**Appendix 9**

to the Rules for providing access to the Exchange's trading systems

*(This appendix was changed by decisions of the Exchange's Board of Directors of May 26, 2021   
and 26 July of 2023)*

[on company letterhead]

**STATEMENT**

**on providing access to the Exchange's trading and clearing system through a gateway**

Hereby, on behalf of [full name of the organization], requests Kazakhstan Stock Exchange JSC to provide access to the trading and clearing system by connecting to it through:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Name of trading and clearing system** | **Connection type** | | | | |
| **FIX protocol** | **FAST** | **ASTS Bridge** | **Plaza2 CGate** | **TWIME** |
| 1. | ASTS+ (stock market) | □ | □ | □ |  |  |
| 2. | ASTS+ (foreign exchange market) | □ | □ | □ |  |  |
| 3. | SPECTRA | □ | □ |  | □ | □ |

The requested access to connect to the trading and clearing system through the gateway is necessary for the purpose of:

□ carrying out trading operations without using algorithmic trading and/or risk management systems;

□ obtaining information on your own orders and transactions without the right to carry out trading operations;

□ creating derivative information for further distribution and/or for internal use, including (including, but not limited to) for automatic or semi-automatic generation/fixation of orders or quotes, use of prices for the purposes of algorithmic trading and/or risk management, use of prices   
in for the purpose of automatic submission of orders, use of programs for monitoring operational activities, use of programs for investment analysis, surveillance, compliance control, as well as portfolio assessment, control\verification\confirmation of orders using software and hardware, etc.

The responsible person for receiving a short code and password for connecting to the trading and clearing system through the specified gateway is \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (indicate the last name, first name and patronymic of the employee included in the list of traders), work phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

[Position of the chief executive officer] [signature] [Last name, initials]