

**INSTRUCTIONS ON THE PROCEDURE FOR ASSIGNMENT (UPDATING) OF CODES ASSIGNED TO
MEMBERS AND MEMBER'S CLIENTS OF
INTERNATIONAL TRADING SYSTEM LIMITED**

1. Terms and Definitions

Member Identifier – a unique code comprised of letters, numbers or combinations thereof, that CC assigns to Member in accordance with the Membership Rules of International Trading System Limited (the Membership Rules).

Member Identification Data – information on the Member contained in documents and/ or data provided for the purpose of registration as a Member in accordance with Membership Rules and these Instructions.

Identification Data of Member's Client – information on the Member's Client contained in the application for client registration submitted by the Member for registration of the Member's Client.

CC – International Trading System Limited.

Client – a Member's client and (or) other person in whose interests the Member enters into Contracts.

Member's Client shall mean a Member's Client registered by the CC in accordance with the Clearing Rules and these Instructions.

Short Code of a Member/ Client – a unique alphanumeric code assigned by CC in accordance with Membership Rules and these Instructions.

Clearing Rules - Clearing Rules of International Trading System Limited.

Code of a Member/ Client – code assigned by CC to a Member/ Client in accordance with Membership Rules and these Instructions.

Manager - organisation performing activities aimed at trust management in accordance with its personal law.

Second-Tier Client shall mean a Member's Client who is the client of a broker, who in turn is a Member's Client, registered by the CC in accordance with the Clearing Rules and these Instructions.

Trading day - period of time, during which the Trading Platform provides trading services.

Terms, that are not specifically defined in these Instructions, shall have the meanings set out in the Clearing Rules and Membership Rules.

2. General Provisions

2.1. These Instructions on the procedure for assignment (updating) of codes assigned to Members and Clients of International Trading System Limited (the Instructions) define following:

- procedure for Identifier assignment to Members;
- procedure for code assignment to Members and Clients;
- procedure for updating of the codes of Members and Clients in case of changes in information on such Members and Clients.

2.2. CC provides clearing services to the Members, subject to their registration by CC under the procedure provisioned in Membership Rules and these Instructions.

2.3. CC ensures registration of Members, and upon Member's request registration of the Clients. Upon registration of Members and Clients CC assigns to the said persons unique codes enabling their identification.

2.4. In accordance with Membership Rules and under the procedure set out in these Instructions, CC assigns to Members and Clients following unique codes:

- Code of a Member/ Client;
- Member Identifier;
- Short Code of a Member/ Client.

3. Procedure for Member Identifier assignment

3.1. Member Identifier consists of letters, numbers, symbols or combinations thereof, but maximum 5 values, the last symbol always being Latin letter K.

Example of a Member Identifier:

AAAAA, where AAAAA - consists of maximum five (5) values (Latin letters, numbers, symbols or combinations thereof).

4. Procedure for Member Code compilation

4.1. Member Code consists of the following:

- Member Identifier (AAAAA);
- Underscore "_";

- Additional Member identifier (BBBBBBBBBB);
- Underscore "_";
- three-digit code of the country, where the Member is registered, in accordance with ISO 3166-1 Alpha 2 standard of International Organisation for Standardisation (GGG).

Additional Member Identifier is one of the following parameters:

- Tax Identification Number, the first three symbols being TIN;
- Registration number in the country of registration, the first three symbols being REG (in absence of TIN).

Example of a Member Code: AAAAA_TINBBBBBBBBBBB_GGG_, where:

AAAAA– Member Identifier;

BBBBBBBBBBB – TIN used as Additional Member Identifier;

GGG - three-digit code of the country, where the Member is registered, in accordance with ISO 3166-1 Alpha 2 standard of International Organisation for Standardisation.

4.2. Code of a Member being securities manager/ managing company, in addition to information indicated in clause 4.1. hereof also includes manager type and Member Identification Data assigned in accordance with Annex 2 hereto.

4.3. Code of a Member being securities manager contains code of manager's client (trust management issuer) and is assigned by the number of the said clients.

