**Specification of documents
used in document flow between CC and Clearing Members
during clearing under Contracts**

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International Trading System Limited

**Application for replacement of currency of the funds registered as collateral assets**
dated    20        .

_____

(full name and ID of the Clearing Member)

I request replacement of the funds registered as collateral assets on TCA:

| No. [3] | TCA Code | Withdrawal currency **(indicate Withdrawal Currency Code)** *Example:USD, KZT,* | Indicate withdrawal amount in withdrawal currency [2] | Crediting currency [1] **(Indicate the crediting currency)** *Example:USD, KZT* | TCA Code for clearing commission withholding |
|---|---|---|---|---|---|
| 1 | | | | | |
| 2 | | | | | |
| .. | | | | | |

at CC rate as of the date and time of the operation.*

Position
*(company director                                      (full name)*
*or another authorised person of the Clearing Member)*

[1] *CC commission is charged on the indicated amount of funds credited in accordance with CC tariffs.*
[2] *Subject to rounding to 2 decimal places.*
[3] *Continuous numbering within one day.*

_____
*To be filled in by International Trading System Limited*

| To be sent in response to application | |
|---|---|
| Date | |
| Executed at the rate | |
| Amount of withdrawal[2] (USD, KZT) | |
| Amount of crediting [2] (USD, KZT) | |
| Amount of commission withheld[2] (USD, KZT) | |
| Fulfilment rejected | |
| Reason for rejection | |

*Application shall be submitted on the Clearing Member's letterhead*

International Trading System Limited

**Application for change of the procedure aimed at withholding of charges for execution of Contracts/ Internal OTC Contracts**
dated " "        20      .

   I request you to include obligations/*indicate the name and Identifier of the Clearing Member*/ (the Clearing Member) to pay charges implemented in connection with execution by Clearing Members of Contracts/ Internal OTC Contracts and indicated in clause 10.1. of the Clearing Rules of International of Trading System Limited (the Clearing Rules), in the settlement clearing pool established in accordance with clause 24.5. of the Clearing Rules, on the Date of fulfilment of Contracts/ Internal OTC Contracts.

Position

_____ . _____

*(company director      (full name)*

*or another authorised person of the Clearing Member)*

               l.s.

*Application shall be submitted on the Clearing Member's letterhead*

<div align="right">International Trading System Limited</div>

**Application for change of the procedure aimed at withholding of charges during clearing
dated "                " 20      .**

_____
(full name and Identifier of the Clearing Member)

I request you to issue an invoice to implement the following clearing charges and reimbursements:

**Charges withheld from TCA meant for charge payment:**

☐   1. Clearing fee for the return of collateral funds of the Clearing Member [1];

☐   2. Clearing fee for the maintenance of Clearing Member's clearing registers ; [1]

☐   3. Clearing fee for maintenance of Clearing Member's clearing registers for separate accounting within the TCA registered for a separate client of the Clearing Member; [1]

☐   4. Clearing fee for procedure for the forced closure of positions during clearing, for the Contract; [1]

☐   5. Clearing fee for exchange of the currency of funds accounted for as Collateral; [1]

☐   6. Other tariffs (except for provision of Services for the payment of Transaction Tax in a foreign jurisdiction); [1]

☐   7. Provision of Services for the payment of Transaction Tax in a foreign jurisdiction [1];

**Reimbursement of CC expenses withheld from TCA meant for charge payment:**

☐   8. Reimbursement of CC expenses (except for expenses in clauses 7 and 8 of this application); [1]

☐   9. Reimbursement of expenses of the CC associated with the payment to the Settlement Depository of sums of money constituting the tariffs of the Settlement Depository for providing services related to the Trading Accounts. [1]

☐   10. Reimbursement of CC expenses associated with payment of the Charge at registration of the General Agreement on repurchase agreements with Hong-Kong tax authority. [1];

CC writes off commissions, charges, and reimbursements not selected (not marked) in the said application from the TCA of the Clearing Member.

[1] - In accordance with CC tariffs.

Position
*(company director                          (full name)*
*or another authorised person of the Clearing Member)*

**Message format**

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 containing applications includes a header, while other lines contain applications.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 the response is provided, along with two fields indicating 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:
  - 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. If Application is submitted in Microsoft Word format, 2 columns with technical values **MaxSize and M/O are not provided.**

Each electronic application in a message is transferred to CC in a separate line after the header line (i.e. starting from the 2nd line of the message), empty lines are not allowed.

