020, this item was changed by decisions of the Exchange's Management Board dated May 19, 2022 and November 24, 2023)*.

2. The code of non-government securities included in the state block of shares privatized through the Exchange is assigned by the Listing division and consists of:

1) letters "NZ", if these securities are accounted for on a personal account opened at the Central Depository;

2) character "_" (underscore);

3) the code of the issuer of these securities;

4) if it is necessary to more accurately identify these securities – the "_" (underscore) symbol and the set of symbols intended for such identification.

3. The code for bonds or other debt securities that have a second ISIN is entered by the Information and Statistics division to KASE's information system BackOffice System on the basis of an electronic message from the trading division, consisting of:

the code of such security, previously assigned by the Listing division upon admission of such securities to circulation;

character "_" (underscore);

the letter "A"

[8] Abbreviation of English words "Exchange-Traded Fund" *(this footnote was included by the decision of the Board of the Exchange dated April 7, 2026; the numbering of this footnote was changed by the decision of the Board of the Exchange dated August 4, 2026)*.

(This item was included by a decision of the Exchange's Management Board dated October 8, 2020)

Article 5-1. Codes of digital financial assets

1. Codes for digital financial assets issued in accordance with the legislation of the Republic of Kazakhstan are assigned by the listing division and consist of:
   1) registration number "001" assigned to the Exchange as the operator of the digital financial assets platform by the National Bank of the Republic of Kazakhstan;
   2) the symbol "_" (underscore);
   3) the identification code of the issuer assigned in the manner established by item 3 of Article 4 of this Instruction;
   4) the symbol "_" (underscore);
   5) the letters "df", indicating belonging to digital financial assets;
   6) a number designating (numbers designating) the serial number of the issue of a digital financial asset in accordance with the Exchange data.
2. In the event that digital financial assets are circulated on the platform of any other operator of the digital financial assets platform, the use of the code assigned to such digital financial assets by the relevant platform operator is permitted.

(This article was included by a decision of the Exchange's Management Board dated September 15, 2026)

Article 6. Codes of derivative securities (derivative financial instruments, except for futures), the underlying asset of which are non-government securities

1. The code for Kazakhstan depositary receipts is assigned by the listing division and consists of:
   1) letters "KDR"[9];
   2) the "_" character (underscore);
   3) the code of non-government securities used as the underlying asset of these receipts, determined in accordance with item 1 of Article 5 of this Instruction;
   4) if it is necessary to more accurately identify these receipts – the "_" (underscore) symbol and the set of symbols intended for such identification
2. The code of derivative securities other than Kazakhstan depositary receipts (derivative financial instruments, with the exception of futures), the underlying asset of which are non-government securities issued in accordance with the legislation of the Republic of Kazakhstan, as well as in accordance with the legislation of states other than the Republic of Kazakhstan (including non-government securities of several names), is assigned to them by the listing division of the Exchange and consists of:
   1) the code of the issuer of these securities (financial instruments); or

      the code of the organization that is the guarantor of the fulfillment of obligations under these securities (financial instruments) and the sole

[9] The abbreviation of the English phrase "Kazakhstan depository receipt" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

founder (participant, shareholder) of a special enterprise, if these securities (financial instruments) are issued by such a special enterprise;

2) letters "d"[10].

Article 7. Codes of securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of a state other than the Republic of Kazakhstan

1. A code to securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of a state other than the Republic of Kazakhstan is assigned by the Exchange's Listing division and consists of:

   1) letters "KZ";

   2) character "_" (underscore);

   3) two digits denoting the serial number of the issue of these securities (taking into account the specifics established by item 2 of this article);

   4) character "_" (underscore);

   5) two digits denoting the last two digits of the year of redemption of these securities;

   6) two digits denoting the ordinal number of the month of redemption of these securities (taking into account the specifics established by item 2 of this article).

2. If the serial number of the issue of securities issued by the Ministry of Finance of the Republic of Kazakhstan is less than 10, the digit indicating such a number is supplemented with zero on the left.

   If the serial number of the month of repayment of securities issued by the Ministry of Finance of the Republic of Kazakhstan is less than 10, the digit indicating such a number is supplemented with zero on the left.

Article 8. Codes of securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of the Republic of Kazakhstan

1. The code for securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of the Republic of Kazakhstan is assigned by the trading division in connection with the issue of these securities and consists of *(this paragraph was changed by a decision of the Exchange's Management Board dated October 20, 2022)*:

   1) capital letters of the Latin alphabet "MKM", if these securities are among the government short-term treasury obligations of the Republic of Kazakhstan (MEKKAM); or

      capital letters of the Latin alphabet "MOM", if these securities are among the government medium-term treasury obligations of the Republic of Kazakhstan (MEOKAM); or

      capital letters of the Latin alphabet "MUM", if these securities are among the government long-term treasury obligations of the Republic of Kazakhstan (MEUKAM); or

[10] Abbreviation of the English word "derivative" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

capital letters of the Latin alphabet "MOX", if these securities are among the government medium-term indexed treasury obligations of the Republic of Kazakhstan (MOIKAM); or

capital letters of the Latin alphabet "MUX", if these securities are among the government long-term indexed treasury obligations of the Republic of Kazakhstan (MUIKAM); or

capital letters of the Latin alphabet "MUJ", if these securities are among the government long-term savings treasury obligations of the Republic of Kazakhstan (MEUZHKAM);

capital letters of the Latin alphabet "MOK", if these securities are among the government special medium-term treasury obligations of the Republic of Kazakhstan (MAOKAM);

capital letters of the Latin alphabet "MTM", if these securities are among the treasury obligations of the Republic of Kazakhstan indexed to the TONIA (METIKAM) rate *(this sub-item was included by a decision of the Exchange's Management Board dated October 20, 2022)*;

2) three digits indicating the circulation period of these securities in months (taking into account the specifics established by item 2 of this article);

3) character "_" (underscore);

4) the last four digits of the serial number of the issue of these securities (taking into account the specifics established by item 2 of this article).

