

CENTRAL SECURITIES DEPOSITORY JSC

Approved by

decision of the Management Board of Central
Securities Depository JSC

(minutes of the meeting
No. 1 dated January 5, 2020)

Put into effect

from January 6, 2020

REGULATIONS

on acceptance and issue of operational documents

Almaty

2020

AMENDMENT SHEET

1. Amendments and additions No. 1:

- approved by resolution of the Management Board of Central Securities Depository JSC (minutes of the meeting No. 38 dated July 30, 2020);
- effective from September 21, 2020.

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These Regulations were developed according to internal document "Operating regulations" included in the Code of Rules of Central Securities Depository JSC (hereinafter, the Central Securities Depository).

Article 1. Definitions, terms, conventional (abbreviated) designations

1. These Regulations use the definitions, terms, conventional (abbreviated) designations defined by the laws of the Republic of Kazakhstan and the Central Securities Depository's internal document "Introduction to the Code of Rules of Central Securities Depository JSC".
2. Other definitions, terms and conventional (abbreviated) designations used in this document are identical to the definitions, terms and conventional (abbreviated) designations defined in other internal documents of the Central Securities Depository.

Article 2. Beginning of the operational day

1. The operational day in the Central Securities Depository begins at 9:00 AM Almaty time.
2. From the beginning of the operational day, the Central Securities Depository performs:
 - 1) acceptance of operational documents in hard copy or in electronic form other than through Personal Account or EDMS;
 - 2) processing of operational documents received from its clients in hard copy or in electronic form other than through Personal Account or EDMS on the current operational day, and of electronic documents sent through EDMS and/or Personal Account and received after closing of the previous operational day;
 - 3) issue of operational documents to its clients.

Article 3. Specifics of acceptance and issue of documents in electronic form

1. The clients of the Central Securities Depository may send requests/orders electronically through EDMS and/or Personal Account at any time.
2. The Central Securities Depository accepts operational documents sent by its clients through EDMS and/or Personal Account on 24x7 basis.
3. The ending time for acceptance and processing of client's requests/orders by the Central Securities Depository, and the ending time for issue of reports/messages to its clients is established by Appendices 1 and 2 to these Regulations.

When receiving requests/orders from the clients electronically through EDMS and/or Personal Account after the end of the operational day, Central Securities Depository starts processing of such requests/orders on the following operational day.

President

B. Kapyshev

Appendix 1

(This appendix was amended by resolution of the Management Board of the Central Securities Depository dated July 30, 2020)

Operating Regulations

Ending time of acceptance and processing of client's operational documents by the Central Securities Depository

Item No.	Type of operational document	Almaty time, until which the operational documents are accepted and processed
A	1	2
I FOR MAINTENANCE OF SECURITY HOLDER REGISTER SYSTEM AND DEPOSITORY ACTIVITIES		
1.1.	Order for registration of a transaction with financial instruments:	
1.1.1.	● submitted as original in hard copy	6:00 PM
1.1.2.	● submitted electronically through Personal Account	acceptance - 24/7; processing - until 6:00 PM
1.1.3.	● submitted electronically through EDMS	acceptance - 24/7; processing - until 7:30 PM
1.2.	Request/order for issue of reporting documents:	
1.2.1.	● submitted as original in hard copy	6:00 PM
1.2.2.	● submitted electronically through Personal Account	acceptance - 24/7; processing - until 6:00 PM
1.2.3.	● submitted electronically through EDMS	acceptance - 24/7; processing - until 7:30 PM
1.3.	Other document	6:00 PM
II FOR CERTAIN TYPES OF BANKING OPERATIONS		
2.1.	Depositor's instruction:	
2.1.1.	● submitted as original in hard copy	6:00 PM
2.1.2.	● submitted electronically	7:45 PM
2.2.	Expected cash receipt notice	
2.2.1.	● submitted as original in hard copy	6:00 PM
2.2.2.	● submitted electronically	6:00 PM
2.3.	Other document	6:00 PM
III FOR PAYING AGENT SERVICES IN THE SECURITIES MARKET		
3.1.	Issuer's request for provision of the security holder list	5:00 PM
3.2.	Security holder list for payment of dividends, premium or nominal value upon bond redemption	4:00 PM

Appendix 2

(This appendix was amended by resolution of the Management Board of the Central Securities Depository dated July 30, 2020)

Operating Regulations

Ending time of issue of operational documents by the Central Securities Depository to its clients

Item No.	Type of operational document	Almaty time, until which the operational documents are issued
A	1	2
I FOR MAINTENANCE OF SECURITY HOLDER REGISTER SYSTEM AND DEPOSITORY ACTIVITIES		
1.1.	Operational document issued as original in hard copy	6:00 PM
1.2.	Operational document issued electronically through "DOC.KACD" Personal Account	6:00 PM
1.3.	Operational document issued electronically through EDMS	
	<ul style="list-style-type: none"> standard document not requiring processing by an operator of the Central Securities Depository 	24/7
	<ul style="list-style-type: none"> non-standard document or standard document requiring processing by an operator of the Central Securities Depository 	8:00 PM
1.4.	Operational document issued electronically through "Issuer" or "Holder" Personal Accounts	
	<ul style="list-style-type: none"> standard document not requiring processing by an operator of the Central Securities Depository 	24/7
	<ul style="list-style-type: none"> non-standard document or standard document requiring processing by an operator of the Central Securities Depository 	6:00 PM
II FOR CERTAIN TYPES OF BANKING OPERATIONS		
2.1.	Operational document issued as original in hard copy	6:00 PM
2.2.	Operational document issued electronically	8:00 PM
III FOR PAYING AGENT SERVICES IN THE SECURITIES MARKET		
3.1.	Security holder list provided to the issuer	6:00 PM
3.2.	Information on inclusion of the depositor or its clients in the security holder list (with details of the forthcoming payment), issued to the depositor	6:00 PM
3.3.	Notification about performed payment of dividends, premium or nominal value upon bond redemption, provided to the issuer	6:00 PM
3.4.	Other document	6:00 PM