

# CENTRAL SECURITIES DEPOSITORY JSC

## **A g r e e d**

by the decision of Strategy Committee of the Board of Directors  
of Central Securities Depository JSC  
(meeting minutes # 9 dated October 9, 2013)

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

by the decision of Management Board  
Central Securities Depository JSC  
(meeting minutes # 15 dated October 17, 2013)

## **STRATEGIC PLAN OF MAIN WORKS for 2014–2016**

#	Content	Deadline
<b>1.</b>	<b>Risk minimization</b>	
<b>1.1.</b>	<b>Internal audit of Central Securities Depository JSC</b>	
1.1.1.	Conducting operational audit under SAS 70	2016
1.1.2.	Conducting IT-audit	2014–2015
<b>1.2.</b>	<b>Risk management</b>	
1.2.1.	Analyzing efficiency of used entries to quantitative risk assessment and developing upgraded approaches to stress tests	Annual
1.2.2.	Introducing procedures for providing information and communication technologies continuity in accordance with international industrial standards	2014–2015
1.2.3.	Reviewing and renewing of international rating of the Central Securities Depository by Thomas Murray	Annual

#	Content	Deadline
<b>2.</b>	<b>Hardware and software</b>	
<b>2.1.</b>	<b>Equipment</b>	
2.1.1.	Introducing events determined in Information and technical policy <sup>1</sup>	2014–2016
<b>2.2.</b>	<b>Software</b>	
2.2.1.	Reviewing and determining standards and auditing process of development, testing and introducing software	2014–2016
<b>3.</b>	<b>Enlarging list of services</b>	
3.1.	Proposal that the Central Securities Depository maintains metal accounts including proposals to amend the law of the Republic of Kazakhstan	2014–2015
<b>4.</b>	<b>Automating interaction with other entities</b>	
4.1.	Automating interactions with Treasury Committee and Tax Committee of the Ministry of Finance of the Republic of Kazakhstan, the National Bank of the Republic of Kazakhstan and other interested state bodies	2014–2016
4.2.	Automating interactions with Integrated Securities Registrar JSC	2014
4.3.	Automating interactions with recordkeeping entities and servicing banks	2014–2016
<b>5.</b>	<b>Trade repository</b>	
5.1.	Creating legal basis and introducing automated information system to fulfill functions of trade repository	2014
<b>6.</b>	<b>Continuing works envisaged by strategy for 2011–2013</b>	
<b>6.1.</b>	<b>International Accounting Standards</b>	
6.1.1.	Introducing net settlement day T+3 with partial security and central counterparty	2014–2016
<b>6.2.</b>	<b>International documentation standard</b>	
6.2.1.	Introducing electronic documentation in accordance with standard ISO 20022 "Financial Services – Universal financial industry message scheme"	2014–2016

President

Bakhytzhan Kapyshev

<sup>1</sup> At the moment when this document is approved the Information and technical policy was being developed.