2. If the circulation period of the securities of the Government of the Republic of Kazakhstan is less than 100 months, the figures indicating such a period are supplemented on the left with one or more zeros so that the total number of these figures is three.

If the serial number of the issue of securities of the Government of the Republic of Kazakhstan is less than 1,000, the digits denoting such a number are supplemented on the left with one or more zeros so that the total number of these digits is four.

Article 9. Securities codes of the National Bank of the Republic of Kazakhstan

1. The code for securities of the National Bank of the Republic of Kazakhstan is assigned by the trading division in connection with the issue of these securities and consists of *(this paragraph was changed by a decision of the Exchange's Management Board dated October 20, 2022)*:

1) letters "NT"[11];

2) one-letter designation of the currency in which these securities are denominated (taking into account the specifics established by item 2 of this article);

3) three digits denoting the circulation period of these securities in days (taking into account the specifics established by the first paragraph of item 3 of this article);

4) character "_" (underscore);

[11] Conditional abbreviation of the English word "note" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

5) the last four digits of the serial number of the issue of these securities (taking into account the specifics established by the second paragraph of item 3 of this article).

2. The following letters are used as single-letter designations of the currency in which the 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 Japanese yen;

3) "K" – for designation of the Kazakh tenge;

4) "U" – for designation of the US dollar.

3. In the event that the circulation period of securities of the National Bank of the Republic of Kazakhstan is less than 100 months, the figures indicating such a period are supplemented on the left by one or more zeros so that the total number of these figures is three.

If the serial number of the issue of securities of the National Bank of the Republic of Kazakhstan is less than 1,000, the digits denoting such a number are supplemented on the left by one or more zeros so that the total number of these digits is four.

Article 10. Securities codes of local executive bodies

1. The code for the securities of the local executive body is assigned by the Exchange listing division and consists of:

1) the two-letter code of the local executive body – the issuer of these securities (taking into account the specifics established by item 2 of this article);

2) a one-letter designation of the currency in which these securities are denominated (taking into account the specifics established by item 2 of Article 9 of this Instruction);

3) three digits indicating the circulation period of these securities in months (taking into account the specifics established by item 3 of this article);

4) character "_" (underscore);

5) three digits corresponding to the three digits preceding the last one digit of the international identification code of these securities.

2. The following letter combinations are used as two-letter codes of local executive bodies, depending on the region of the Republic of Kazakhstan to which the local executive body belongs:

1) "AS" – to designate the local executive body of the city of Astana *(this sub-item was changed by a decision of the Exchange's Management Board dated October 20, 2022)*;

2) "AL" – for designation of the local executive body of the city of Almaty;

3) "AK" – for designation of the local executive body of Akmola region;

4) "AB" – for designation of the local executive body of Aktobe region;

5) "AT" – for designation of the local executive body of Almaty region;

6) "AR" – for designation of the local executive body of Atyrau region;

7) "VK" – for designation of the local executive body of East-Kazakhstan region;

8) "DZ" – for designation of the local executive body of Zhambyl region;

9) "ZK" – for designation of the local executive body of West Kazakhstan region;

10) "KG" – for designation of the local executive body of Karagandy region;

11) "KO" – for designation of the local executive body of Kyzylorda region;

12) "KS" – for designation of the local executive body of Kostanay region;

13) "MG" – for designation of the local executive body of Mangystau region;

14) "PV" – for designation of the local executive body of Pavlodar region;

15) "SK" – for designation of the local executive body of North Kazakhstan region;

16) "TK" – for designation of the local executive body of Turkestan region;

17) "SH" – for designation of the local executive body of the city of Shymkent;

18) "AI" - for the local executive body of Abay region *(this sub-item was included by a decision of the Exchange's Management Board dated May 19, 2022)*;

19) "UT" is for the local executive body of the Ulytau region *(this sub-item was included by a decision of the Exchange's Management Board dated May 19, 2022)*;

20) "JT" is for the local executive body of the Jetisu region *(this sub-item was included by a decision of the Exchange's Management Board dated May 19, 2022)*.

3. If the circulation period of securities of a local executive body is less than 100 months, the figures indicating such a period are supplemented on the left with one or more zeros so that the total number of these figures is three.

Article 11. Foreign government securities codes

1. Foreign government securities code is assigned by the listing unit and consists of:

   1) a two-letter alphabetical code of the state – the issuer of these securities in accordance with the international standard ISO 3166-1;

   2) the symbol "_" (underscore) (taking into account the peculiarities established by item 3 of this article) *(this sub-item was changed by a decision of the Exchange's Management Board dated November 24, 2023)*;

   3) two digits indicating the serial number of the issue of these securities (in accordance with the Exchange's numbering) (taking into account the specifics established by item 3 of this article) *(this sub-item was changed by a decision of the Exchange's Management Board dated November 24, 2023)*;

   4) character "_" (underscore);

   5) two digits denoting the last two digits of the year of redemption of these securities;

   6) two digits denoting the ordinal number of the month of redemption of these securities (taking into account the specifics established by item 2 of this article).