4.4. Code of a Member being - the management company of the investment fund / mutual investment fund also includes identification data of the investment fund / mutual investment fund.

Example of Code of a Member being securities manager:

Manager type	Code of a Member	Comments
Securities manager	AAAAA_CCCCCCCCCC/YY/XXXXXX XXXX/GGG_FF	YY – trust management issuer type XXXXXXXXXX- trust management issuer code GGG – code of the country, where the trust management issuer is registered, in accordance with ISO 3166-1 Alpha 2 standard of International Organisation for Standardisation. FF – type of Member being manager/ managing company in accordance with Annex 2
Managing company	AAAAA_CCCCCCCCCC_PPPPPPP PPP_FF	PPPPPPPPP – identification data of the investment fund / mutual investment fund . FF – type of Member being manager/ managing company in accordance with Annex 2.

5. Procedure for assigning the Registration Codes to the Member's Client

5.1. Client Code consists of:

- Member Code (AAAAA_CCCCCCCCCC);
- Underscore "_";
- Client Identification Data indicated in accordance with Annex 2 hereto (EEEEEEEEEE);
- Underscore "_";
- Client type - 1 to 2 symbols defined in accordance with Annex 2 hereto (FF);
- Underscore "_";
- Three-digit code of the country, where the Client is registered, in accordance with ISO 3166-1 Alpha 2 standard of International Organisation for Standardisation (GGG).

If a Client is a stateless person, the Code of this Client includes three-digit code "000" instead of the country code.

Example of Client Code:

AAAAA_CCCCCCCCCC_EEEEEEEEE_FF_GGG

6. Procedure for assigning Registration Codes to the Second-Tier Clients

6.1. At the time of submission of the application form for registration of Second-Tier Clients of the Member (CLIENTS messages) (the "Application Form") for registration of the Second-Tier Client, the

Member's client that is a broker company for such Second-Tier shall be registered and identified by CC.

6.2. The Registration Code of the Second-Tier Client consists of:

- Member Code (AAAAA_CCCCCCCCCC);
- Underscore "_";
- Client Identification Data indicated in accordance with Annex 2 hereto (EEEEEEEEEE);
- Underscore character "_";
- Second-Tier Client type - 1 to 2 symbols defined in accordance with Annex 2 hereto (FF);
- Underscore character "_";
- Three-digit code of the country, where the Client that is a broker is registered, in accordance with ISO 3166-1 Alpha 2 standard of International Organisation for Standardisation (GGG).

If the Second-Tier Client is a stateless person, the Code of this Second-Tier Client includes three-digit code "000" instead of the country code.

Example of the Registration Code of the Second-Tier Client:

AAAAA_CCCCCCCCCC_EEEEEEEEEE_FF_GGG

7. Procedure for Short Code assignment to Member/ Client

7.1. Member / Client Short Code consists of letters, numbers or combinations thereof, but maximum 12 values.

Example of Member / Client Short Code:

xxxxxxxxxxx, where xxxxxxxxxxxx – consists of twelve (12) symbols.

7.2. Member / Client Short Code is assigned by CC.

7.3. Member / Client may register additional Member / Client Short Codes.

8. Procedure for updating of the Code of Member/ Client in case of changes in information on such Member / Client.

8.1. CC updates Codes of Members/ Clients in case of changes in information on them.

CC updates:

- 1) Member Codes on the basis of application for Member Code updating under the form of Membership Rules;
- 2) Codes of Client on the basis of application for client registration with the indication of the value of Operation Type U under the form set out in Annex 1 hereto;

8.2. Member may submit an application for Member Code updating only in case of changes in their Identification Data. Simultaneously with the said application, the Member undertakes to provide documents and/ or information confirming such changes.

8.3. Member independently monitors relevance and reliability of Identification Data of the Member / the Client. CC bears not responsibility for irrelevance and unreliability of information provided by Members.

8.4. If CC doesn't receive current (changed) information on a Member / Clients, CC bears no responsibility for non-compliance of the Member Code/ Code of the Client with current information.

