**Appendix**

to the Rules for providing direct access to the Exchange's trading system

[on company letterhead]

**APPLICATION**

**for issuing permission to use the DMA system**

We hereby declare that [*full name of the member of the Exchange*]intends to provide its clients with services for providing direct access to the trading system operated by Kazakhstan Stock Exchange JSC (hereinafter – the Exchange), and for these purposes we request permission to use the following DMA system on [specify the exchange market] (as this designation is defined in the internal document of the Exchange "Rules for providing direct access to the trading system of Kazakhstan Stock Exchange JSC").

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| DMA system name |  | | | |
| Name of the developer/ copyright holder of the DMA system |  | | | |
| Gateway for connecting the DMA system to the Exchange's trading system *(check)* | FIX protocol | ASTS Bridge | Plaza2 CGate | TWIME |
| ASTS+ (stock market) | ☐ | ☐ |  |  |
| ASTS+ (currency market) | ☐ | ☐ |  |  |
| SPECTRA | ☐ |  | ☐ | ☐ |

We confirm that we have read the internal documents of the Exchange: "Rules for providing direct access to the trading system of Kazakhstan Stock Exchange JSC and "Requirements for DMA systems of members of Kazakhstan Stock Exchange JSC and their use", agree with them and undertake to comply with the standards established by the said internal documents (including possible subsequent changes and/or additions to them). In addition, we undertake to familiarize each DMA client with the said internal documents (including possible subsequent changes and/or additions to them).

We announce that the following employees [*full name* [*members of the Exchange*] are defined by us as persons whose job responsibilities include ensuring interaction with the Exchange on issues of providing direct access to the Exchange's trading system and compliance with the standards of the aforementioned internal documents of the Exchange.

|  | **Employee 1** | **Employee 2** | **Employee 3** |
| --- | --- | --- | --- |
| Job title |  |  |  |
| Last name, first name, patronymic (if any) |  |  |  |
| E-mail address |  |  |  |
| Office phone number |  |  |  |
| Mobile phone number |  |  |  |

The following documents are attached to this application:

1) *(indicate the name of the document, its type (original, copy) and number of sheets);*

2) *(indicate the name of the document, its type (original, copy) and number of sheets).*

[position] [signature] [last name, initials][[1]](#footnote-2)

1. In accordance with the card with samples of signatures of the executives of the member of the Exchange (the authenticity of which is certified by a notary public) available to the Exchange and the imprint of its seal. [↑](#footnote-ref-2)