2. If the ordinal number of the month of redemption of foreign government securities is less than 10, the figure denoting such number is supplemented with a zero on the left.

3. If the serial number of the issue of foreign government securities is 100 or more than 100, the symbol "_" (underscore) specified in sub-item 2) of item 1 of this article is not applied, and the three digits (in accordance with the Exchange's numbering) are used as the serial number of the issue of these securities *(this item was included by a decision of the Exchange's Management Board dated November 24, 2023)*.

Article 12. International Financial Organizations securities codes

1. The code for securities issued by an international financial organization in accordance with the legislation of the Republic of Kazakhstan is assigned by the Exchange listing division and consists of:

   1) the four-character code of the international financial organization - the issuer of these securities (taking into account the specifics established by item 3 of this article);

   2) letter "b" (or the letter "s" for sukuk bonds);

   3) numbers denoting (numbers denoting) the serial number of these securities in accordance with the Exchange data.

2. The code for securities issued by an international financial organization in accordance with the legislation of a state other than the Republic of Kazakhstan is assigned by the Exchange listing division and consists of:

   1) the four-character code of the international financial organization - the issuer of these securities (taking into account the specifics established by item 3 of this article);

   2) letter "e" (or the letter "s" for sukuk bonds);

   3) numbers denoting (numbers denoting) the serial number of these securities in accordance with the Exchange data.

3. The following symbol combinations are used as four-character 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 Bank for International Settlements);

4) "CEB_" – for designation of Council of Europe Development Bank;

5) "EABR" – for designation of Eurasian Development Bank;

6) "EBRD" – for designation of European Bank for Reconstruction and Development;

7) "EIB_" – for designation of European Investment Bank;

8) "IADB" – for designation of Inter-American Development Bank;

9) "IBRD" – for designation of International Bank for Reconstruction and Development;

10) "IFC_" – for designation of International Finance Corporation;

11) "ISB_" – for designation of Islamic Development Bank;

12) "NIB_" – for designation of Nordic Investment Bank;

13) "ICD_" – for designation of Islamic Corporation for the Development of the Private Sector;

14) "AIIB" – for designation of Asian Infrastructure Investment Bank);

15) "IMF_" – for designation of International Monetary Fund

Article 12-1. Codes of securities issued by an organization performing functions of a central counterparty

(This heading was changed by a decision of the Exchange's Management Board dated 15 August of 2023)

1. The code of a general collateral certificate issued for any collateral pool consists of:

1) the letters GC denoting a general collateral certificate as a financial instrument;

2) no more than six characters providing unique identification of the type of collateral pool;

3) no more than three characters denoting the type of securities/assets permitted for inclusion into a collateral pool *(this subparagraph was amended by decision of the Exchange's Management Board dated October 1, 2026)*.

2. The following letter combinations are used as a security type code:

1) SEC - securities (any);

2) BD - bonds;

3) SH - shares and other financial instruments;

4) GS - government securities.

5) CQ - carbon quotas *(this subparagraph was included by decision of the Exchange's Management Board dated October 1, 2026)*;

6) CO - carbon offsets *(this subparagraph was included by decision of the Exchange's Management Board dated October 1, 2026)*.

(This article was included by a decision of the Exchange's Management Board dated 28 July of 2022 and was changed by a decision of the Exchange's Management Board dated 11 June of 2026)

Article 13. Codes of financial instruments for repo[12] transactions carried out in an "automatic" way

1. Code for a financial instrument (repo operation) with a GS[13] basket, execution on which is carried out on a net basis, is assigned by the Exchange trading division when setting up the Exchange trading system in connection with the issue of these securities and consists of letters "GCBRK" *(this item was changed by a decision of the Exchange's Management Board dated 15 August of 2023)*.

2. The code for a financial instrument (repo operation) with a basket of the NBRK14 is assigned by the trading division when setting up the Exchange's trading system in connection with the issue of these securities and consists of the letters "NBRK".

3. The code for a financial instrument (repo operation) with a basket of BISSP15 on the automatic repo market is assigned by the Exchange's trading division when setting up the Exchange's trading system in connection with the opening of trading with this financial instrument and consists of "BSP".

4. The code for a financial instrument (repo operation) with a basket of GS, the execution of which is carried out on a gross basis, is assigned by the trading division of the Exchange when setting up the Exchange's trading system in connection with the issue of these securities and consists of the letters "GCBRK-GR".

5. The codes of repo operations carried out by "direct" and "automatic" methods, with the exception of repo operations with any basket of securities, coincide with the codes of securities used as subjects of these repo operations

Article 14. Codes of financial instruments in the foreign currency market[16]

1. The code for a financial instrument on the foreign exchange market is assigned when setting up the Exchange's trading system in connection with the opening of trading in this financial instrument.

   When assigning a code to a financial instrument in the foreign exchange market, alphabetic currency codes are used in accordance with the international standard ISO 4217.

   If the ISO 4217 standard is updated due to a change in the alphabetic currency code, which is part of the code of a financial instrument in the foreign exchange market, the code of such a financial instrument may be changed to ensure

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12 From the English word "repo", a common abbreviation of the word "repurchase agreement" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

13 Conventional designation of the phrase "government securities" *(the numbering of this footnote was changed by decisions of the Exchange Management Board dated October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026, and August 4, 2026)*.