8.5. CC undertakes to update Member Code/ Code of the Client by the next business day after receipt from the Member of relevant application indicated in clause 7.1. hereof.

8.6. Updating of Member Code/ Code of the Client is ensured by way of entry of changes in the register of Members and register of Clients.

CC undertakes to notify the Member on updated Member Code/ Code of the Client by the next business day after introduction of changes in the register of Members and register of Clients. CC notifies the Member on updated Member Code / Code of Client using the address indicated in the questionnaire or by way of sending of CLR82 report Notification of Assignment of the Codes/ Registration of the Short Codes of the Clients of the Clearing Member and/ or Clearing Member.

Format of application for Client registration

CLIENTS message

One CLIENTS message may contain maximum 2 000 lines, exclusive of message header. To be filled in regarding certain Client and transferred in a separate line after the header line (i.e. starting from the 2nd line of the message), empty lines are not allowed. Message line format is following:

No.	Assignment	Comments	Member's details*	MaxSize	M/O
1	Client Short Code	Indicated by the Member. Use Latin letters, numbers and underscores _. No other symbols allowed		C12	M
2	Operation type	A – Client registration; D – Client deletion; U – Client's data editing.		C1	M
3	Client identification	Client type		C3	M
4	Client Identification Data	Client Identification Data		C64	M
5	Code of the Client's country	In accordance with ISO 3166-1 Alpha 2 standard of International Organisation for Standardisation. For stateless persons – constant 000.		C3	O
6	Spare field			C16	O
7	Spare field			W28	O
8	Spare field			C6	O
9	Spare field			W19	O
10	Spare field			W23	O
11	Acknowledgement, that is allowed to execute agreements with the participation of Central counterparty based on orders submitted at the expense of the same Client ^{1,2}	«Y» – cross transactions are allowed « N » – “cross transactions are prohibited		W24	O
12	Spare field			W32	O

* filled in in case of application transfer in Microsoft Word format.

¹ - Regardless of the field being filled in, execution of agreements with the participation of Central Counterparty based on orders submitted at the expense of the same Client is allowed. This permit remains valid till the end of the trading day, when the Client was registered.

² - when sending a message to edit Client data (Operation type “U”), for which the “Y” flag was previously indicated in field 11, this flag must also be indicated.

If you specify “-” in this field, a prohibition on concluding cross-transactions will be automatically set.

For types 22 and 27 at the time of submission of the application form for registration of the Second-tier client, the Member's client that is a broker for such client shall be registered. Additionally, the completed documents for this Member's client shall be submitted by the Member for the purposes of identification of the Beneficiaries and Intermediaries (under the procedure and within the time limits set out in relevant provisions of the Clearing Rules, Regulations on Information Exchange and Provisions on QI/QDD).

In case of registration of additional Client Short Code, trading operations with the indication of

such Short Code will be allowed from the next Trading Day.

For mass registration of Clients, application for registration of Clients can be compiled under another form and sent in another manner or another format, subject to preliminary coordination with CC. In case of successful message processing, result is presented in CLR82 clearing reports «Notification of Assignment of the Codes / Registration of the Short Codes of the Clients of the Clearing Member». In such case, it is possible not to send the ANSWER_CLIENTS message.

Client registered in accordance with these Regulations may effect trading operations immediately upon receipt of a message on successful activation ANSWER_CLIENT, subject to the Member providing and CC checking of the document to identify Beneficiaries and Intermediaries (under the procedure and within the time limits set out in relevant provisions of the Clearing Rules, Regulations on Information Exchange and Provisions on QI/QDD).

