

AIX REGISTRAR RULES AND PROCEDURES FOR THE ASSIGNMENT OF ISIN, CFI, FISN

Approved on 10 December 2025,
effective from 12 January 2026

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These **Rules** are developed pursuant to, and shall be read in conjunction with, the **AIX Registrar Rules** and the AFSA Notice on the designation of **AIX Registrar** as the authorised numbering agency within **AIFC**, and establish the terms, conditions and procedures for the assignment, modification, maintenance and cancellation of the **Identifiers**.

1 Section: General Provisions

1.1 Definitions

(a) terms and abbreviations used in these **Rules** shall have the meanings given to them in the **AIX Registrar Rules**, or if not defined there, the meanings given in the **AIFC Glossary**, unless otherwise defined herein;

(b) unless otherwise stated, where bold italics have not been used, an expression bears its natural meaning;

(c) headings are for convenience only and shall not affect the interpretation of these **Rules**

Definitions:	Meaning:
ANNA	means the Association of National Numbering Agencies.
AIFC	means the Astana International Financial Centre.
AIFC Glossary	means the rules No FR0017 adopted 29 April 2018, as amended from time to time.
AIFC Law	means the acts and regulations of AIFC, as amended from time to time.
AIX Registrar	means Astana International Exchange Registrar Ltd.
AIX Registrar Rules	means the rules governing the establishment, operation and maintenance of the Securities Registry , the rights and obligations of Clients , and the services, powers and procedures of AIX Registrar , as amended from time to time.
CFI	means a Classification of Financial Instruments code assigned in accordance with ISO 10962 , consisting of a six-character alphanumeric code that classifies a financial instrument based on its structure and attributes.
FISN	means a Financial Instrument Short Name assigned in accordance with ISO 18774 , comprising an issuer short name and an instrument description structured to uniquely identify the financial instrument.
Identifier	means one of the following assigned by AIX Registrar: (a) International Securities Identification Number (ISIN); (b) Classification of Financial Instruments code (CFI); (c) Financial Instrument Short Name (FISN).

ISIN	means an International Securities Identification Number assigned in accordance with ISO 6166 , consisting of a twelve-character alphanumeric code that uniquely identifies a specific Security .
ISO 3166	means the International Standard for country codes published by ISO.
ISO 6166	means the International Standard for ISIN assignment.
ISO 10962	means the International Standard for CFI codes.
ISO 18774	means the International Standard for FISN codes.
Rules	means these <i>AIX Registrar rules and procedures for the assignment of ISIN, CFI, FISN</i> as the same may be amended and/or supplemented from time to time.

1.2 Applicability

- 1.2.1 **AIX Registrar** assigns the following identifiers:
 - (a) International Securities Identification Number (ISIN);
 - (b) Classification of Financial Instruments code (CFI);
 - (c) Financial Instrument Short Name (FISN).
- 1.2.2 **AIX Registrar** assigns **Identifiers** to the following categories of **Issuers** and legal entities:
 - (a) **Issuers of Debt** and **Equity Securities**;
 - (b) **Issuers of Unlisted Securities**;
 - (c) other **AIFC** participants requesting assignment of **Identifiers** only, without opening an **Account** in the **AIX Registrar** or using **Registry Services**.
- 1.2.3 Upon submission of documents and subject to completion, all **Identifiers** are assigned simultaneously by **AIX Registrar**.

1.3 General Provisions on ISIN

- 1.3.1 An **ISIN** consists of twelve alphanumeric characters (Arabic numerals and uppercase Latin letters, with certain restrictions as per **Rule 1.3.2** below) and is designed to uniquely identify instruments internationally.
- 1.3.2 The first two characters are the country prefix "KZ" as defined by **ISO 3166**.
 - (a) The third character represents mark that the instrument is issued by **AIX Registrar** as the authorised numbering agency – the letter "Q".
 - (b) Characters 4-11 represent the basic number generated by **AIX Registrar** internally ensuring instrument uniqueness.
 - (c) The final twelfth (12th) character shall represent the check-digit, calculated automatically by **AIX Registrar** in accordance with the methodology of the international standard **ISO 6166**.
- 1.3.3 An **ISIN** is unique per instrument name and shall not change once assigned.

