

Astana International Exchange Central Securities Depository Limited

Market Notice 2020-07-16_01

Amendments introduced into the AIX CSD Procedures

Date	16/07/2020
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Pursuant to the Rules 1.4 and 1.5.6 of the AIX CSD Business Rules and the Section “Interpretation and Construction” of the AIX CSD Procedures, AIX CSD hereby informs its Participants as follows:

Effective from 17/07/2020, certain amendments introduced into the AIX CSD Procedures will come into effect and shall become binding on its Participants. Modifications are associated with Procedures for Rule 3.1.2. – “Account opening” of Section 3: Depository Accounts:

- To open a Nominee **Account**, a **Participant** shall: (i) fill in a CSD-IAO Form and send the Form to **AIX CSD** through **SFTP**, or (ii) send data in electronic form through a channel specified by **AIX CSD** in a Notice. After **AIX CSD** has been satisfied that the data transferred to it is full and accurate, **AIX CSD** will, within 2 (two) Business Days, open a Nominee **Account** for the **Participant** on the basis of the data provided by the **Participant** and confirm the account opening to the **Participant**. The **Participant** is fully responsible for the completeness and accuracy of the data provided by it to **AIX CSD** in respect of the Client. In case **AIX CSD** rejects opening the requested Nominee **Account** in the **Depository System**, **AIX CSD** will notify the **Participant** of such rejection within 2 (two) Business Days from the day of the receipt of the request.
- Alternatively, for bulk upload of Nominee **Accounts** for the **Participant's Clients** into the **Depository System**, the **Participant** shall send the data to AIX CSD: (i) through **SFTP** as a Microsoft Excel file in a format as specified in CSD-BUNA Form accompanied by the **Participant's** account opening request stating the number of Nominee **Accounts** to be opened, or (ii) in electronic form through a channel specified by **AIX CSD** in a Notice. After **AIX CSD** has been satisfied that the data transferred to it is full and accurate, **AIX CSD** will, within 3 (three) Business Days, open Nominee **Accounts** for the **Participant** on the basis of the data provided by the **Participant** and confirm the account opening to the **Participant**. In case **AIX CSD** rejects opening one or more of the requested Nominee **Accounts** in the **Depository System**, **AIX CSD** will notify the **Participant** of such rejection within 3 (three) Business Days from the day of the receipt of the request.

Modifications to the AIX CSD Procedures are available at the following link:

<https://www.aix.kz/clearing-settlement/>

Should you have any questions in relation to this Notice, please feel free to contact the AIX CSD at ptd@aix.kz or, by phone, +77172 23 53 02 / + 77172 23 53 79.