ANSWER_CLIENTS message

Message is sent in response to CLIENTS message. Each processing result in a message is transferred in a separate line after the header lines (i.e. starting from the 3rd line of the message), empty lines are not allowed. Format of a line with response to a message is following:

No.	Assignment	Comments	MaxSize	M/O
1	Client Short Code	From the message, to which response is provided	C12	M
2	Operation type	From the message, to which response is provided	C1	M
3	Client identification	From the message, to which response is provided	C3	M
4	Client Identification Data	From the message, to which response is provided	C64	M
5	Code of the Client's country	From the message, to which response is provided	C3	O
6	Spare field	From the message, to which response is provided	-	O
7	Spare field	From the message, to which response is provided	W26	O
8	Spare field	From the message, to which response is provided	C6	O
9	Spare field	From the message, to which response is provided	W19	O
10	Spare field	From the message, to which response is provided	W23	O
11	Acknowledgement, that is allowed to execute agreements with the participation of Central Counterparty based on orders submitted at the expense of the same Client	«Y» – cross transactions are allowed « - » – cross transactions are prohibited	W24	O
12	Spare field	From the message, to which response is provided	W32	O
13	Number of processing result	List of codes of processing results, separator «;» character	C32	M
14	Description of processing result	List of descriptions of processing results, separator «;» character	W255	O
15	Code assigned to the Client indicated in the line of the initial document	To be indicated only for successful Client adding or changing operations	W64	O
16	Spare field	From the message, to which response is provided	W512	O

Format of messages submitted for registration of Clients

Text messages are used for exchange:

- File name extension: *.txt
- Coding: win-1251
- Each line starts with the first character
- Field separator in the lines: tab character (0x09)
- Number of separators in a line shall strictly comply with specification
- Line separator: combination of <CR>+<LF> and (0x0A,0x0D) characters
- End-of-message character is an empty line, and the number of lines is also indicated in message header

The first line of a message with applications contains header, other lines contain the applications.

The first two lines of a response message contain header:

- the first line contains details of the response message
- the second line is a copy of the first line from the message, to which response is provided, and two fields with processing results

Other lines contain applications from the initial message supplemented with their processing results. If any critical errors are detected in course of processing of the header of a message with applications, the response message doesn't include applications from the message, to which response is being provided.

Designations used in specification

- c<x> – acceptable characters for standard coding of messages (Cyrillic not included) with the maximum length of X
- w<x> - acceptable characters for standard coding of messages (including Cyrillic) with the maximum length of X
- int – an integer
- n<X>.<Y> – a real number with X digits before the dot and Y digits after the dot
- underscore – fixed length
- following designations are used in M/O column:000
 - M (mandatory) – mandatory field (empty line is not allowed)
 - O (optional) – optional field (empty line or «-» character is allowed)

Messages indicated in this Specification can be compiled in Microsoft Word format.

Message header format

The first line of incoming message contains following header fields:

No.	Assignment	Comments	MaxSize	M/O
1	Date of the application	DD.MM.YY (separated with dots) where DD means day, MM means month, and YY means year	c8	M
2	Message number	up to 12 capital Latin letters or digits (no spaces). Number shall be specific for this type of document submitted by the Member in the current day.	c12	M
3	Sender ID	Member's EDMS Code	c7	M
4	Recipient ID	Recipient EDMS Code: ITSCP – International Trading System Limited	c7	M
5	Document type	Code designation of the document type	c30	M
6	Number of lines with applications	Checksum, line with the header is not included	int	M

The first line of a response message contains following header fields:

No.	Assignment	Comments	MaxSize	M/O
1	Date of the application	DD.MM.YY (separated with dots) where DD means day, MM means month, and YY means year	c8	M

2	Message number	up to 12 capital Latin letters or digits (no spaces)	c12	M
3	Sender ID	Recipient EDMS Code: ITSCP – International Trading System Limited	c7	M
4	Recipient ID	Member's EDMS Code	c7	M
5	Document type	ANSWER_ + Code designation of the type of document, to which response is provided	c30	M
6	Number of lines with applications	Checksum, two lines with the header are not included. If errors are identified at the stage of incoming message header processing, this field is always 0	Int	M
7	Number of lines with correctly processed applications	Checksum, two lines with the header are not included. If errors are identified at the stage of incoming message header processing, this field is always 0	Int	M

The second line of a response message contains following header fields

No.	Assignment	Comments	MaxSize	M/O
1	Date of the application	From the message, to which response is provided	c8	M
2	Message number	From the message, to which response is provided	c12	M
3	Sender ID	From the message, to which response is provided	c7	M
4	Recipient ID	From the message, to which response is provided	c7	M
5	Document type	From the message, to which response is provided	c30	M
6	Number of lines with applications	From the message, to which response is provided	int	M
7	Code of processing result of the entire message	Codes of header processing errors, separator «;» character (semicolon)	c32	O
8	Text of the result of processing of entire Message	Texts of header processing errors, separator «;» character (semicolon)	w512	O

Subsequent lines of a response message contain lines with text from the initial application with processing result for each line.