14 The symbol of the phrase "National Bank of the Republic of Kazakhstan" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

15 Conditional designation of the phrase "Bonds of the issuer with a share of state participation" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

16 Examples of codes of financial instruments and issuers of securities are given in Article 18 of this Instruction *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

compliance with the alphabetic currency code, which is part of the code of a financial instrument in the foreign exchange market, with the ISO 4217 standard.

2. The code of a financial instrument on the foreign exchange market traded with calculations T+0[17] (with the execution of transactions concluded at the auction on the day of trading) consists of:

   1) alphabetical code of the traded foreign currency;

   2) the alphabetic code of the currency in which settlements are made on transactions with traded foreign currency;

   3) the "_" character (underscore);

   4) Letter "TOD"[18].

3. The code of a financial instrument on the foreign exchange market traded with T+1 calculations (with the execution of transactions concluded at the auction on the next business day [19] after the trading day) consists of:

   1) alphabetical code of the traded foreign currency;

   2) the alphabetic code of the currency in which settlements are made on transactions with traded foreign currency;

   3) the "_" character (underscore);

   4) Letter "TOM"[20].

4. The code of a financial instrument on the foreign exchange market traded with T+2 calculations (with the execution of transactions concluded at the auction on the second business day after the trading day) consists of:

   1) alphabetical code of the traded foreign currency;

   2) the alphabetic code of the currency in which settlements are made on transactions with traded foreign currency;

   3) the "_" character (underscore);

   4) Letter "SPT"[21].

5. The code of a financial instrument on the foreign exchange market, traded with settlements later than on the second business day after the trading day, consists of:

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17 The designation of the terms of settlement of exchange transactions (execution of exchange transactions) generally accepted in the world practice in the form of a record "T+n", where T is the day of exchange trading on which the transaction was concluded, and n is the duration of the break between the specified day of exchange trading and the day of settlement of this transaction (in working days) *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

18 Abbreviation of the English word "today" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

19 Here and further in this paragraph, a working day is understood as a day that is a working day in the Republic of Kazakhstan *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

20 An abbreviation of the English word "tomorrow" *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

21 The abbreviation of the English word "spot" is the name of the terms of settlements in the foreign exchange markets generally accepted in world practice, assuming the completion of settlements on the purchase and sale of foreign currency on the second working day after the conclusion of this transaction *(this footnote is renumbered by decisions of the Exchange Management Board of October 8, 2020, June 11, 2021, June 15, 2021, November 2, 2021, May 19, 2022, April 7, 2026 and August 4, 2026)*.

1) alphabetical code of the traded foreign currency;

2) the alphabetic code of the currency in which settlements are made on transactions with traded foreign currency;

3) the "_" character (underscore);

4) two digits denoting the number of weeks, or months, or years equal to the duration of the period between the day of the conclusion of transactions that are included in this operation and the day of execution of one of these transactions for which a later settlement period is set;

5) the letters W, M or Y denoting the week, month or year, respectively.

6. The code of the delivery futures traded on the foreign exchange market consists of:

1) the alphabetic code of the foreign currency that is the underlying asset of this futures;

2) the alphabetic code of the foreign currency in which settlements are made on transactions within the framework of this futures;

3) the "_" character (underscore);

4) three capital letters FWD.

(This item was included by the decision of the Board of the Exchange dated October 22, 2020)

Article 14-1. Codes of operations with foreign currencies

The foreign currency transaction code consists of:

1) the alphabetical code of the foreign currency, which is the subject of this transaction;

2) the alphabetical code of the foreign currency in which the transactions are settled within this transaction;

3) character "_" (underscore);

4) one digit denoting the number equal to the duration of the period in full business days between the day of conclusion of deals that are included in this transaction and the day of execution of that one of these deals for which an earlier settlement date is set;

5) character "_" (underscore);

6) three digits denoting the number equal to the duration of the period in business days between the day of execution of the deal with an earlier settlement date and the day of execution of that one of these deals for which a later settlement date is set.

(This article was included by the decision of the Board of the Exchange dated October 22, 2020)

Article 15. Currency Swap Transaction Codes

The currency swap transaction code consists of:

1) the alphabetical code of the foreign currency, which is the subject of this transaction;

2) the alphabetical code of the foreign currency in which settlements are carried out within this transaction;

3) character "_" (underscore);

4) one digit denoting the number equal to the duration of the period in full business days between the day of exchange trading on which this transaction was carried out and the day of fulfillment of obligations with an earlier settlement date;

5) character "_" (underscore);

6) two digits indicating the number of weeks, or months, or years equal to the duration of the period between the day of fulfillment of obligations with an earlier settlement date, and the day of fulfillment of obligations with a later settlement date;

7) the letter W, M or Y, denoting the week, month or year, respectively.

(This article was amended by the decision of the Board of the Exchange dated October 22, 2020)

Article 16. Codes of futures on financial instruments (prices of financial instruments) and the purpose of stock market indicators

1. The futures code for a financial instrument (the price of a financial instrument) or the purpose of a stock market indicator is assigned in connection with the opening of trading in this financial instrument and consists of:

   1) the code of the underlying asset of these futures (taking into account the features established by item 2 of this article);

   2) the " - " character (hyphen);

   3) the number indicating the sequential number of the month of execution of this futures;

   4) the". " character (dot);

   5) two digits denoting the last two digits of the year of execution of this futures.

(This item was changed by the decision of the Exchange's Management Board dated June 15, 2021)

2. The following symbolic combinations are used as the codes of the underlying assets of futures on financial instruments (prices of financial instruments) and the purpose of stock market indicators:

   1) for futures on foreign currency or on the price of this currency – the first two characters, which are the first Latin letters of the alphabetic currency code in accordance with the international standard ISO 4217;

   2) for stock futures issued by a non-resident of the Republic of Kazakhstan - the symbols that make up the code of the underlying asset, following the symbol "_" (underline);

   3) for futures on the value of the KASE Index – "KX".