1.4 General Provisions on CFI

- 1.4.1 A **CFI** consists of six uppercase alphabetic characters and represents key attributes of financial instruments that are rarely changed after issuance.
- 1.4.2 A **CFI** is common to all instruments of the same name and is updated when attributes used for its assignment change.
- 1.4.3 The structure and format of **CFIs** are set in **ISO 10962**.

1.5 General Provisions on FISN

- 1.5.1 A **FISN** consists of up to 35 characters (letters, digits, punctuation marks, and spaces) and provides a human-readable standardized short name and description of the instrument.
- 1.5.2 **FISNs** are common to all instruments of the same name and are updated when attributes used for their assignment change.
- 1.5.3 The structure and format of **FISNs** are based on **ISO 18774**.

2 Section: Assignment, Modification and Cancellation of Identifiers

2.1 Assignment of Identifiers for Issuers of Debt and Equity Securities

- 2.1.1 Upon receipt of the application in accordance with Section 3 of ***the AIX Registrar Rules***, an ***Issuer*** of ***Debt*** and ***Equity Securities*** seeking assignment of ***Identifiers*** shall submit an application to ***AIX Registrar*** in the form and manner prescribed by these ***Rules***.
- 2.1.2 Upon receipt of the application for the ***Identifiers***, ***AIX Registrar*** shall assign the ***Identifiers*** to the ***Debt*** and ***Equity Securities*** as follows:
 - (a) the ***ISIN*** shall be assigned in accordance with ***ISO 6166***, using the appropriate jurisdictional prefix and structure applicable to ***AIX Registrar*** as the authorised numbering agency;
 - (b) the ***CFI*** shall be assigned in accordance with ***ISO 10962*** based on the verified attributes and classification of the ***Debt*** and ***Equity Securities***; and
 - (c) the ***FISN*** shall be assigned in accordance with ***ISO 18774***, incorporating the ***Issuer*** short name and the prescribed description of the instrument.
- 2.1.3 Upon assignment of the ***Identifiers***, ***AIX Registrar*** shall:
 - (a) record the ***Identifiers*** in the ***Securities Registry***; and
 - (b) provide written certificate of the assigned ***Identifiers*** to the ***Issuer***.
- 2.1.4 ***AIX Registrar*** shall invoice the ***Issuer*** for the applicable fees for assignment of the ***Identifiers*** in accordance with the ***AIX Registrar*** fees. Fees may be invoiced before or following assignment of the ***Identifiers***.
- 2.1.5 ***AIX Registrar*** may request any additional information reasonably required to complete classification or assignment and may refuse to assign ***Identifiers*** where the ***Issuer*** fails to pass due diligence procedures, comply with documentation or payment requirements, or where assignment would conflict with applicable standards, ***AIFC Law*** or the ***AIX Registrar Rules***.

2.2 Assignment of Identifiers for Issuers of Unlisted Securities

- 2.2.1 An ***Issuer*** of ***Unlisted Securities*** requesting assignment of ***Identifiers*** shall submit an application to ***AIX Registrar*** in ***Registrar*** in the form and manner prescribed by these ***Rules***, together with all information and supporting documents required for registration of the issuance of ***Unlisted Securities*** and due diligence procedures.
- 2.2.2 Upon receipt of the application, ***AIX Registrar*** shall conduct due diligence in accordance with the ***AIX Registrar Rules***.
- 2.2.3 Following satisfactory completion of due diligence procedures, ***AIX Registrar*** shall:
 - (a) enter into a ***Registry Services Agreement*** with the ***Issuer***;
 - (b) establish an ***Account*** for the ***Issuer*** as per Section 4 of the ***AIX Registrar Rules***;
 - (c) create and register the class or series of ***Unlisted Securities*** in uncertified form in the ***Securities Registry*** in accordance with Section 6 of the ***AIX Registrar Rules***; and

