**Regulation
on Informing about Emergency Situations via SMS-Notifications**

1. Terms and Definitions

ITS means International Trading System Limited

Applicant means a Trading Member/ Clearing Member or another person willing to receive SMS-notifications on emergency situations.

Emergency situation means circumstances that, according to the estimate of ITS, have violated, violate or may violate normal serving of Trading Members/ Clearing Members in accordance with internal regulations of ITS.

SMS-notification means notification by ITS of Trading Members/ Clearing Members or other persons by way of sending them SMS-messages containing information on emergency situations.

SMS (Short Message Service) means method of communication, technology allowing receipt and transfer of short text messages (SMS messages) with the use of a mobile phone.

Sent SMS-Notification means relevant SMS-message transferred to the mobile network operator.

Authorised employees mean employees of a Trading Member/ Clearing Member or another person, to whose phone numbers ITS sends SMS-messages containing information on emergency situations.

All terms that are not defined in the Regulation shall have the meanings provisioned in the of Astana International Financial Centre (AIFC) Regulations and Rules and/ or ITS internal regulations.

2. General Provisions

2.1. ITS notifies Trading Members/ Clearing Members or other persons on occurrence/ change in status/ termination of Emergency Situations via SMS-notifications to Authorised Employees in accordance with this Regulation on Informing about Emergency Situations via SMS-Notifications (the Regulation).

2.2. A precondition for receiving of SMS-notifications is provision by the Applicant of information indicated in the Regulation under the procedure set out in the Regulation.

2.3. ITS bears no responsibility in case of non-delivery and/ or late delivery of the SMS-Notifications Sent.

3. Procedure for Information Provision by the Applicants

3.1. To Receive SMS-notifications, the Applicants that are Trading Members /Clearing Members fill in and send to ITS following:

- SMS_INFO message compiled in accordance with the requirements of Annex No. 1 to the Regulation, in the form of an electronic document signed with the digital signature of the authorised person of the Applicant and sent with the use of the Document Exchange System to ITSKK@REPORT; or

- A message in paper format signed by the authorised person of the Applicant and executed in the form presented in Annex No. 2.

3.2. To receive SMS-notifications, the Applicants that are not Trading Members (Clearing Members) fill in and send to ITS an application in paper format executed in the form presented in Annex No. 2 to the Regulation. ITS may refuse to provide SMS-notifications to Applicants indicated in this clause without explaining the reason.

3.3. Applicant starts to receive SMS-notifications within the following time limits after receipt of ITS's response message on submitted message processing:

- By the next business day after receipt of ANSWER_SMS_INFO message executed in accordance with the requirements of Annex No. 1 to the Regulation, if the Applicant has sent SMS_INFO message in electronic format.
- By the fourth business day after receipt of a message on processing of the message executed in the form presented in Annex No. 2, if the Applicant has sent a message executed in the form presented in Annex No. 2 in paper format.

1. General Provisions

1.1. SMS_INFO message in CSV format is sent via the Document Exchange System to ITSKK@REPORT.

1.2. In case of successful processing of the SMS_INFO message, ITS sends its response in an ANSWER_SMS_INFO message.

1.3. In case of sending of an SMS_INFO message with the request type R (request of the list of Authorised Employees with indication of numbers), ITS replies with an ANSWER_SMS_INFO_RESPONSE message.

1.4. In case of changes in the information on the Authorised Employees, an SMS_INFO message with the request type D (delete entry) shall be sent regarding the said persons, and, if necessary, an SMS_INFO message with the request type A (add entry).

1.5. Technical designations and notes:

- Coding: win-1251.
- ASCII horizontal tab (HT) (0x09) control symbol shall be used as a field separator in the lines.
- ASCII control symbols carriage return (CR) (0x0D) and line feed (LF) (0x0A) shall be used as line separators.
- MaxSize means the maximum number of symbols in a field.
- int means an integer.
- the following designations are used in M/O column:
  - M (mandatory) means mandatory field (an empty line is not allowed).
  - O (optional) means optional field (an empty line or "-" character is allowed).