Each electronic message processing result is transferred to Clearing Member 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 headers of incoming/ outgoing messages and filling-in example

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 Clearing Member in the current day. | c12 | M |
| 3 | Sender ID | Address of the Clearing Member in the Electronic Document Management System: | c7 | M |
| 4 | Recipient ID | Recipient code in the Electronic Document Management System: **ITSCP** | 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 code in the Electronic Document Management System: **ITSCP** | c7 | M |
| 4 | Recipient ID | Code of the Clearing Member in Electronic Document Management System: | c7 | M |
| 5 | Document type | **ANSWER_** + Code designation of the type of document, to which response is being 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 the result of processing of 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 |
|---|---|---|---|---|
| 1 | Number of processing result | List of codes of processing results, separator «;» character (semicolon) | c32 | O |
| 2 | Description of processing result | List of descriptions of processing results, separator «;» character (semicolon) | w512 | O |

**Formats of electronic applications in messages**

**TCA_REGISTER message** [1]

Format to fill-in electronic message with application for TCA registration:

| No. | Assignment | Comments | Details of the Clearing Member* | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | ID of the Clearing Member | Corresponds to the Clearing Member ID indicated in the application header | | c12 | M |
| 2 | Code of account group in Settlement Depositary | **CCPSD** | | c12 | M |
| 3 | Trading Account number | Trading Account must be open in Settlement Depositary at the time of application submission | | c32 | O |
| 4 | TCA Code | Code is independently set by the Clearing Member. Capital Latin letters must be used, digits and symbols + (plus), - (minus), _ (underscore) are allowed | | c12 | M |
| 5 | TCA type | Following TCA types are allowed:<br>**p** – own TCA<br>**c** – client TCA;<br>**m** – TM TCA; | | c1 | M |
| 6 | Sign of TCA use for payment of charges, reimbursement of expenses incurred by CC by the end of the month* | Y-used<br>N-not used | | c1 | M |
| 7 | Short Code of the Clearing Member's client to regulate cases of non-fulfilment and/ or the Clearing Member's Client, whose property is registered on this TCA | Short Code of the Clearing Member's client provided in accordance with clause 25.9 of the Clearing Rules | | c12 | O |
| 8 | Spare field | To be left blank | | c12 | O |
| 9 | TCA code for payment of commission for agreement execution | Indicated, if commission is to be withheld from TCA code different from that being registered. | | c12 | O |
| 10 | Sign of Separate TCA | Y-used<br><br>Indicated, if separate accounting of Collateral Assets registered on this TCA is required in accordance with the Clearing Rules | | c1 | O |
| 11 | Sign of Separate TCA for Separate Client | Y-used<br><br>Indicated, if this TCA is registered for the purpose of separate accounting of Separate Client's property | | c1 | O |
| 12 | Spare field | To be left blank | | c3 | O |
| 13 | Sign of Sales and Purchasing Agreement execution to settle non-fulfilment of obligations | Y-used<br><br>Indicated for TCA with type m – TM , if it is necessary to execute sales and purchasing agreements instead of repurchase agreements in course of settlement of undue fulfilment of obligations in accordance with Article 25 of the Clearing Rules | | | |

**\*** Filled in for application transfer in Microsoft Word format
[1] Application for TCA registration
TCA is activated on the next calendar day after successful processing of Application for TCA registration, unless other time limits are provisioned in the Clearing Rules.
**Clarifications on filling-in of message fields:**

- To register TCA, it is necessary to open a Trading Account in advance;
- Field 6 - if CC makes a decision on suspension/ termination of the Clearing Member admission to clearing services, field Sign of TCA use for payment of charges, reimbursement of expenses incurred by CC by the end of the month will be ignored. CC may implement all charges, expenses, reimbursements by issuing invoices;
- Field 7 - it is possible not to indicate the Short Code of the Clearing Member's client at registration of any TCA type for registration of transactions without Central Counterparty;
- Field 7 – if Short Code of the client is indicated in field 7 at the time of TCA registration, this client must be registered and the Clearing Member must provide filled in documents on them to identify Beneficiaries and Intermediaries under Foreign Issuer Securities (under the procedure, defined in Article 36 of the Clearing Rules);
- Field 11 - for TCA being registered for Separate Clearing Member's client field 7 must be filled in. Short Code of the client must clearly correspond to the Client Code, for which the Separate TCA is being registered (this TCA is subject to tariffs).

