Astana International Exchange

Market Notice MN\_2021/02/16\_173044

Reporting of Off the Order Book Transactions

**ANNEX 1**

**Trade Report**

This report is being submitted by the Member to Astana International Exchange pursuant to TRD 2.3 and TRD 15.4 of AIX Business Rules, in respect of the following transaction(s):

|  |  |
| --- | --- |
| **1. Core Information** | |
| Original Trade ID (Member’s order management system) |  |
| Trade date (dd.mm.yyyy) |  |
| Trade time (hh:mm) |  |
| Settlement Date (dd.mm.yyyy) |  |
| Trading Symbol |  |
| Board (equity/debt) |  |
| Trade Currency |  |
| Price |  |
| Quantity |  |

The Member must provide to AIX additional information in a form of the table below in respect of the transaction(s), if one of the following criteria is met:

1. for Equity Board transactions, transaction value is equal or above KZT 7 mln;
2. for Debt Board transactions, transaction value is equal or above KZT 45 mln;
3. transaction price deviates from the market price for more than 10%;
4. Transaction involves a person or jurisdiction in respect of which guidance, directives or sanctions have been introduced by FATF, the United Nations Security Council, the government of the Republic of Kazakhstan, European Union, the United Kingdom (HM Treasury), or the United States of America (Office of Foreign Assets Control of the Department of Treasury).

|  |  |
| --- | --- |
| **2. Additional Information (where applicable)** | |
| **2.1. Transaction Details** | |
| Base Currency Value |  |
| Equivalent value in KZT |  |
| Exchange Rate |  |
|  |  |
| **2.2. Parties Details** | |
| **2.2.1. Buyer** | |
| Buyer Broker Code assigned by AIX |  |
| Broker Reference (*MM, House or client reference No.*) |  |
| Buyer Client First Name (*if client legal entity, full name of company*) |  |
| Buyer Client Last Name (*if client legal entity, first and last name of CEO*) |  |
| Buyer Client IIN (*if legal entity, BIN*) |  |
| Buyer Client Jurisdiction (*ISO code, e.g. KZ*) |  |
| **2.2.1. Seller** | |
| Seller Broker Code assigned by AIX |  |
| Member Reference (*MM, House or client reference No.*) |  |
| Seller Client First Name (*if client legal entity, full name of company*) |  |
| Seller Client Last Name (*if client legal entity, first and last name of CEO*) |  |
| Seller Client IIN (*if legal entity, BIN*) |  |
| Seller Client Jurisdiction (*ISO code, e.g. KZ*) |  |
|  |  |
| **2.3. Bank Details (Bank involved in cash settlement)** | |
| Beneficiary’s Bank |  |
| Beneficiary’s Bank Jurisdiction |  |
| IBAN |  |
| Bank SWIFT Code |  |

Legal Name of the reporting Member: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Full Name and title of a person responsible for completion of the report: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_