(This item was changed by the decision of the Exchange's Management Board dated June 15, 2021)

3. *(This item was excluded by the decision of the Board of the Exchange dated June 15, 2021)*.

Article 17. *(This article was excluded by the decision of the Board of the Exchange dated June 15, 2021)*

Article 18. Examples of codes

1. Example to clause 1 article of this Instruction (code of a member of the Exchange): "AHBS_" or "ALRS_T" *(this sub-item was changed by the decision of the Exchange's Management Board dated December 12, 2024)*.

1-1. Example for Article 1-1 of this Instruction: the trading participant is assigned the code "DAHBS *(this item was included by the decision of the Exchange's Management Board dated September 15, 2026)*.

2. Example to item 2 of Article 1 of this Instruction (user code of the control and collateral system): "AHBS_K".

3. Example for item 3-2 of Article 1 of this Instruction (clearing firm code):

   1) for banks – 09;

   2) for a brokerage organization – OR.

4. Example to item 3-3 of Article 1 of this Instruction (settlement code for accounting for own funds): 102741, 99975.

5. Example to item 3-4 of Article 1 of this Instruction (settlement code for accounting for client funds): 502741.

6. Example to item 2 of Article 2-1 of this Instruction (the code of the first-level client): "ABRK00100023.

7. Example to item 3 of Article 2-1 of this Instruction (second-level client code): "ABRK00200009".

8. Example to item 1 of article 2-2 of this Instruction (code of the unique identification number of the Exchange member of the category "derivatives market"): 104580035987.

9. Example to item 2 of article 2-2 of this Instruction (code of the unique identification number of the Exchange member's client of the "derivatives market" category): 104580127869.

10. Example to item 5 of Article 3 of this Instruction (code of the first-level own account): "S+1030200000", "S01030200000" or "SR1030200000".

11. Example to item 6 of Article 3 of this Instruction (code of own account of the collateral pool of a stock market participant): "Sg1030200000".

12. Example to item 7 of Article 3 of this Instruction (code of a client segregated account of the first-level of a trading participant): "I+1030200014", "I01030200014" or "IR1030200014".

13. Example to item 8 of Article 3 of this Instruction (code of a client segregated account of a collateral pool of the stock market participant): "Ig1030200014".

14. Example to item 9 of Article 3 of this Instruction (code of the client account of a stock market participant for aggregate position accounting): "O+1030200014", "O01030200014" or "OR1030200014".

14-1. Example to paragraph 9-1 of Article 3 of these Instructions (code of the first-level segregated client account of a trading participant, intended for participation in trading of general collateral certificates which collateral pool includes carbon units): "I+Y1030200014" or "I0Y1030200014" *(this subparagraph was included by decision of the Exchange's Management Board dated October 1, 2026)*.

14-2. Example to paragraph 9-2 of Article 3 of these Instructions (code of a trading participant's client account for aggregated recording of positions, intended for participation in trading of general collateral certificates which collateral pool includes carbon units): "O+Y1030200014" or "O0Y1030200014" *(this subparagraph was included by decision of the Exchange's Management Board dated October 1, 2026)*.

15. Example to item 10 of Article 3 of this Instruction (customer account code of the collateral pool of a stock market trading participant for aggregate position accounting): "Og1030200014".

16. Example to item 11 of Article 3 of this Instruction (code of the first-level client segregated account of a user of the control and collateral system): "C+1030200007", "C01030200007" or "CR1030200007".

17. Example to item 12 of Article 3 of this Instruction (code of the client segregated account of the collateral pool of a user of the control and collateral system): "Cg1030200014".

18. Example to item 13 of Article 3 of this Instruction (customer aggregated account code): "L+1030200000", "L01030200000", "K01030200000" or "K+1030200000".

19. Example to item 14 of Article 3 of this Instruction (code of the second-level trading participant's own account): "S+203CE00000".

20. Example to item 15 of Article 3 of this Instruction (code of the second-level client segregated account of a trading participant): "I+4CECI00023", "I04CECI00023" or "IR4CECI00023".

21. Example to item 17 of Article 3 of this Instruction (the code of the own account of a trading participant in the foreign exchange market): "S+FX12300000".

22. Example to item 18 of Article 3 of this Instruction (code of the aggregated client account of a trading participant in the foreign exchange market): "L+FX03400000".

23. Example to item 19 of Article 3 of this Instruction (code of the aggregated own account of a trading participant used in the derivatives market): "0900".

24. Example to item 20 of Article 3 of this Instruction (code of the aggregated client account of a trading participant used in the derivatives market): "0901".

25. Example to item 21 of Article 3 of this Instruction (code of own account of trading participants in the derivatives market): 0900001.

26. Example to item 22 of article 3 of this Instruction (code of the client account of trading participants in the derivatives market): RG01018.

27. Example to item 23 of Article 3 of this Instruction (code of the trading participant's own liquidation trading and clearing account used on the derivatives market): "09OWliq".

28. Example to item 24 of Article 3 of this Instruction (code of the client's liquidating trading and clearing account of a trading participant used in the derivatives market): "09 CLliq".

29. Example to item 28 of Article 3 of this Instruction (code of the client account of the National Bank of the Republic of Kazakhstan in the derivatives market): 01NF001, 01EN001.