## ANSWER_TCA_REGISTER message

The message is sent in response to TCA_REGISTER application. Format of a line with response to application for TCA registration is following:

| No. | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | ID of the Clearing Member | From the application, to which response is provided | c12 | M |
| 2 | Code of account group in Settlement Depositary | From the application, to which response is provided | c12 | M |
| 3 | Trading Account number | From the application, to which response is provided | c32 | M |
| 4 | TCA Code | From the application, to which response is provided | c12 | M |
| 5 | TCA type | From the application, to which response is provided | c1 | M |
| 6 | Sign of TCA use for payment of charges calculated by CC at the end of the month | From the application, to which response is provided | c1 | M |
| 7 | Short Code of the Clearing Member's client to regulate cases of non-fulfilment and/ or the Clearing Member's client, whose property is registered on this TCA | From the application, to which response is provided | c12 | M |
| 8 | Spare field | To be left blank | c12 | O |
| 9 | TCA code for payment of commission for agreement execution | From the application, to which response is provided | c12 | O |
| 10 | Sign of Separate TCA | From the application, to which response is provided | c1 | O |
| 11 | Sign of Separate TCA for Separate Client | From the application, to which response is provided | c1 | O |
| 12 | Spare field | To be left blank | c1 | 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 | Sign of sales and purchasing agreement execution to settle non-fulfilment of obligations | From the application, to which response is provided | c1 | O |

### TCA_CORRECTION message [2]

Format of the line with **application for TCA parameter change** is following:

| No. | Assignment | Comments | Data of the Clearing Member* | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | TCA Code | Code of TCA, parameters of which shall be changed. TCA code change is not allowed. | | c12 | M |
| 2 | Sign of TCA use for payment of charges calculated by CC at the end of the month | Y - used<br>N - not used | | c1 | M |
| 3 | Short Code of the Clearing Member's client to regulate cases of non-fulfilment | Short Code of the Clearing Member's client provided in accordance with clause 25.9 of the Clearing Rules | | c12 | P |
| 4 | Spare field | To be left blank | | | |
| 5 | TCA code for payment of commission for agreement execution | Indicated, if commission is to be withheld from TCA code different from that being registered.<br>If code is not indicated in this field, withdrawal will be made from this TCA | | c12 | O |
| 6 | Spare field | To be left blank | | c3 | O |
| 7 | Sign of Sales and Purchasing Agreement execution to settle non-fulfilment of obligations | Y-used<br>Indicated for TCA with type m – TM, if it is necessary to execute sales and purchasing agreements instead of repurchase agreements in course of settlement of undue fulfilment of obligations in accordance with Article 25 of the Clearing Rules | | c1 | O |

[2] Application for TCA parameter change

*Filled in in case of application transfer in Microsoft Word format

TCA parameter changes are activated on the next calendar day after successful processing of Application for TCA parameter change, unless other time limits are provisioned in the Clearing Rules.
  **Clarifications on filling-in of message fields:**
Field 3 – if Short Code of the client is indicated in field 3 at the time of TCA parameter change, this client must be registered and the Clearing Member must provide filled in documents on them to identify Beneficiaries and Intermediaries under Foreign Issuer Securities (under the procedure, defined in Article 36 of the Clearing Rules).


### ANSWER_TCA_CORRECTION message

The message is sent in response to TCA_CORRECTION application. Format of a line with response to application for TCA parameter change is following:

| No. | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | TCA Code | From the application, to which response is provided | c12 | M |
| 2 | Sign of TCA use for payment of charges calculated by CC at the end of the month | From the application, to which response is provided | c1 | M |
| 3 | Short Code of the Clearing Member's client | From the application, to which response is provided | c12 | P |
| 4 | Spare field | To be left blank | c32 | O |
| 5 | TCA code for payment of commission for agreement execution | From the application, to which response is provided | c12 | O |
| 6 | Spare field | To be left blank | c1 | O |
| 7 | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |

| 8 | Description of processing result | List of descriptions of processing results, separator «;» character | w255 | O |
| 9 | Sign of Sales and Purchasing Agreement execution to settle non-fulfilment of obligations | From the application, to which response is provided | c1 | O |

### TCA_DELETE message [3]

Format of the line with **application for TCA deletion** is following:

| No. | Assignment | Comments | Data of the Clearing Member * | MaxSize | M/O |
|-----|-----------|----------|------------------------------|---------|-----|
| 1 | TCA Code | Code of TCA to be deleted | | C12 | M |

**\*** Filled in in case of application transfer in Microsoft Word format

If there are securities on Trading Account, securities are automatically withdrawn from Collateral Assets, and CC assignment as the operator of this Trading Account is cancelled.
Application will be rejected, if:

- TCA is used to account positions, obligations/requirements for the transfer of income on repurchase agreement of the Clearing Member;

- TCA is used to account funds;

- the TCA is the only TCA of the Clearing Member, that is used to write-off the fixed part

  of the commission charge and other charges in accordance with Tariffs (if any).

