



ASTANA  
INTERNATIONAL  
EXCHANGE

# AIX NOTICE №0003 ON WAIVER AND MODIFICATION

Date of issue: 16 February 2021

Nur-Sultan, Kazakhstan

**WAIVER AND MODIFICATION NOTICE No. 0003 DATED 16 FEBRUARY 2021**

THE ASTANA INTERNATIONAL EXCHANGE HEREBY GIVES NOTICE THAT:

The Rules specified in the Table A and Table B, as modified or waived by this notice, shall apply to all Members in connection with their post-trade reporting obligations in respect of trades executed away from the Order Book pursuant to TRD 2.3 and TRD 15 (Off the Order Book Transactions) of the AIX Business Rules.

**TABLE A – RULES MODIFIED**

The Rules specified in the left-hand column of the Table A are modified to the extent shown in the right-hand column of the Table A. In this table, underlining indicates new text and striking through indicates deleted text, otherwise the Rule remains unaltered.

Rule	Modified Text
TRD 15.4	A <b>Member</b> that carries out a trade in an <b>Admitted Security</b> off the <b>Order Book</b> must submit a post-trade report to <b>AIX</b> as quickly as possible and in any event <del>within three (3) minutes of execution in the case of an <b>Equity</b> trade and fifteen (15) minutes in relation to a <b>Debt Security</b></del> <u>before the end of the <b>Business Day</b>, on which the <b>Transaction</b> was executed.</u>

**TABLE B – RULES WAIVED**

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**EFFECTIVE PERIOD**

This notice comes into effect on the date of its issue and remains in force until the further notice.

**INTERPRETATION**

Defined terms are identified in this notice by the capitalisation of the initial letter of a word or of each word in a phrase and shall have the meaning assigned to them in the AIX Business Rules or, if not defined there, in the AIFC Glossary. Unless the context otherwise requires, where capitalisation of the initial letter is not used, an expression has its natural meaning.

THIS NOTICE IS ISSUED BY THE ASTANA INTERNATIONAL EXCHANGE PURSUANT TO RULE TRD 15.5(R) OF THE AIX BUSINESS RULES.