30. Examples to item 1 of Article 5 of this Instruction (codes of non-government securities): suppose that a joint-stock company – a legal entity of the Republic of Kazakhstan (issuer code of securities – ABCD) has issued ordinary shares, an issue of preferred shares, as well as issues of bonds in the next sequences: the first issue – in accordance with the legislation of the Republic of Kazakhstan, the second issue – in accordance with the legislation of another state, the third issue – in accordance with the legislation of the Republic of Kazakhstan; in addition, after the third issue of bonds by this joint-stock company, bonds were issued by a special enterprise, the sole participant of which is this joint-stock company, under its 100% guarantee. The following codes will be assigned to the securities of this joint-stock company:

1) common shares – ABCD;

2) preferred shares of the first issue – ABCDp ;

3) bonds of the first issue, issued in accordance with the legislation of the state, the legal entity of which is their issuer – ABCDb1;

4) bonds of the second issue, issued in accordance with the legislation of another (in relation to the state, the legal entity of which is the issuer of these bonds (other debt securities)) state – ABCDe1;

5) bonds of the third issue, issued in accordance with the legislation of the Republic of Kazakhstan – ABCDb2;

6) bonds issued by a special enterprise – ABCDe2.

30-1. Example for item 1 of Article 5-1 of this Instruction (digital financial asset code): "001_ABCD_df1" *(this item was included by the decision of the Exchange's Management Board dated September 15, 2026)*.

31. Example to item 2 of article 5 of this Instruction (code of non-government securities included in the state blocks of shares privatized through the Exchange): "NZ_ABCD_5".

32. Example to item 1 of article 6 of this Instruction (code of Kazakhstan depositary receipts): "KDR_ABCD_5".

33. Example to item 2 of Article 6 of this Instruction (code of derivative securities other than Kazakhstan depositary receipts): "KZAPd".

34. Example to article 7 of this Instruction (codes of securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of a state other than the Republic of Kazakhstan): "KZ_03_2810".

35. Example to Article 8 of this Instruction (code of securities issued by the Ministry of Finance of the Republic of Kazakhstan in accordance with the legislation of the Republic of Kazakhstan): "MKM006_0099".

36. Example to article 9 of this Instruction (securities code of the National Bank of the Republic of Kazakhstan): "NTK028_0789".

37. Example to article 10 of this Instruction (securities code of the local executive body): "KOK036_178".

38. An example for Article 11 of this Instruction (code of foreign government securities): "RU_01_2807", RU100_2601 *(this item was changed by a decision of the Exchange's Management Board dated November 24, 2023)*.

39. Example to article 12 of this Instruction (code of securities of an international financial organization):

1) securities issued by an international financial organization in accordance with the legislation of the Republic of Kazakhstan – EBRDb2 (for sukuk bonds – EBRDs2);

2) securities issued by an international financial organization in accordance with the legislation of a country other than the Republic of Kazakhstan – EBRD-2 (for sukuk bonds – EBRDs2).

40. Example to paragraph 1 of Article 12-1 of these Instructions (code of a general collateral certificate issued for a collateral pool): "GCGlobalSec", "GCUSDSec", "GCUECA" or "GCUECO" *(this paragraph was amended by decisions of the Exchange's Management Board dated June 11, 2026, and October 1, 2026)*.

41. Example to item 1 article 13 of this Instruction: "GCBRK" (repo operation code with a basket of government securities executed on a net basis) *(this item was*

changed by a decision of the Exchange's Management Board dated 15 August of 2023).

42. Example to item 2 of article 13 of this Instruction: "NBRK" (code of repo transaction with GS basket with the National Bank of the Republic of Kazakhstan).

43. Example to item 3 of article 13 of this Instruction: "BSP" (repo transaction code with a basket of ODGU).

44. Example to item 4 article 13 of this Instruction: "GCBRK–GR" (repo operation code with a basket of government securities executed on a gross basis) *(this item was changed by a decision of the Exchange's Management Board dated 15 August of 2023)*.

45. Example to item 2 of Article 14 of this Instruction: "USDKZT_TOD".

46. Example to item 3 of Article 14 of this Instruction "USDKZT_TOM".

47. Example to item 4 of Article 14 of this Instruction: "USDKZT_SPT".

48. Example to item 5 of Article 14 of this Instruction "USDKZT_01W".

49. Example to item 6 of Article 14 of this Instruction (delivery forward code): "USDKZT_FWD".

50. Example to article 14-1 of this Instruction (codes of operations with foreign currencies):

    1) "USDKZT_0_001" (code of the transaction with foreign currency, consisting of a transaction for the purchase and sale of US dollars with the execution of this transaction on the day of trading and simultaneously concluded with this transaction and opposite in the direction to it a transaction for the purchase and sale of US dollars in the same amount with execution of the second of these transactions on the next business day after the day of execution of the first of these transactions);

    2) "USDKZT_1_001" (Code of the currency swap operation, which consists of a transaction for the purchase and sale of US dollars with the execution of this transaction on the next business day after the day of trading and simultaneously concluded with this transaction and opposite in direction to it a transaction for the purchase and sale of US dollars, including the same quantity with the execution of the second of these transactions on the next business day after the day of execution of the first of these transactions).

51. Example to article 15 of this Instruction (currency swap transaction codes): "USDKZT_0_01M" (currency swap transaction code with the fulfillment of obligations with an earlier settlement date on the day of trading and the fulfillment of obligations with a later settlement date one month after the fulfillment of obligations with an earlier settlement date).