No	Assignment	Comments	MaxSize	M/O
.	Number of processing Result	List of codes of processing results, separator «;» character (semicolon)	c32	O
	Description of processing Result	List of descriptions of processing results, separator «;» character (semicolon)	w512	O

Requirements for naming of files with applications, reports, notifications, and other documents sent via Electronic Document Management System ¹

No.	Document type	Prefix for incoming document in CC	Prefix for response document from CC
1	Application for Registration/Unregistration of Clients and/or Clients of Clients of the Clearing Member/assignment of a brief client code and/or client code of the Clearing Member's client	CLIENTS_	ANSWER_CLIENTS_

¹ After the prefix, message name is entered in any form. CC can disregard or refuse to process documents that do not meet these requirements

Identification Data of a Client:

Type of Client (maximum 2 symbols)	Identification Data of a Client	Code of the Client country
Field 3*	Field 4*	Field 5*
7 – Client – legal entity	Client Identification Data ⁽²⁾	Code of the client's registration country
7A – Client – individual	Details of ID document of a citizen/ stateless person ^{(3) (5)}	Code of the client's registration country
8 – Member – manager exercising trust management activities under legislation AFSA , executing agreements in the interests of clients (trust management issuers).	Code of the client being trust management issuer ^{(1) (2) (3) (5)}	-
8P – Member – management company	Trust management issuer code – investment fund / mutual fund code ⁽⁶⁾	
22 - Client - broker acting in the interests of the client being an individual	Broker Identifier "/" Details of the identity document of an individual "/" Code of the country of registration of the client ^{(3) (5)}	Code of the broker's country of registration
27 - Client - broker acting in the interests of the client being a legal entity	Broker's identifier "/" Client Identification Data "/" Code of the country of registration of the client ⁽²⁾	Code of the broker's country of registration

(1) Code of the Client being the trust management issuer is indicated in yy/xxxxxxxxx/zzz format, where:

yy – type of trust management issuer in accordance with Field 3 formats (*maximum 2 symbols*). *Possible values: 7, 7A;*

xxxxxxxxx - a sequence of symbols identifying the trust management issuer in accordance with Field 4 formats of client types 7, 7A (*length and format depend on the type*).

zzz – three-digit code of the country of the trust management issuer in accordance with ISO 3166-1 Alpha 2 standard of International Organisation for Standardisation. For stateless issuer indicate 000.

(2) 1 of the following parameters is used as identifier of client being a legal entity (Type 7):

- Tax Identification Number, the first three symbols being TIN;
- registration number in the country of registration, the first three symbols being REG (in absence of TIN);
- Legal Entity Identifier, the first three symbols being LEI (in absence of TIN and registration number);
- unique code, the first three symbols being 000 (in absence of TIN, registration number, and LEI).

(3) If Client (Types 7A, 8, 22) is a person not having reached the age, at which general passports are issued or an incapacitated or partially incapacitated person, in the end of the code of such Client after «/» sign details of the ID document of the citizen being legal representative of such Client are added. After details of ID document of the legal representative «/» sign is put followed by three-digit code of the country of the Client's legal representative in accordance with ISO 3166-1 Alpha 2 standard of International Organisation for Standardisation.

For stateless natural persons country code is «000».

(4) In case of changes in Client's identification data (operation type = U) all fields of application must be filled in with updated information, that will be subsequently used for this Client. In case of Client deletion (operation type = D) only Client short code and operation type shall be indicated (other fields shall not be filled in).

(5) ID document of a stateless person are indicated in the following format: a sequence of maximum 20 symbols to identify the ID document.