---

[3] Application for TCA deletion

### ANSWER_TCA_DELETE message

The message is sent in response to TCA_DELETE application. Format of the line with response to application for TCA deletion is following:

| No. | Assignment | Comments | MaxSize | M/O |
|-----|-----------|----------|---------|-----|
| 1 | TCA Code | From the application, to which response is provided | c12 | M |
| 2 | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |
| 3 | Description of processing result | List of descriptions of processing results, separator «;» character | w255 | O |

### ACC_WITHDRAW_USD message [4]

Format of the line with application for registration of an account for funds withdrawal is following:

| No. | Assignment | Comments | Data of the Clearing Member * | MaxSize | M/O |
|-----|-----------|----------|------------------------------|---------|-----|
| 1 | SWIFT of the recipient bank | Recipient bank must have SWIFT code | | c12 | M |
| 2 | SWIFT of the correspondent bank | Correspondent bank must have SWIFT code | | c12 | O |
| 3 | Account in the correspondent bank | The field must be filled in | | C34 | O |
| 4 | Recipient's account | | | C34 | M |
| 5 | Recipient's name | Short name of the beneficiary in English in accordance with constituent documents (Cyrillic is not allowed, indicate the name without quotes) | | c70 | M |
| 6 | Recipient's SWIFT | Filled in, if the recipient has a SWIFT code | | c12 | O |

| 7 | Account currency | USD<br>KZT<br>EUR | | c3 | M |
|---|---|---|---|---|---|
| 8 | Sign of a default account [1] | DEFAULT - account for withdrawal in case of clearing service termination.<br>If the field is left blank or there is a strikethrough, the account is not the default account in case of clearing service termination<br><br>DEFAULT sign is set for the last registered account. | | c12 | O |
| 9 | Recipient's address | Address of the beneficiary in accordance with constituent documents with the indication of the street, city, country, and zip code (Cyrillic is not allowed).<br>Obligatory for non-credit organisations | | c70 | O |

**\*** Filled in in case of application transfer in Microsoft Word format

[1] CC uses the account with DEFAULT sign to withdraw funds from all non-connected TCAs to account for funds withdrawal (by way of ACC_WITHDRAW_TCA message). An account, to which any TCAs are connected, cannot be used by CC as default account in case of clearing service termination.

---

[4] Application for registration of an account for funds withdrawal.

Clarifications on filling-in of message fields:

To register an account for withdrawal, it is necessary to indicate either details of the beneficiary in accordance with SWIFT requirements for information disclosure, or SWIFT code of the beneficiary (if any). One of the fields 5 or 6 must be filled in for account registration.

### ANSWER_ACC_WITHDRAW_USD message

The message is sent in response to ACC_WITHDRAW_USD application. Format of the line with response to application is following:

| No. | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | SWIFT-BIC of the recipient bank | From the application, to which response is provided | c12 | M |
| 2 | SWIFT-BIC of the correspondent bank | From the application, to which response is provided | c12 | O |
| 3 | Account in the correspondent bank | From the application, to which response is provided | C34 | O |
| 4 | Recipient's account | From the application, to which response is provided | C34 | M |
| 5 | Recipient's name, address | From the application, to which response is provided | c70 | M |
| 6 | SWIFT-BIC of the recipient | From the application, to which response is provided | c12 | O |
| 7 | Account currency | From the application, to which response is provided | c3 | M |
| 8 | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |
| 9 | Description of processing result | List of descriptions of processing results, separator «;» character | w255 | O |
| 10 | Account code assigned by CC | Filled in in case of successful processing in the following format:<br><bank code>_< account number > | c80 | O |
| 11 | Sign of a default account | From the application, to which response is provided | c12 | O |
| 12 | Recipient's address | From the application, to which response is provided | c70 | O |

### ACC_WITHDRAW_RUB message [5]

Format of the line with application form for rouble account registration for withdrawal is as follows:

| No. | Designation | Comments | Details of the Clearing Member* | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | Name of the beneficiary bank | | | w128 | M |
| 2 | Beneficiary account | For banks: when withdrawing to the correspondent account of the Central Bank of the Russian Federation specify the Beneficiary account of the Central Bank of the Russian Federation - 20 zeros | | c20 | M |
| 3 | Correspondent account of the bank | | | c20 | M |
| 4 | BIK | | | c9 | M |
| 5 | Amount currency | **RUB** | | c3 | M |
| 6 | Recipient's name | Abbreviated name of the beneficiary (specify without quotes)<br><br>For banks: when withdrawing to the correspondent account of the Central Bank of the Russian Federation, specify the name of the bank | | w105 | M |
| 7 | Recipient's INN (Taxpayer Identification Number) | | | c12 | M |
| 8 | Attribute of default account[1] | DEFAULT means an account for withdrawal on termination of clearing service.<br><br>If the field is empty or dash is indicated, the account is not default upon termination of clearing service<br><br>DEFAULT is marked for the last registered account | | c12 | O |