- (d) assign the **Identifiers** as per **Rule 2.1.2** hereof and provide **the Issuer of Unlisted Securities** with the written certificate of assigned **Identifiers**.
- 2.2.4 **AIX Registrar** shall invoice the **Issuer** for the applicable fees for assignment of the **Identifiers** in accordance with the **AIX Registrar** fees Schedule. Fees may be invoiced before or following assignment of the **Identifiers**.
- 2.2.5 **AIX Registrar** may request any additional information reasonably required to complete classification or assignment and may refuse to assign **Identifiers** where the **Issuer** fails to pass due diligence procedures, comply with documentation or payment requirements, or where assignment would conflict with applicable standards, **AIFC Law** or the **AIX Registrar Rules**.

2.3 Assignment of Identifiers for AIFC Participants Requesting Identifiers Only

- 2.3.1 An **AIFC** participant requesting assignment of **Identifiers** without opening an **Account** or registering **Securities** with **AIX Registrar** shall submit an application in the form and manner prescribed by these **Rules**, together with the information and documentation required for the purposes of due diligence procedures, instrument verification and ISO classification.
- 2.3.2 Upon receipt of the application, **AIX Registrar** shall conduct due diligence procedures appropriate to the establishment of a relationship with the applicant, including verification of the applicant's identity, legal status, and authority to request assignment of **Identifiers**, in accordance with the **AIX Registrar Rules**.
- 2.3.3 Following completion of due diligence procedures, **AIX Registrar** shall assess whether the financial instrument for which **Identifiers** are requested is eligible for assignment under **ISO 6166**, **ISO 10962** and **ISO 18774**, taking into account any limitations on **AIX Registrar** as the authorised numbering agency.
- 2.3.4 **AIX Registrar** shall issue an invoice to the **Applicant** for all applicable fees for the assignment of **Identifiers** in accordance with the **AIX Registrar** fees schedule. **Identifiers** shall not be assigned until all applicable fees have been paid in full.
- 2.3.5 Upon confirmation of payment, **AIX Registrar** shall assign the **Identifiers** as per **Rule 2.1.2** hereof.
- 2.3.6 Since no **Account** is opened:
 - (a) no **Securities Registry**-related services or functions under the **AIX Registrar Rules** shall apply; and
 - (b) **AIX Registrar's** obligations shall be limited to the assignment, maintenance and, where applicable, modification or cancellation of the **Identifiers** assigned.

- 2.3.7 Upon assignment of the **Identifiers**, **AIX Registrar** shall provide written certificate confirming the assigned **ISIN**, **CFI** and **FISN**.
- 2.3.8 **AIX Registrar** may request additional information reasonably required to complete classification or assignment and may refuse to assign **Identifiers** where the **AIFC** participant requesting **Identifiers** fails to pass due diligence procedures or comply with payment requirements, where the instrument is ineligible for identification under applicable ISO standards, or where assignment would conflict with **AIFC Law** or the **AIX Registrar Rules**.

2.4 Modification of Identifiers

- 2.4.1 **AIX Registrar** modifies only those **Identifiers** that are subject to modification under ISO standards and these **Rules**.
- 2.4.2 **AIX Registrar** shall accept modification requests using form set out in Schedule 1, and the applicants shall complete only those fields that are subject to modification.
- 2.4.3 **AIX Registrar** may also request any supporting documents as deemed necessary.
- 2.4.4 Unless requested, **AIX Registrar** shall not issue any certificate or other formal documentation confirming the modification of an **Identifier**.

2.5 Cancellation of Identifiers

- 2.5.1 For **Debt**, **Equity** or **Unlisted Securities** recorded in the **Securities Registry**, **AIX Registrar** cancels **Identifiers** when the relevant instruments have been fully redeemed, cancelled, converted or otherwise cease to exist in accordance with their terms and applicable law.
- 2.5.2 For instruments not registered in the **Securities Registry**, the relevant **AIFC** participant shall notify **AIX Registrar** of the cessation of the instrument and request cancellation of the **Identifiers** by email or in such other manner as **AIX Registrar** may prescribe and shall provide any supporting documentation reasonably required by **AIX Registrar**.
- 2.5.3 **AIX Registrar** shall not, as a matter of course, issue any certificate or other formal documentation confirming the cancellation of the **Identifiers**.

