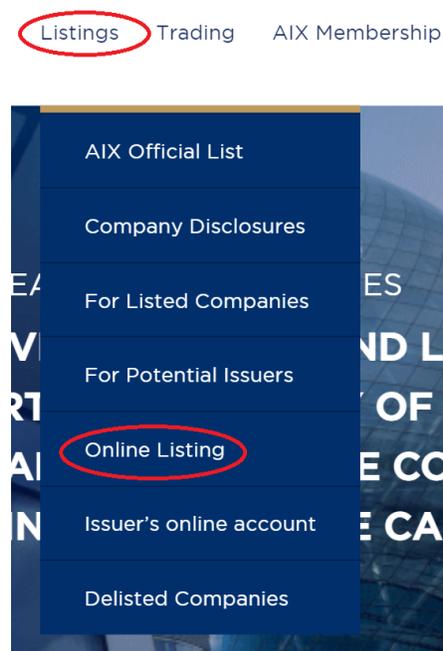


## GUIDE ON HOW TO SUBMIT DOCUMENTS THROUGH AIX ONLINE LISTING PLATFORM FOR LISTING PURPOSE

In accordance with MLR 17.1.2 AIX Business Rules, all application documents must be submitted to AIX at AIX's address, and Online Listing Platform (hereafter – OLP) is considered as an appropriate tool. In accordance with BRG 6.1, every document required to be provided to AIX or provided by AIX shall be in English or accompanied with certified (if applicable) translation into English language. Liability for the accuracy and completeness of the submitted documents lies with an Applicant and other persons who entitled to submit information on behalf of an Applicant.

1. Please click on [Online listing](#) under “Listings” on AIX website ([www.aix.kz](http://www.aix.kz))



2. Please fill in a registration form. If you are the employee of an Applicant, please fill in “Primary contact” and “Secondary contact” (optional) fields with contact information on persons, who are responsible for listing application process.

If you are the employee of a broker/underwriter and submit information on behalf of an Applicant, please fill in “Primary contact” field with your contact information and “Secondary contact” field with contact information on the representative of the Applicant (optional). Also, please specify that you are the employee of the broker/underwriter in the text message (please see the example below).

In case of the approval of application documents the publicly available “Issuer’s profile” of the Applicant will be created automatically on AIX website. Since the fields in “Company Information” part: “Address”, “Company Website”, “Company Generic Email”, “Company Phone

No”, “Company Fax No” mirror in “Issuer’s profile” from the registration form, please fill them as it is shown in example below for consistency.

<b>Company Information</b>
Demonstration JSC
12345612456
55 Mangilik el street, Nur-Sultan, 010000, Kazakhstan
Kazakhstan
<b>Company Website</b>
info@demonstration.kz
+7 (7172) 12 34 56
+7 (7172) 78 91 91
<b>Primary Contact</b>
Aigerim Akhmetova
39 Mangilik el street, Nur-Sultan, 010000, Kazakhstan
akimov.alexandra@gmail.com
Senior manager
+7 701 123 45 67
<input type="checkbox"/> <b>Secondary Contact</b>
<u>I'm the representative of "Broker company". I would like to submit the information on behalf of Demonstration JSC.</u>
<input checked="" type="checkbox"/> I can confirm that I have read and accept the <a href="#">terms of use</a> and <a href="#">privacy policy</a> .

3. As soon as the registration form has been filled in and submitted to AIX, you will receive an email on indicated email address of “Primary contact”. Please be aware that it may take up to one business days to check submitted information and send the invitation email from Microsoft Admin.

Please ask your IT team to add the following email addresses into the trusted email addresses list: [account-security-noreply@accountprotection.microsoft.com](mailto:account-security-noreply@accountprotection.microsoft.com), [k4txdyb@onk2.com](mailto:k4txdyb@onk2.com) and [admin@aixkz.onmicrosoft.com](mailto:admin@aixkz.onmicrosoft.com). Otherwise, emails from the above addresses might be blocked on your servers, and you will not be able to receive respective notifications.

## Registration form For Demonstration 2 JSC Входящие x



**AIX Dev** <SMD436B@onk2.com>

кому: я ▾

10:47 (0 минут назад) ☆ ↶ ⋮

Dear Applicant,

Thank you for submitting the registration form. Provided information is under review. Confirmation email with the verification link to activate your profile will be sent as soon as we check submitted information.

↶ Ответить

➡ Переслать

4. As soon as the submitted information is checked by AIX, you will receive the invitation email from Microsoft Admin on behalf of Astana International Exchange Ltd. Please accept the invitation\*.