**\*** * Fill in for application form in Microsoft Word

[1] Funds are withdrawn by the CC from all TCA unlinked to the account for withdrawal of funds (by means of ACC_WITHDRAW_TCA message) by CC to the account marked DEFAULT. Account to which any TCA are linked may not be used by the CC as a default account upon termination of clearing service.

_____

Notes for filling in the message fields:

To register a rouble account for withdrawal, specify the name and INN of the account holder stated in the registered bank account agreement.

If the beneficiary name is incorrect/inaccurate, banks may credit the funds to the account titled Amounts received in correspondent accounts pending clarification.

_____

[5] Application form for account registration to withdraw funds (in Russian roubles)

### Message ANSWER_ACC_WITHDRAW_RUB

Send message in response to application form ACC_WITHDRAW_RUB. Format of the line with answer to the application form is as follows:

| No. | Designation | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | Name of the beneficiary bank | From the application, to which response is provided | w128 | M |

| No. | | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|---|
| 2 | | Beneficiary account | From the application, to which response is provided | c20 | M |
| 3 | | Correspondent account of the bank | From the application, to which response is provided | c20 | M |
| 4 | | BIK | From the application, to which response is provided | c10 | M |
| 5 | | Amount currency | From the application, to which response is provided | c3 | M |
| 6 | | Recipient's name | From the application, to which response is provided | w105 | M |
| 7 | | Recipient's INN(Taxpayer Identification Number) | From the application, to which response is provided | c12 | M |
| 8 | | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |
| 9 | | Description of processing result | List of descriptions of processing results, separator «;» character | w255 | O |
| 10 | | Account code assigned by the CC | Fill in upon successful processing in the format: <bank code in SPB Clearing>_< account number > | c80 | O |
| 11 | | Attribute of the default account | From the application, to which response is provided | c12 | O |

## ACC_WITHDRAW_TCA message [6]

Format of the line with application for linking of an account for funds withdrawal to TCA is following:

| No. | Assignment | Comments | Data of the Clearing Member * | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | Account code assigned by CC[1] | Account must be registered at the time of application submission | | c80 | M |
| 2 | TCA Code | TCA must be registered at the time of application submission | | c16 | M |
| 3 | Operation type | A – to add <br> D – to delete | | c1 | M |

**\*** Filled in in case of application transfer in Microsoft Word format

[1] It is prohibited to link TCA to an account featuring default account sign

## ANSWER_ACC_WITHDRAW_TCA message

The message is sent in response to ACC_WITHDRAW_TCA application. Format of the line with response to application is following:

| No. | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | Account code assigned by CC | From the application, to which response is provided | c80 | M |
| 2 | TCA Code | From the application, to which response is provided | c16 | M |
| 3 | Operation type | From the application, to which response is provided | c1 | M |
| 4 | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |
| 5 | Description of processing result | List of descriptions of processing results, separator «;» character | w255 | O |

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[6] Application for registration of an account for funds withdrawal from TCA

## ACC_WITHDRAW_DELETE message [7]

Format of the line with application for deletion of an account for funds withdrawal is following:

| No. | Assignment | Comments | Data of the Clearing Member * | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | Account code assigned by CC[1] | Account must be registered at the time of application submission | | c80 | M |

**\*** Filled in in case of application transfer in Microsoft Word format

[1] It is prohibited to delete an account, if there are pending orders for funds withdrawal using the said details

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[7] Application for deletion of an account for funds withdrawal

### ANSWER_ACC_WITHDRAW_DELETE message

The message is sent in response to ACC_WITHDRAW_DELETE application. Format of the line with response to application is following:

| No. | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | Account code assigned by CC | From the application, to which response is provided | c80 | M |
| 2 | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |
| 3 | Description of processing result | List of descriptions of processing results, separator «;» character | w255 | O |