3 Section: Timeframes for assignment, modification and cancellation of Identifiers

- 3.1 Subject to completion of due diligence procedures, assignment of the **Identifiers** must be completed by **AIX Registrar** as soon as possible but no later than within seven (7) **Business Days**.

3.2 Modification or cancellation must be completed by **AIX Registrar** as soon as possible but no later than within two (2) **Business Days** of receipt of the application or the email as the case may be.

4 Section: Publication of Information

4.1 **AIX Registrar** publishes information on the assignment, modification and cancellation of **Identifiers** on the **AIX** website on weekly basis.

4.2 Where required by **ANNA** rules or applicable ISO standards, **AIX Registrar** shall provide **ANNA** with information relating to the assignment, modification and cancellation of **Identifiers** in the form, frequency and manner prescribed by **ANNA**.

5 Section: Fees and Charges

5.1 Services for assignment of the **Identifiers** are charged in accordance with the **AIX Registrar** fees schedule published on the **AIX** website and updated from time to time. No fees are payable to **AIX Registrar** for the modification or cancellation of **Identifiers**.

6 Section: Liability

6.1 **AIX Registrar** shall not be liable for any direct, indirect, or consequential damages, losses or lost profits arising from the assignment, modification, cancellation of the **Identifiers** or dissemination of related information.

7 Section: Indemnity

7.1 The **Issuer** or any person applying for **Identifiers** shall on demand indemnify and hold harmless AIX Registrar, its affiliates, and their respective directors, officers, employees and agents from and against any and all losses, liabilities, judgments, suits, actions, proceedings, claims, penalties, damages or costs (including reasonable legal fees as incurred) resulting from or arising out of or in connection with assignment, modification, maintenance and cancellation of the **Identifiers** in accordance with these **Rules**.

8 Section: Recordkeeping

8.1 **AIX Registrar** shall maintain the historical data on **Identifiers** during a minimum period of 10 years.

9 Section: Final Provisions

9.1 These **Rules** govern the assignment, maintenance, modification and cancellation of **Identifiers**. For all matters not expressly regulated herein, including but not limited to confidentiality obligations, the processing and protection of personal data, requirements relating to certificates, instructions, client due diligence, liability, operational and administrative procedures, and recordkeeping, the **AIX Registrar Rules** shall apply.

9.2 To the extent the requirements of **ISO 6166**, **ISO 10962** and **ISO 18774** standards conflict with any provision of these **Rules** or the **AIX Registrar Rules**, the ISO standards shall prevail with respect to the assignment and structure of **Identifiers**.

- 9.3 **AIX Registrar** may, at any time and in its sole and absolute discretion, request in writing any information from the **Issuer** or any person applying for **Identifiers** to enable **AIX Registrar** to determine whether that person is complying with all applicable standards, **AIFC Law**, **AIX Registrar Rules** or these **Rules** to ensure AIX Registrar can carry out its functions and / or comply with any obligations it may have, including under these Rules, or as required by applicable law or regulation.
- 9.4 **AIX Registrar** may from time to time amend, add to, alter, modify or repeal any of the provisions of these **Rules** and the amendments to these **Rules** shall become binding at the time specified by **AIX Registrar**.

Schedule 1. Form for assignment of ISIN, CFI, and FISN

Applicant's details

Applicant name*	Место для ввода текста.
Applicant's short name* (no more than 12 symbols)	Место для ввода текста.
BIN	Место для ввода текста.
LEI (if available)	Место для ввода текста.
Full name of Authorised Signatory*	Место для ввода текста.
Primary email address of the Authorised Signatory*	Место для ввода текста.
Phone of the Authorised Signatory*	Место для ввода текста.