2. SMS_INFO message

No.	Assignment	Comments	MaxSize	M/O
1	Operation type	Request types: A – Add an entry. D – Delete an entry. R – Request of the list of Authorised Employees with indication of numbers.	C1	M
2	User name	Any user name, based on which their phone number can be defined *(E.g.: Alexander, Skywalker, Back Office 1, etc.) Russian and Latin letters, as well as any signs and symbols are acceptable.*	C50	M
3	Spare field	The field shall contain a dash	C50	M
4	Spare field	The field shall contain a dash	C50	M
5	Telephone number	Fill in as: +WWWWXXXYYYYYYY, where: • +WWWW – country phone code • XXX – mobile operator code. • YYYYYYY – phone number.	C15	M
6	Mailing groups	Indicate one or more of the following values defining belonging to one of the SMS-notification recipient groups indicated below: • 1– employee of the unit that ensures internal accounting and control of operations with securities (back office); • 2 – Technical expert. • 3 – Manager.	C25	M

		• 4 – Other person. If several values are provided, the values are separated with commas.		

Example of a message sent to ITS: **SMS_INFO.csv**

```
A    Skywalker    -    -    +37451111111  1,2
D    Back Office1 -    -    +77012222222  1,3
R
```

3. ANSWER_SMS_INFO message

No.	Assignment	Comments	MaxSize	M/O
1	Telephone number	Indicate the phone number(s) from the SMS_INFO message (except for SMS_INFO message with the request type R) to which a reply is being provided	c15	M
2	Processing result	Contains result of SMS_INFO message processing: • Ok in case of successful processing. • Fail in case of errors.	c12	M
3	Error description	Contains error description, if any	c255	O

Example of a response message: ANSWER_SMS_INFO.csv

```
+37451111111    Ок
+37451111111    Fail  A contact with this phone number already exists in the data base.
+37451111111    Fail  Incorrect phone number format
```

4. ANSWER_SMS_INFO_RESPONSE message

No.	Assignment	MaxSize	M/O
1	User name	C50	M
2	-	C50	M
3	-	C50	M
4	Telephone number	C15	M
5	Mailing group	C25	M

Example message: ANSWER_SMS_INFO_RESPONSE_03012021.csv

```
Skywalker    -    -    +37451111111 1,2,3
Back Office   -         +77012222222 2
```

5. Requirements for file Names for electronic document exchange between the Applicants and ITS.

Document (message) type	Prefix of the incoming document (message) name	Prefix of the outgoing document (message) name	
Request for information on emergency situations via SMS-notifications	SMS_INFO_DDMMYYYY_NN.csv	ANSWER_SMS_INFO_DDMMYYYY	ANSWER_SMS_INFO_RESPONSE _DDMMYYYY

Application is submitted on corporate letterhead

_____, 20__

The Senior Executive Officer of
International Trading System Limited

Application
on informing on emergency situations via SMS-notifications

(the "Applicant")

_____
full name, state registration number of the organisation

requests that you provide information on emergency situations via SMS-notifications to the Applicant using phone number.

By signing this application, the Applicant confirms that they are familiar and agree with the terms and conditions of the Regulation on Informing about Emergency Situations via SMS-Notifications.

_____
Contact phone number of the Authorised Employee in the format +WWWWXXXYYYYYYY, where: +WWWW means the country phone code, XXX means mobile network operator code, YYYYYYY means the phone number.

Indicate one or more groups to which the Authorised Employee belongs:

☐ 1 – employee of the unit that ensures internal accounting and control of operations with securities (back office).
☐ 2 – Technical expert.
☐ 3 – Manager.
☐ 4 – Other person.

_____
Other contact number, e-mail

_____
Position, full name, signature, seal