### CLAIM_WITHDRAW message [8]

Format of the line with application for returning of funds of Collateral Assets is following:

| No. | Assignment | Comments | Data of the Clearing Member * | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | Code of TCA for withdrawal | TCA must be registered at the time of application submission | | c12 | M |
| 2 | Code of the bank account for returning | Account code assigned by CC | | c80 | M |
| 3 | Transfer currency ** | **USD KZT EUR RUB** | | c3 | M |
| 4 | Amount in transfer currency | In monetary format (two decimal places, separated with a dot) | | n20.2 | M |
| 5 | ID of the application in the sender's accounting | The field is used to prevent repeated processing of applications. It is recommended to apply continuous numbering | | c64 | O |
| 6 | Payment purpose | KBE code must be indicated (*e.g. KBE25*). If necessary, the sender may indicate their own addition to the standard payment purpose, that will be included in the payment order as additional text. For currency accounts it is prohibited to use Cyrillic characters in this field. If the account for withdrawal is a correspondent account, in case of withdrawal to such account this field must indicate the final payee. | | W20 | O |
| 7 | Client short code | Short Code of the Clearing Member's client in case of Client's funds withdrawal | | c12 | O |

\* Filled in case of application transfer in Microsoft Word format;
\*\* Transfer currency is selected in accordance with the list of foreign currencies accepted by International Trading System Limited as Collateral Assets, that is disclosed on CC web-site.

### ANSWER_CLAIM_WITHDRAW message

The message is sent in response to CLAIM_WITHDRAW application. Format of a line with response to application is following:

| No. | Assignment | Comments | MaxSize | M/O |
|-----|-----------|----------|---------|-----|
| 1 | Code of TCA for withdrawal | From the application, to which response is provided | c12 | M |
| 2 | Code of the bank account for returning | From the application, to which response is provided | c80 | M |
| 3 | Transfer currency | From the application, to which response is provided | c3 | M |
| 4 | Amount in transfer currency | From the application, to which response is provided | n20.2 | M |
| 5 | ID of the application in the sender's accounting | From the application, to which response is provided | c64 | O |
| 6 | Payment purpose | If necessary, the sender may indicate their own addition to the standard payment purpose, that will be included in the payment order as additional text. If the field is left blank, default payment purpose will be indicated. For currency accounts it is prohibited to use Cyrillic characters in this field. If the account for withdrawal is a correspondent account, in case of withdrawal to such account this field must indicate the final payee. | W20 | O |
| 7 | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |
| 8 | Description of processing result | List of descriptions of processing results, separator «;» character | w255 | O |
| 9 | Document number assigned by CC | Indicated in case of successful Application processing | c32 | M |
| 10 | Client short code | From the application, to which response is provided | c12 | O |

### GUARANTEE_WITHDRAW message [9]

Format of the line with application for returning of the funds of Default Fund is following:

| No. | Assignment | Comments | Data of the Clearing Member * | MaxSize | M/O |
|-----|-----------|----------|-------------------------------|---------|-----|
| 1 | Code of the bank account for returning | Account code assigned by CC | | c80 | M |
| 2 | Transfer currency | Three-character currency code (e.g.: USD, etc.) | | c3 | M |
| 3 | Amount in transfer currency | In monetary format (two decimal places, separated with a dot) | | n20.2 | M |
| 4 | ID of the application in the sender's accounting | The field is used to prevent repeated processing of applications. It is recommended to apply continuous numbering | | c64 | O |

**\*** Filled in case of application transfer in Microsoft Word format

[9] Application for returning of the funds of Default Fund

When withdrawing funds from the Default Fund, no later than the next Settlement Day, CC shall suspend the access of the Clearing Member.

### ANSWER_GUARANTEE_WITHDRAW message

The message is sent in response to GUARANTEE_WITHDRAW application. Format of the

line with response to application is following:

| No. | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | Code of the bank account for returning | From the application, to which response is provided | c80 | M |
| 2 | Transfer currency | From the application, to which response is provided | c3 | M |
| 3 | Amount in transfer currency | From the application, to which response is provided | n20.2 | M |
| 4 | ID of the application in the sender's accounting | From the application, to which response is provided | c64 | O |
| 5 | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |
| 6 | Description of processing result | List of descriptions of processing results, separator «;» character | w255 | O |
| 7 | Document number assigned by CC | Indicated in case of successful Application processing | c32 | M |

## CANCEL_WITHDRAW message [10]

Format of the line with application for cancellation of previously submitted application for returning of the funds of Collateral Assets or Default Fund is following:

| No. | Assignment | Comments | Data of the Clearing Member * | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | Document number assigned by CC | Number of application being cancelled assigned by CC | | c32 | M |
| 2 | Transfer currency | From the application being cancelled (for control) | | c3 | O |
| 3 | Amount in transfer currency | From the application being cancelled (for control) | | n20.2 | O |
| 4 | ID of the application in the sender's accounting | From the application being cancelled (for control) | | c64 | O |

**\*** Filled in for application transfer in Microsoft Word format

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[10] Application for cancellation of previously submitted application for returning of the funds of Collateral Assets or Default Fund.