Financial instrument details (please fill as applicable)

Equities

Type of financial instrument:* (please tick as applicable)	<input type="checkbox"/> Common/ordinary shares <input type="checkbox"/> Preference shares <input type="checkbox"/> Common/ordinary convertible shares <input type="checkbox"/> Preference convertible shares <input type="checkbox"/> Limited partnership units <input type="checkbox"/> Depository receipts on equities <input type="checkbox"/> Structured products (participation) <input type="checkbox"/> Others (please specify details): Место для ввода текста.
Voting rights*:	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Restricted voting <input type="checkbox"/> Enhanced voting
Instrument dependency:	<input type="checkbox"/> Common/ordinary shares <input type="checkbox"/> Preference shares <input type="checkbox"/> Common/ordinary convertible shares <input type="checkbox"/> Preference convertible shares

	<input type="checkbox"/> Other Место для ввода текста.
Ownership/transfer/sales restrictions (the ownership or transfer of the financial instrument is subject to special conditions including country-specific restrictions):	<input type="checkbox"/> Restrictions <input type="checkbox"/> Free (unrestricted)
Redemption (indicates the retirement provisions made for the shares):	<input type="checkbox"/> Redeemable <input type="checkbox"/> Extendible <input type="checkbox"/> Redeemable/extendible <input type="checkbox"/> Exchangeable <input type="checkbox"/> Redeemable/exchangeable/extendible <input type="checkbox"/> Redeemable/exchangeable <input type="checkbox"/> Perpetual
Redemption/conversion of the underlying assets:	<input type="checkbox"/> Redeemable <input type="checkbox"/> Perpetual <input type="checkbox"/> Convertible <input type="checkbox"/> Convertible/redeemable
Payment status:	<input type="checkbox"/> Nil paid <input type="checkbox"/> Partly paid <input type="checkbox"/> Fully paid
Income (indicates the kind of dividend income the shareholders are entitled to):	<input type="checkbox"/> Fixed rate income <input type="checkbox"/> Cumulative, fixed rate income <input type="checkbox"/> Participating income <input type="checkbox"/> Cumulative, participating income <input type="checkbox"/> Adjustable/variable income <input type="checkbox"/> Normal rate income <input type="checkbox"/> Auction rate income
Form (negotiability, transmission):	<input type="checkbox"/> Bearer <input type="checkbox"/> Registered <input type="checkbox"/> Bearer/ Registered <input type="checkbox"/> Others Место для ввода текста.

CIS (Collective Investment Scheme)

<p>Type of CIS (Collective Investment Scheme):* (please tick as applicable)</p>	<p><input type="checkbox"/> Standard investment funds/mutual funds <input type="checkbox"/> Hedge funds <input type="checkbox"/> Real estate investment trust (REITs) <input type="checkbox"/> Exchange traded funds (ETFs) <input type="checkbox"/> Pension funds <input type="checkbox"/> Funds of funds <input type="checkbox"/> Private equity funds <input type="checkbox"/> Other type of CIS (Collective Investment Scheme) (please specify details): Место для ввода текста.</p>
<p>Type of standard investment funds/mutual funds:</p>	<p><input type="checkbox"/> Closed-ended <input type="checkbox"/> Open-ended <input type="checkbox"/> Others Место для ввода текста.</p>
<p>Fund's distribution policy:</p>	<p><input type="checkbox"/> Income funds <input type="checkbox"/> Accumulation funds <input type="checkbox"/> Mixed funds</p>
<p>The underlying assets in which fund invests:</p>	<p><input type="checkbox"/> Real estate <input type="checkbox"/> Debt instruments <input type="checkbox"/> Equities <input type="checkbox"/> Convertible securities <input type="checkbox"/> Mixed <input type="checkbox"/> Commodities <input type="checkbox"/> Derivatives <input type="checkbox"/> Others Место для ввода текста.</p>
<p>Financial instrument type and investor restrictions:</p>	<p><input type="checkbox"/> Shares (retail and/or professional investors)</p>

	<input type="checkbox"/> Shares for professional investors only <input type="checkbox"/> Units (retail and/or professional) <input type="checkbox"/> Units for professional investors only
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Debt instruments