(6) The code of the trust management issuer should be:
investment fund / mutual fund identifier (up to 13 characters).

**REGULATION ON CLIENT REGISTRATION BY WAY OF CLIENT SHORT CODE BOOKING AT
INTERNATIONAL TRADING SYSTEM LIMITED**

1. General Provisions

1.1. These Regulations for registration of clients by way of booking of International Trading System Limited client Short Codes (the Regulations) indicate the way of interaction between Members and CC regarding Client registration with preliminary Client Short Code booking.

1.2. Client registration on the basis of previously booked Client Short Codes is hereinafter referred to as activation.

1.3. For the purpose of these Regulations, trading operations mean the possibility to submit Applications and sign Agreements.

1.4. Preliminary booking of Client Short Code and activation of a previously booked Client Short Code are performed on the basis of applications (messages) submitted by Members to CC:

1.4.1. Applications for Client Short Code booking (CLIENT_BOOKING messages);

1.4.2. Applications for activation of a previously booked Client Short Code (CLIENT_ONLINE messages).

1.5. Documents indicated in clause 1.4. are sent in form of text messages in compliance with requirements indicated in these Regulations in form of electronic document signed with digital signature of the authorised person of the Member with the use of EDMS system. If it is impossible to send documents in electronic format, documents are sent in paper format to the actual address of CC. If documents on physical medium are sent, the documents are formalised on corporate letterhead (if any) with the indication of position of the authorised person having signed the document, are signed by the authorised person of the Member and will be processed within 10 working days.

1.6. Application (messages) are filled in and Client identification data is compiled in accordance with Annex 2 hereto

1.7. CC provides Members with data on the booked Client Short Codes and registered Clients, as well as on cases of refusal from booking/ registration under the procedure defined in these Regulations.

2. Procedure for Client Short Code booking and activation

2.1. Client registration with the use of the Client Short Code booking system is implemented as follows:

2.1.1. Member books one or more Client Short Codes by way of sending CC of an application for Client Short Code booking or CLIENT_BOOKING message via EDMS to the address ITSCP@BOOKING from address <FIRM>@BOOKING (where <FIRM> - is Identifier of the Member).

2.1.2. Member receives ANSWER_CLIENT_BOOKING message from CC containing result of processing of the application (message).

2.1.3. Member may activate Client Short Code booked at the earliest on the next trading day after its booking.

2.2. Client Short Code is activated by way of sending to CC of an application for activation of a previously booked Client Short Code or CLIENT_ONLINE message via EDMS to address ITSCP@ONLINE (other address coordinated by CC and the Member) from address <FIRM>@ONLINE (where <FIRM> is Identifier of the Member). Receipt of an application (message) indicated in this paragraph equals to receipt by CC of an application for registration/ deregistration of the Client (CLIENTS message).

2.3. Trading operations with booked, but not activated Client Short Code are prohibited.

2.4. Responses to messages are transferred:

- from address ITSCP@BOOKING - response to application for Client Short Code booking (CLIENT_BOOKING message) (response sending time depends on the system load and number of applications in EDMS message, to which response is being provided);
- from address ITSCP@ONLINE - response to application for activation of a previously booked Client Short Code (CLIENT_ONLINE message) (response delivery time may exceed Client activation time);

2.5. Client registered in accordance with these Regulations may effect trading operations immediately upon receipt of a message on successful activation ANSWER_CLIENT_ONLINE, subject to the Member providing and CC checking of the document to identify Beneficiaries and Intermediaries (under the procedure and within the time limits set out in relevant provisions of the Clearing Rules, Regulations on Information Exchange and Provisions on QI/QDD).

2.6. If an application for activation of a previously booked Client Short Code (CLIENT_ONLINE message) was submitted in violation of the time limits indicated in clause 2.1.3. of these Regulations, and processed on the same day (report on successful activation is sent), the Client is deemed registered in accordance with these Regulations, and the Member receives the opportunity to perform trading operations with the indication of this Client Short Code starting from the next Trading Day.