52. Example to Article 16 of this Instruction (codes of futures for financial instruments (prices of financial instruments) and for the values of stock market indicators):

    1) "US-3.22" (code of a non-deliverable futures contract for the US dollar against tenge rate);

    2) "KX-6.21" (code of non-deliverable futures for the value of KASE Index);

    3) "VTBR-9.21" (code of non-deliverable futures on the price of common shares of VTB Bank (PJSC));

    4) "HSBK-12.22" (code of deliverable futures for common shares of Halyk Savings Bank of Kazakhstan JSC).

(This item was included by the decision of the Board of the Exchange dated October 22, 2020 and amended by the decision of the Board of the Exchange dated June 15, 2021, May 19, 2022 and July 28, 2022)

Article 19. Final provisions

1. Responsibility for the timely introduction of changes and/or additions to this Instruction (updating) is assigned to the trading division of the Exchange.
2. These Instructions shall be updated as necessary. These Instructions shall be reviewed for the need for update at least once every 36 months to be counted from the date these Instructions take effect, and in case of its updating - from the date the recent amendments/additions take effect *(this item was changed by a decision of the Exchange's Management Board dated 12 December of 2024)*.

Chairperson of the Management Board A. Aldambergen

Appendix 1

to the Instruction on the procedure for assigning codes to members of Kazakhstan Stock Exchange JSC and their accounts, users of trading systems, issuers of securities and financial instruments

(This appendix was changed by decisions of the Exchange's Management Board dated October 22, 2020, January 21, 2021, June 15, 2021, August 15, 2023 and July 15, 2025)

S T R U C T U R E

of the short code of the user of the ASTS+ trading and clearing system (stock market) and the ASTS+ trading and clearing system (currency market)

User	Number of characters in short code	Structure of the short code
1	2	3
Trader or observer of a member of the Exchange	Ten characters	1) capital letters of the Latin alphabet identical to the letters of the identification code of the Exchange's member whose interests the user represents; 2) the number "0" (or a combination of several zeros), if the number of letters in the identification code of the Exchange's member is less than six characters; 3) a capital letter indicating the connection type: T – connection of a member of the Exchange that does not provide brokerage services directly to the trading and clearing system terminal; B – connection of a member of the Exchange providing brokerage services directly to the trading and clearing system terminal; 4) a letter indicating the user's authority when working with the trading and clearing system: T – with the right to conclude transactions on all accounts or only on certain accounts of his company;

User	Number of characters in short code	Structure of the short code
1	2	3
		S – with the right to conclude transactions on all accounts of his company and to set restrictions for SMA clients; V – with the right to view financial instruments and quotes; P – with the right to transfer money and view all information on the company, including trading and clearing accounts, positions and market information; A – with the right to view all information on the company, including trading and clearing accounts, positions and market information; 5) the last two symbols are numbers indicating the serial number of the given employee of the Exchange's member
Employee of the user of the control and collateral system	Ten characters	1) capital letters of the Latin alphabet, identical to the letters of the identification code of the user of the control and collateral system whose interests the given employee represents, and located before the symbol "_" (if present); 2) the number "0" (or a combination of several zeros), if the number of letters in the user identification code of the control and collateral system is less than five characters; 3) letter "K"; 4) a capital letter indicating the connection type: C – connection directly to the trading and clearing system terminal; F – connection to the trading and clearing system via the FIX gateway; G – connection to the trading and clearing system via ASTS Bridge; 5) letter "S"; 6) the last two symbols are numbers indicating the serial number of the given employee of the user of the control and collateral system
User of a member of the Exchange/clearing participant – not a member of the Exchange with	Ten characters	1) capital letters of the Latin alphabet identical to the letters of the identification code of the member of the Exchange/clearing participant who is not a member of the Exchange, whose interests the user represents; 2) the number "0" (or a combination of several zeros), if the number of letters in the identification code of the member of the Exchange /clearing participant that is not a member of the Exchange is less than six characters;

User	Number of characters in short code	Structure of the short code
1	2	3
connection via a gateway		3) a capital letter indicating the connection type: F – connection to the trading and clearing system via FIX gateway; G – connection to the trading and clearing system via ASTS Bridge; 4) a letter indicating the user's authority when working with the trading and clearing system: T – with the right to conclude transactions on all accounts or only on certain accounts of his company; S – with the right to conclude transactions on all accounts of his company and to set restrictions for SMA clients; R – with the right to conclude transactions based on algorithmic trading (including robotic and high-frequency); V – with the right to view financial instruments and quotes; P – with the right to transfer money and view all information about the company, including trading and clearing accounts, positions and market information; A – with the right to view all information on the company, including trading and clearing accounts, positions and market information; N – without the right to view financial instruments and quotes, as well as to conclude transactions in the trading and clearing system, but with the right to gain access to the trading mode of the unorganized (over-the-counter) foreign exchange market to receive clearing services for transactions concluded on this market; 5) the last two symbols are numbers indicating the serial number of the given employee of the member of the Exchange/clearing participant who is not a member of the Exchange
(This line was changed by a decision of the Exchange's Management Board dated February 26, 2026)		
Regulator	Ten characters	1) capital letters "REGUL"; 2) the numbers "00"; 3) a capital letter indicating the connection type: R – connection directly to the trading and clearing system terminal; F – connection to the trading and clearing system via the FIX gateway; G – connection to the trading and clearing system via ASTSBridge; 4) the last two symbols are numbers indicating the serial number of the given regulator employee