Security type:	<input type="checkbox"/> Bonds <input type="checkbox"/> Convertible bonds <input type="checkbox"/> Bonds with warrants attached <input type="checkbox"/> Medium-term notes <input type="checkbox"/> Money market instruments <input type="checkbox"/> Structured products (capital protection) <input type="checkbox"/> Structured products (without capital protection) <input type="checkbox"/> Mortgage-backed securities <input type="checkbox"/> Asset-backed securities <input type="checkbox"/> Municipal bonds <input type="checkbox"/> Depositary receipts on debt instruments <input type="checkbox"/> Others Место для ввода текста.
Type of interest or cash payment:	<input type="checkbox"/> Fixed rate <input type="checkbox"/> Zero rate/discounted <input type="checkbox"/> Variable <input type="checkbox"/> Cash payment <input type="checkbox"/> Payment in kind (payment of interest using other assets instead of cash)
Instrument dependency:	<input type="checkbox"/> Bonds <input type="checkbox"/> Convertible bonds <input type="checkbox"/> Bonds with warrants attached <input type="checkbox"/> Medium-term notes <input type="checkbox"/> Mortgage-backed securities <input type="checkbox"/> Asset-backed securities

	<input type="checkbox"/> Municipal bonds <input type="checkbox"/> Others Место для ввода текста.
Guarantee or ranking type of security:	<input type="checkbox"/> Government guarantee <input type="checkbox"/> Joint guarantee (the debt instrument is guaranteed by an entity (e.g. corporation) other than the Applicant; not a federal or state government) <input type="checkbox"/> Secured <input type="checkbox"/> Unsecured/unguaranteed <input type="checkbox"/> Senior (applies to senior debts in the event of liquidation) <input type="checkbox"/> Junior (applies to junior debts in the event of liquidation) <input type="checkbox"/> Issued by the national company
Redemption/reimbursement:	<input type="checkbox"/> Fixed maturity <input type="checkbox"/> Fixed maturity with call feature <input type="checkbox"/> Fixed maturity with put feature <input type="checkbox"/> Fixed maturity with put and call feature <input type="checkbox"/> Amortization plan <input type="checkbox"/> Amortization plan with call feature <input type="checkbox"/> Amortization plan with put feature <input type="checkbox"/> Amortization plan with put and call feature <input type="checkbox"/> Perpetual
Form	<input type="checkbox"/> Bearer <input type="checkbox"/> Registered <input type="checkbox"/> Bearer/registered <input type="checkbox"/> Others Место для ввода текста.

Note: Fields marked in (*) are mandatory fields

By submitting this Form I confirm that the information provided in this Form and the attachments, if any, is accurate and complete and I assume full responsibility and liability for this information without holding AIX Registrar responsible or liable for the invalidity, inaccuracy and/or incompleteness of such information.

I agree to fully indemnify and hold harmless AIX Registrar, including its directors, employees and agents, against all losses, costs, damages, expenses and liabilities ("Losses") incurred or suffered by AIX Registrar (if any) where such Losses arose out of or in connection with AIX Registrar acting in accordance with the instructions and/or information provided in or with this Form.

I confirm that by submitting this Form the Applicant is in compliance with applicable laws and regulations and there are no legal or regulatory restrictions to obtain security identifier as specified in this Form. I further confirm that I am duly authorized to request the security identifier as detailed in the Form and that the Applicant is not subject to any fine, restriction and/or proceedings for the violation of any law or regulation.

The determination of whether a financial instrument is eligible for a security identifier shall be made by AIX Registrar in its sole discretion and any such determination shall be final. AIX Registrar Ltd. shall have no liability in connection with a determination that financial instrument is or not eligible for a security identifier.

Because of the possibility of human or mechanical error by Applicants, AIX Registrar, third party sources and others, AIX Registrar does not guarantee the accuracy, adequateness or completeness of any financial instrument data, and shall not be liable or responsible for any errors or omissions or for the results obtained from the use of any financial instrument data under this Form.

Authorized Signatory(ies) for Applicant

I hereby request AIX Registrar to issue ISIN, CFI, and FISN for requested financial instrument in this Form. By signing this Form, I acknowledge and agree to the Disclaimer and other terms made on this Form.

Authorised Signatory: Место для ввода текста.

Date:Место для ввода текста.