Sent only in Microsoft Word format. Cancellation of fulfilled payments is prohibited.

## TRANSFER_SETTLE message [11]

Format of the line with application for funds transfer between TCA`s is following:

| No. | Assignment | Comments | Member's details* | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | Code of TCA for withdrawal | TCA must be registered at the time of application submission | | c12 | M |
| 2 | Code of TCA for crediting | TCA must be registered at the time of application submission | | c12 | M |
| 3 | Transfer currency ** | • **USD** (only for funds transfer between TCAs)<br>• **KZT** (only for funds transfer between TCAs) | | c3 | M |
| 4 | Amount in transfer currency | In monetary format (two decimal places, separated with a dot) | | n20.2 | M |
| 5 | ID of the application in the sender's accounting | The field is used to prevent repeated processing of applications. It is recommended to apply continuous numbering | | c64 | O |
| 6 | Short Code of the client for withdrawal | Short Code of the Clearing Member's client | | c12 | O |

| No. | Assignment | Comments | | MaxSize | M/O |
|---|---|---|---|---|---|
| 7 | Short Code of the client for crediting | Short Code of the Clearing Member's client | | c12 | O |

\* Filled in for application transfer in Microsoft Word format

\*\* Transfer currency is selected in accordance with the list of foreign currencies accepted by International Trading System Limited as Collateral Assets, that is disclosed on CC web-site.

### ANSWER_TRANSFER_SETTLE message

The message is sent in response to TRANSFER_SETTLE application. Format of the line with response to application is following:

| No. | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | Code of TCA for withdrawal | From the application, to which response is provided | c12 | M |
| 2 | Code of TCA for crediting | From the application, to which response is provided | c12 | M |
| 3 | Transfer currency | From the application, to which response is provided | c3 | M |
| 4 | Amount in transfer currency | From the application, to which response is provided | n20.2 | M |
| 5 | ID of the application in the sender's accounting | From the application, to which response is provided | c64 | 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 |
| 8 | Document number assigned by CC | Indicated in case of successful Application processing | c32 | M |
| 9 | Short Code of the client for withdrawal | From the application, to which response is provided | c12 | O |
| 10 | Short Code of the client for crediting | From the application, to which response is provided | c12 | O |

[11] Order for funds transfer between TCAs

### QUANTITY_26 message [12]

Format of the line with application on TCA and amount of funds order to perform actions aimed at Clearing Member obligation fulfilment :

| No. | Assignment | Comments | Data of the Clearing Member \* | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | TCA Code | TCA must be registered at the time of application submission | | c12 | M |
| 2 | Currency code | **USD** **KZT** | | c3 | M |
| 3 | Amount of funds | Non-negative number in monetary format (two decimal places, separated with a dot) | | n20.2 | M |

**\*** Filled in in case of application transfer in Microsoft Word format

Clarifications on filling-in of message fields:

Amount of funds available to settle non-fulfilment of obligations to execute agreements during trading arranged by another trading operator.

### ANSWER_QUANTITY_26 message

The message is sent in response to QUANTITY_26 application. Format of the line with response to application is following:

| No. | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | TCA Code | From the application, to which response is provided | c12 | M |

| No. | | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|---|
| 2 | | Currency code | From the application, to which response is provided | c3 | M |
| 3 | | Amount of funds | From the application, to which response is provided | n20.2 | M |
| 4 | | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |
| 5 | | Description of processing result | List of descriptions of processing results, separator «;» character | w512 | O |

[12] Application on TCA and amount of funds in order to perform actions aimed at Clearing Member obligation fulfilment

## REPO_LIMIT message [13]

Format of the line with application for setting of a limit for operations to regulate non-fulfilled obligations:

| No. | Assignment | Comments | Clearing Member's details* | MaxSize | M/O |
|---|---|---|---|---|---|
| 1 | TCA Code | TCA must be registered at the time of application submission | | c12 | M |
| 2 | Security Code | Security ISIN | | c3 | M |
| 3 | Number of securities | Non-negative number in monetary format (two decimal places, separated with a dot) | | n20.0 | M |

