AIX Post-trade

Market Notice 2018-08-07\_03

AIX cash transferring procedure related to the Ministry of Finance Eurobonds trades

|  |  |
| --- | --- |
| **Date** | 07/08/2018 |

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| --- |
| AIX hereby informs Market Participants that the model described in Appendix 1 applies to cash transfers.To transfer cash, received from sale of securities or from corporate actions, Market Participants shall provide AIX with a Cash transfer instruction.Please note that cash transfer instructions are processed in accordance with the “Procedure of conducting the DVP (Delivery Versus Payment) Settlement in Securities with PJSC ROSBANK” (Rosbank procedure) set forth at the following link (<https://www.custody.ru/ru/docs/docs-d/docs-dep.php>).Please note that the cash transfer will be undertaken by Public Joint-Stock Company ROSBANK.AIX hereby confirm its obligation to compensate damage (actual damage) arose because of AIX fault. |
| Please contact AIX Post-trade by phone, +7(7172) 235305, or email, PTD@aix.kz, for any additional information. |

Appendix 1
of Market Notice yyyyy-mm-dd\_xx

CASH TRANSFER PROCEDURE RELATED TO THE MINISTRY OF FINANCE EUROBONDS TRADES

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Step number** | **Sender** | **Document** | **Recipient** | **Action taken by Recipient** | **Notes** |
| 1 | MP | Cash transfer one-time instruction | AIX | Register Cash transfer one-time instruction and confirm back to MP. | If the Cash transfer one-time instruction is incomplete or incorrect, AIX would not process it.Cash transfer one-time instruction from MP is accepted until 16:00 Astana time (+6 GMT).Cash transfer one-time instruction must be provided in PDF format at SFTP server (Access will be granted after AIX appointment as a Custody Account Operator). |
| 2 | AIX | Cash transfer one-time instruction | RB | Register the Settlement instruction and confirm back to AIX. | Cash transfer one-time instruction sent by AIX must comply with MP Cash transfer one-time instruction. |
| 3 | AIX | Confirmation of receiving Cash transfer one-time instruction | MP |  | Confirmation of receiving Cash transfer one-time instruction will be made available in PDF format at SFTP server (Access will be granted after AIX appointment as a Custody Account Operator). |
| 4 | RB | Cash transfer confirmation | AIX | Confirm settlement to MP | Cash transfer confirmation may be:1. Positive in case of successful cash transfer;2. Negative in case of failed cash transfer. |
| 5 | AIX | Cash transfer confirmation | MP | - | Cash transfer Confirmation will be available in PDF format at SFTP server not later than the next business day (Access will be granted after AIX appointment as a Custody Account Operator). |

**Abbreviations:**

MP Market participant
AIX Astana International Exchange
RB Rosbank

Appendix 2
of Market Notice yyyyy-mm-dd\_xx

**Cash transfer one-time instruction**

dated «\_\_\_»\_\_\_\_\_\_\_\_ 20\_\_

*(Name or full title of the Depositor-legal entity)*

 We hereby request funds transfer:

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Currency: |  |  | USD |  | EUR |  | RUR |  | [specify a different currency] |  |
|  |  |  |  |  |  |  |  |  |  |  |
| Amount of: |  |  |  | ( |  | ) |
|  |  |  |  |  | *(amount in words)* |  |
|  |  | in the amount of balance |
|  |  |  |
|  |  | in the amount of balance after the deduction in the amount of |  | ( |  | ) |
|  |  |  |  | *(amount in words)* |  |
| Implementation deadline: | *DD.MM.YYYY* | As of  | *[specify the exact time]* |  |
|  |  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | from the DVP Cash Account No. 306 |  |  |

 on the following bank details:

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|

|  |  |
| --- | --- |
| Receiver |   |
| No of Receiver’s bank account |   |
| Bank of the Receiver |   |
| BIC of the Bank of the Receiver |   |
| Taxpayer’s Identification Number (INN)/ Tax Registration Reason Code (KPP)  |   |
| Correspondent Account/ Correspondent Bank |   |
| SWIFT BIC |   |

 |  |
| The procession of my personal data indicated herein is performed by the Bank1 with or without automation facilities for the purpose of the Instruction. The procession of personal data includes collection, systematization, accumulation, storage, specification (updating, modification), application, transfer (provision), depersonalization, blocking and destruction. The term of the procession of personal data is limited to the moment when the goal specified in this document is achieved. |  |

 We guarantee to recover all costs related to cash transfer transactions.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

 *(position) (signature) (name)*

 Seal (if any)