## AIX Admin invited you to access applications within their organization

3 weeks ago at 3:40 PM

From "[Microsoft Invitations on behalf of Astana International Exchange Ltd.](#)" >

**i** Please only act on this email if you trust the individual and organization represented below. In rare cases, individuals may receive fraudulent invitations from bad actors posing as legitimate companies. **If you were not expecting this invitation, proceed with caution.**

**Sender:** AIX Admin ([admin@aixkz.onmicrosoft.com](mailto:admin@aixkz.onmicrosoft.com))

**Organization:** Astana International Exchange Ltd.

**Domain:** aix.kz

If you accept this invitation, you'll be sent to [https://myapps.microsoft.com/?tenantid=6935c45f-770f-4fe2-b7eb-93bc25054a9d&login\\_hint=inkara@me.com](https://myapps.microsoft.com/?tenantid=6935c45f-770f-4fe2-b7eb-93bc25054a9d&login_hint=inkara@me.com).

[Accept invitation](#)

[Block future invitations](#) from this organization.

This invitation email is from Astana International Exchange Ltd. (aix.kz) and may include advertising content. **Astana International Exchange Ltd. has not provided a link to their privacy statement for you to review.** Microsoft Corporation facilitated sending this email but did not validate the sender or the message.

Microsoft respects your privacy. To learn more, please read the [Microsoft Privacy Statement](#).  
Microsoft Corporation, One Microsoft Way, Redmond, WA 98052



\*If you have already logged in Microsoft account under the same email address, it is recommended to log in to OLP through "incognito" regime or via another Internet browser in order to avoid the conflict between two Microsoft accounts

After webpage loading you will get this notification on the screen, please click the button “Send code” to receive one-time passcode:

## Sign in

We'll send a code to inkara@me.com to sign you in.



DO NOT CLOSE this webpage, and please check your email, you shall receive an email with one-time code:

Your Astana International Exchange Ltd. account verification code

1 minute ago at 11:56 AM

From "Astana International Exchange Ltd. (via Microsoft)" >

[More](#)

Astana International Exchange Ltd.

## Account verification code

To access **Astana International Exchange Ltd.**'s apps and resources, please use the code below for account verification. The code will only work for 30 minutes.

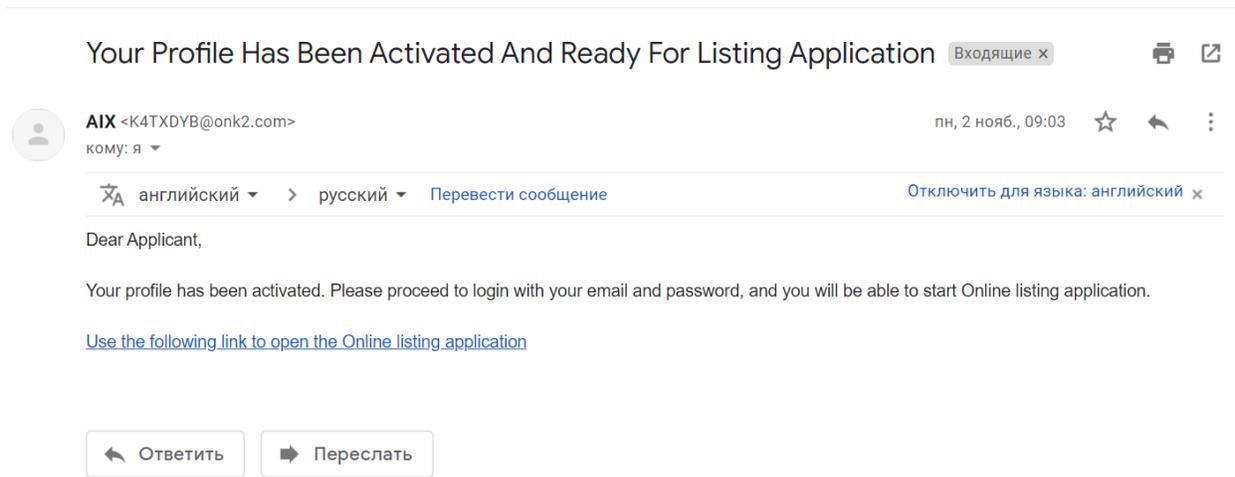
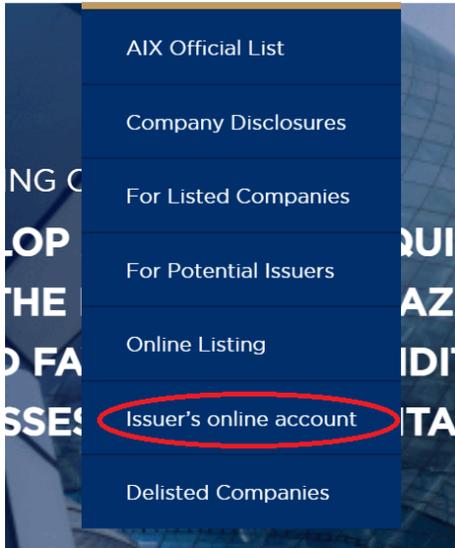
Account verification code:

**43035040** One-time code example

If you didn't request a code, you can ignore this email.