User	Number of characters in short code	Structure of the short code
1	2	3
SMA- client	Twelve symbols	1) capital letters of the Latin alphabet identical to the letters of the identification code of the Exchange's member whose SMA client the user is; 2) the number "0" (or a combination of several zeros), if the number of letters in the identification code of the Exchange's member is less than five characters; 3) letters "SMA"; 4) a capital letter indicating the SMA client connection type: S – connection directly to the trading and clearing system terminal; F – connection to the trading and clearing system via the FIX gateway; G – connection to the trading and clearing system via ASTSBridge; 5) the last three characters are numbers indicating the serial number of this SMA client
Employee of the Exchange	Twelve symbols	1) the first four symbols are capital letters of the Latin alphabet "KASE", denoting an employee of the Exchange; 2) the numbers "00"; 3) capital letters indicating the structural division of the Exchange: MKL – trading division; CLR – clearing division; RISK – risk officer of the clearing division; TRES – finance division; DIS – division of information and statistics; SOS – settlement division; AUD – internal audit division; SVS – transactions surveillance division; DIT – information technology division; 4) the last three symbols are digits indicating the serial number of the Exchange's employee, with the exception of employees of the finance, information and statistics, information technology and risk divisions of the clearing department, whose ordinal number consists of two digits as the last symbols

User	Number of characters in short code	Structure of the short code
1	2	3
Risk Management System User	Twelve symbols	1) the first seven characters are the capital letters of the Latin alphabet "RISKMON", denoting the Clearing House's employee; 2) the last five symbols are numbers indicating the serial number of the given Clearing House's employee
Observer from the Ministry of Finance of the Republic of Kazakhstan	Ten characters	1) capital letters "MNFRK"; 2) the numbers "00"; 3) the letter "A", indicating the user's authority when working with the trading and clearing system – with the right to view trading and clearing accounts and positions of the Ministry of Finance of the Republic of Kazakhstan, as well as information on special trading sessions being conducted; 4) the last two symbols are numbers indicating the serial number of the employee of the Ministry of Finance of the Republic of Kazakhstan
KASE Clearing Centre JSC	Twelve symbols	1) the first four characters are capital letters of the Latin alphabet "KACC", denoting an employee of KASE Clearing Centre JSC; 2) the numbers "00"; 3) capital letters indicating the structural division of KASE Clearing Centre JSC: CLR – clearing division; RISK – risk division; TRES – treasury; SOS – settlement division; DIT – information technology division; 4) the last three symbols are numbers indicating the serial number of the employee of KASE Clearing Centre JSC
User of the risk management system of KASE Clearing Centre JSC	Twelve symbols	1) the first seven characters are capital letters of the Latin alphabet "RISKMON", denoting an employee of KASE Clearing Centre JSC; 2) the last five characters are numbers indicating the serial number of the employee of KASE Clearing Centre JSC

Appendix 2

to the Instruction on the procedure for assigning codes to members of Kazakhstan Stock Exchange JSC and their accounts, users of trading systems, issuers of securities and financial instruments

(This appendix was changed by a decision of the Exchange's Management Board dated October 22, 2020 and was excluded by a decision of the Exchange's Management Board dated August 15, 2023)

Appendix 3

to the Instructions on the procedure for assigning codes to members of Kazakhstan Stock Exchange JSC and their accounts, users of trading systems, issuers of securities and financial instruments

(This appendix was included by a decision of the Exchange's Management Board dated June 15, 2021)

THE STRUCTURE
of the short code of the user of the SPECTRA trading and clearing system

User	The number of characters in the short code	Structure of the short code
1	2	3
Trader, observer of an Exchange member, SMA client	15 characters	1) lowercase letter of the Latin alphabet "f", denoting the user of the trading and clearing system of the derivatives market; 2) a lowercase Latin letter indicating the connection type: t – connection directly to the trading and clearing system terminal; g – connection to the trading and clearing system via the PLAZA2 CGate, FIX or FAST gateway; w – connection to the trading and clearing system via the TWIME gateway; *(this sub-item was changed by a decision of the Exchange's Management Board dated July 15, 2025)* 3) the code of the settlement company; 4) lowercase letter of the Latin alphabet, indicating the user's level: r – a user acting on behalf of a member of the Exchange (a trader or an observer); c – SMA client; 5) a lowercase letter of the Latin alphabet indicating the user's authority when working with the trading and

User	The number of characters in the short code	Structure of the short code
1	2	3
		clearing system: m – with the right to conclude transactions with a direct connection type; t – with the right to conclude transactions with the gateway connection type; v – with the right to view all information about the company, including trading accounts, positions and market information with direct and gateway connection types; 6) the " _ " character (underscore) for the connection types direct and via the TIME gateway, or the characters "x2" for the connection type via the PLAZA2 gateway CGate, FIX or FAST; 7) eight characters, which are arbitrary numbers and / or lowercase letters of the Latin alphabet, denoting this user
Controller	15 characters	1) lowercase letter of the Latin alphabet "f", denoting the user of the trading and clearing system of the derivatives market; 2) lowercase letters "txxnb"; 3) the " _ " character (underscore); 4) eight characters, which are arbitrary numbers and / or lowercase letters of the Latin alphabet, denoting this employee of the Exchange
Exchange Employee	15 characters	1) lowercase letter of the Latin alphabet "f", denoting the user of the trading and clearing system of the derivatives market; 2) lowercase letters "txxov"; 3) the " _ " character (underscore); 4) eight characters, which are arbitrary numbers and / or lowercase letters of the Latin alphabet, denoting this employee of the Exchange