2.7. CLIENT_BOOKING messages submitted to an address different from ITSCP@BOOKING or from an address different from <FIRM>@BOOKING will be rejected.

2.8. CLIENT_ONLINE messages submitted to an address different from ITSCP@ONLINE or from an address different from <FIRM>@ONLINE will be rejected.

2.9. Client Short Codes booked are not shown in CC reports. Client Short Codes booked are shown in risk management binary protocol risk management gateway (Risk Gateway) on the next Trading Day. No sign of a

booked, but not activated Client Short Code in Risk Gateway is provisioned, Member independently defines such Clients on the basis of EDMS messages.

2.10. Application for activation of a previously booked Client Short Code (CLIENT_ONLINE message) received by CC during the current Trading Day, for which a message on successful activation ANSWER_CLIENT_ONLINE was received, is deemed received on current Trading Day and will be shown in CC report for current Trading Day.

2.11. CC may limit the number of booked non-activated Client Short Codes per Member.

3. Specifics of electronic document submission

3.1. To transfer data using EDMS system of ONLINE service it is necessary to launch the second instance of EDMS file gateway (can be launched on the same computer with the main EDMS gateway) with the following parameters:

- EDMS address in the form of <Member identifier>@ONLINE (e.g. ABCDE@ONLINE).
- Request data is transferred to EDMS file address: ITSCP@ONLINE.
- Key information for EDMS is used (Technological Key and Public Key corresponding to it), that is independently generated by the client with the use of asymmetric cryptographic algorithm, Public Key of which is registered with EDMS in accordance with Agreement on EDMS Utilisation.

3.2. All other settings, including data sending and receipt catalogs, don't differ from standard settings of EDMS file gateway. Further information available on ITS Tech Limited Private Company web-site <https://itsx.kz>. To obtain EDMS address and EDMS file gateway, Member must provide ITS Tech Limited Private Company with an application provisioned in Terms of Provision of Information and Technical Support Services of ITS Tech Limited Private Company.

3.3. List of electronic documents submitted by Member for the purpose of Client registration:

Kind of applications/ messages	Message type (electronic document)	Service name in EDMS address
Application for Client Short Code booking (CLIENT_BOOKING message)	CLIENT_BOOKING	BOOKING
Application for activation of a previously booked Client Short Code (CLIENT_ONLINE message)	CLIENT_ONLINE	ONLINE

Requirements for file naming for electronic document exchange between Members and CC ¹:

Document name (document kind)	File Mask/ Prefix for a message sent to CC	File Mask/ Prefix for a response message sent by CC
from/ to DES address ITSCP@ONLINE (other address coordinated by CC and Member)		
CLIENT_ONLINE message	CLIENT_ONLINE_*	ANSWER_CLIENT_ONLINE_
from/ to DES address ITSCP@BOOKING		
CLIENT_BOOKING message	CLIENT_BOOKING_*	ANSWER_CLIENT_BOOKING_
Document sent to CC by a Member, that contains an error		GENERIC_ERROR, REJECTED (Explanation: rejection of incorrectly sent documents)

¹ After prefix, further message name is free

Electronic documents used in document exchange between CC and Members in course of Client Short Code booking and activation

CLIENT_BOOKING message

Each CLIENT_BOOKING message is transferred in a separate line after the header line (i.e. starting from the 2nd line of the message), empty lines are not allowed. One CLIENTS_BOOKING message may contain maximum 2 000 lines in addition to message header. Message line format is following:

No.	Assignment	Comments	Member's details	MaxSize	M/O
1	Client Short Code being booked	Indicated by the Member. Use Latin letters, numbers and underscores _. No other symbols allowed		C12	M
2	Spare field	To be left blank (strikethrough)		C12	O
3	Spare field	To be left blank (strikethrough)		C12	O
4	Spare field	To be left blank (strikethrough)		C12	O
5	Spare field	To be left blank (strikethrough)		C12	O

ANSWER_CLIENT_BOOKING message

Message is sent in response to CLIENT_BOOKING message. Each processing result in a message is transferred in a separate line after the header lines (i.e. starting from the 3rd line of the message), empty lines are not allowed. Format of a line with response to a message is following:

No.	Assignment	Comments	MaxSize	M/O
1	Client Short Code being booked	From the message, to which response is provided	C12	M
2	Spare field	To be left blank (strikethrough)	C12	O
3	Spare field	To be left blank (strikethrough)	C12	O
4	Spare field	To be left blank (strikethrough)	C12	O
5	Spare field	To be left blank (strikethrough)	C12	O
6	Number of processing result	List of codes of processing results, separator «;» character	C32	M
7	Description of processing result	List of descriptions of processing results, separator «;» character	W255	O

CLIENT_ONLINE message

Message can only be transferred for activation of one Client based on a previously booked Client Short Code. Message line format is following:

No.	Assignment	Comments	Member's details*	MaxSize	M/O
1	Client Short Code	Indicated by the Member. Use Latin letters, numbers and underscores _. No other symbols allowed		C12	M
2	Operation type	K – registration of a Client based on a previously booked Short Code		C1	M
3	Client identification	Client type		C3	M
4	Client Identification Data	Client Identification Data		C64	M
5	Code of the Client's country	Country code is the code corresponding to ISO 3166-1 Alpha 2 of International Organisation for Standardisation. For stateless persons – constant 000.		C3	O
6	Spare field			C16	O
7	Spare field			W28	O
8	Spare field			C6	O
9	Spare field			W19	O
10	Spare field			W23	O

11	Acknowledgement, that is allowed to execute agreements with the participation of Central counterparty based on orders submitted at the expense of the same Client ¹	«Y» – cross transactions are allowed «-» – cross transactions are prohibited		W24	O
12	Spare field			W32	O
13	Spare field			W512	O

* filled in in case of application transfer in Microsoft Word format.

Activation based on a message is only available to Client with previously booked Client Short Code. Change of Client identification data (operation type = U) via CLIENT_ONLINE message is not allowed. Deletion of a Client (operation type=D) via CLIENT_ONLINE message is not allowed.

In case of registration of additional Client Short Code, trading operations with the indication of such Short Code will be allowed from the next Trading Day.

For types 22 and 27 at the time of submission of the application form for registration of the Second-tier client, the Member's client that is a broker for such client shall be registered. Additionally, the completed documents for this Member's client shall be submitted by the Member for the purposes of identification of the Beneficiaries and Intermediaries (under the procedure and within the time limits set out in relevant provisions of the Clearing Rules, Regulations on Information Exchange and Provisions on QI/QDD).

¹ - Regardless of the field being filled in, execution of agreements with the participation of Central Counterparty based on orders submitted at the expense of the same Client is allowed. This permit remains valid till the end of the trading day, when the Client was registered.

ANSWER_CLIENT_ONLINE message

Message is sent in response to CLIENT_ONLINE message. Processing result is transferred in a separate line after the header lines (i.e. in the 3rd line of the message). Format of a line with response to a message is following:

No.	Assignment	Comments	MaxSize	M/O
1	Client Short Code	From the message, to which response is provided	C12	M
2	Operation type	From the message, to which response is provided	C1	M
3	Client identification	From the message, to which response is provided	C3	M
4	Client Identification Data	From the message, to which response is provided	C64	M
5	Code of the Client's country	From the message, to which response is provided	C3	O
6	Spare field	From the message, to which response is provided	C16	O
7	Spare field	From the message, to which response is provided	W26	O
8	Spare field		C6	O
9	Spare field		W19	O
10	Spare field		W23	O
11	Acknowledgement, that is allowed to execute agreements with the participation of Central Counterparty based on orders submitted at the expense of the same Client	«Y» – cross transactions are allowed « - » – "cross transactions are prohibited"	W24	O
12	Spare field	From the message, to which response is provided	W32	O
13	Number of processing result	List of codes of processing results, separator «;» character	C32	M
14	Description of processing result	List of descriptions of processing results, separator «;» character	w512	O
15	Registration code assigned to the Client indicated in the line of the initial document	To be indicated only for successful operations	W64	O
16	Spare field		W512	O