**\*** Filled in in case of application transfer in Microsoft Word format

## ANSWER_REPO_LIMIT message

The message is sent in response to REPO_LIMIT application. Format of the line with response to application is following:

| No. | Assignment | Comments | MaxSize | M/O |
|---|---|---|---|---|
| 1 | TCA Code | From the application, to which response is provided | c12 | M |
| 2 | Security Code | From the application, to which response is provided | c3 | M |
| 3 | Number of securities | From the application, to which response is provided | n20.0 | M |
| 4 | Number of processing result | List of codes of processing results, separator «;» character | c32 | M |
| 5 | Description of processing result | List of descriptions of processing results, separator «;» character | w512 | O |

**Requirements for naming of files with applications, reports, notifications, and other documents sent via Electronic Document Management System [1,2]**

Documents indicated in this annex are exchanged using EDMS ITSCP@address.

| No. | Document type | Prefix for incoming document in CC | Prefix for response document from CC | Address for interaction with CC regarding documents indicated in this Annex via electronic document management systems |
|---|---|---|---|---|
| 1. | Application for replacement of the currency of funds registered as collateral assets | Application for replacement of the currency of funds | ANSWER_Application for replacement of the currency of funds | REGISTER |
| 2. | Application for change of the procedure aimed at withholding of charges for execution of Contracts/ Internal OTC Contracts | Application for change of the procedure aimed at withholding of charges for execution of Contracts | - | REGISTER |
| 3. | Application for change of the procedure aimed at withholding of charges during clearing | Application for change of the procedure aimed at withholding of charges during clearing | | REGISTER |
| 4. | Application for TCA registration | TCA_REGISTER_ | ANSWER_TCA_REGISTER_ | REGISTER |
| 5. | Application for TCA parameter change | TCA_CORRECTION_ | ANSWER_TCA_CORRECTION_ | REGISTER |
| 6. | Application for TCA deletion | TCA_DELETE_ | ANSWER_TCA_DELETE_ | REGISTER |
| 7. | Application for registration of an account for funds withdrawal | ACC_WITHDRAW_USD_ | ANSWER_ACC_WITHDRAW_USD_ | REGISTER |
| 8. | Application for registration of an account for funds withdrawal (in Russian roubles) | ACC_WITHDRAW_RUB_ | ANSWER_ACC_WITHDRAW_RUB_ | REGISTER |
| 9. | Application for registration of an account for funds withdrawal to TCA | ACC_WITHDRAW_TCA_ | ANSWER_ACC_WITHDRAW_TCA_ | REGISTER |
| 10. | Application for deletion of an account for funds withdrawal | ACC_WITHDRAW_DELETE_ | ANSWER_ACC_WITHDRAW_DELETE_ | REGISTER |

| No. | Description | Request | Response | | Type |
|---|---|---|---|---|---|
| 11. | Application for returning of funds of Collateral Assets | CLAIM_WITHDRAW_ | ANSWER_CLAIM_WITHDRAW_ | | REGISTER |
| 12. | Application for returning of the funds of Default Fund | GUARANTEE_WITHDRAW_ | ANSWER_GUARANTEE_WITHDRAW_ | | REGISTER |
| 13. | Application for cancellation of previously submitted application for returning of the funds of Collateral Assets or Default Fund | CANCEL_WITHDRAW_ | ANSWER_CANCEL_WITHDRAW_ | | REGISTER |
| 14. | Application for funds transfer between TCAs | TRANSFER_SETTL_ | ANSWER_TRANSFER_SETTLE_ | | REGISTER |
| 15. | Application on TCA and amount of funds in order to perform actions aimed at Clearing Member obligation fulfilment | QUANTITY_26_ | ANSWER_QUANTITY_26_ | | REGISTER |
| 16. | Application on TCA for Repurchase Agreement execution by CC | REPO_LIMIT_ | ANSWER_REPO_LIMIT_ | | REGISTER |
| 17. | Letter in format doc, docx, pdf<br><br>• Attachment in format doc, docx, pdf, zip, xls, xlsx, csv, txt, xml,xsd. | LETTER_<br>ANSWER_LETTER_<br><br>ATTACHMENT_ [1] | LETTER_<br>ANSWER_LETTER_<br><br>ATTACHMENT_ [1] | | REGISTER<br>CLIENT |
| 18. | Rejection of incorrectly sent documents to CC | - | REJECTED, GENERIC_ERROR | | Document sent by the Clearing Member to CC, that contains an error |
| 19. | Notifications to Clearing Members | | | | REPORT |

[1] After prefix, further message name is free

[2] CC may ignore or refuse to process documents failing to comply with the said requirements

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[1] If there is more than one attachment to the Letter, it is recommended to indicate the item number (Attachment_1_, Attachment_2_, Attachment_3_, etc.)