Please go back to the web page and type the received code. Please note that for security purposes AIX Microsoft Admin will send you one-time passcode every time to log in to the system (i.e. Issuer's online account).

5. Once the authorization is finished, you can go to your Issuer's online account via AIX website or following the link specified in the email. Please click on [Issuer's online account](#) under "Listings".



6. If you go to your Issuer's online account via AIX website, please choose the tab named "My Worklist". If you follow the link specified in the letter, "My Worklist" tab will open automatically.



7. On “My Worklist” page please click the “>” button and choose “Open Form”



8. You will get on “On Boarding Documents” page, which is divided into two parts. On the left part you can find all required documents and filter them by status (initialized, pending, review, approved).

**Company Information**

\_\_\_\_\_  
Kazakhstan

Documents List					
<input type="radio"/> All <input type="radio"/> Approved <input type="radio"/> Initialized <input checked="" type="radio"/> Pending <input type="radio"/> Review              Refresh					
Item	Details	File Name	Updated On	Status	Ver.
AIX Listing Application	Signed and certified by the Applicant's stamp	3 Application for Admission of Securities to the AIX Official List of Securities.docx	12 January 2021 17:25:23	Pending	1.1
AIX Trading Application (Static data should be provided as annex to the form)	Signed and certified by the Applicant's stamp	corr 4 Application-for-trading-form-AIX_2020 eng 1.docx	12 January 2021 17:25:59	Pending	1.1
Terms and Conditions	Signed and certified by the Applicant's stamp	16 corr Base form - Terms and Conditions_ENG.docx	12 January 2021 17:26:59	Pending	1.1

**Document Item**

**Pending**

AIX Listing Application

Signed and certified by the Applicant's stamp

1.1

9. On the right part you can work with each document separately. You can replace a document by uploading another one. In case more than one document need to be uploaded, please use a file archiver for Microsoft Windows (for example, WinRAR) or copy all documents in one, for example, Microsoft Word file. The maximum size of documents to be attached is 25 MB.

**Company Information**

\_\_\_\_\_  
Kazakhstan

Status	Ver.
initialized	1.0
initialized	1.0

**Document Item**

**Initialized**

Account opening form

Signed and certified by the Applicant's stamp

1.0

Please send for preliminary review first

**Company Information**

Demonstration JSC Kazakh

Documents List					
<input type="radio"/> All <input type="radio"/> Approved <input checked="" type="radio"/> Initialized <input type="radio"/> Pending <input type="radio"/> Review					
Item	Details	File Name	Updated On	Stat	Ve
Organizational Structure	Signed and certified by stamp of the Applicant		22 December 2...	Init...	1.0
Conflict of Interest Policy	Scan		22 December 2...	Init...	1.0
Certificate of Incorporation	Apostilled/not arised copy		22 December 2...	Init...	1.0
Articles of Association	Scan		22 December 2...	Init...	1.0
Annual reports/Acceptable Audited	Scan		22 December 2...	Init...	1.0

**Document Item**

[Replace Document](#)

Update Comment

Comment

1.1

[Upload](#) [Cancel](#)

Further by clicking on “Version History” button you can find all historic versions of the uploaded documents in the bottom of the page.

**Company Information**

Demonstration JSC Kazakhstan

**Document Item**

[Replace Document](#)  
 [Comment](#)  
 [Version History](#)  
 [Download Document](#)

**Initialized**

Account opening form

Signed and certified by the Applicant's stamp

1.0

Please send for preliminary review first

[Cancel](#)



## Company Information

**Document Item**

**Comment**

Update Status

Update Comment

Comment

Please go to all pages and make sure that you have reviewed (uploaded and/or commented) all documents.



# Company Registration |

## On Boarding Documents

Documents List					
<input type="radio"/> All <input type="radio"/> Approved <input checked="" type="radio"/> Initialized <input type="radio"/> Pending <input type="radio"/> Review <input type="button" value="Refresh"/>					
Item	Details	File Name	Updated On	Status	Ver.
financial statements (where applicable)					
Approval on offering (in accordance with the domestic legislation and/or constituent documents of the Applicant)	Scan		31 December 2020 11:40:19	Initialized	1.0
AIX Trading Application (Static data should be provided as annex to the form)	Signed and certified by the Applicant's stamp	Application-for-trading-form-AIX_2020 (1).docx	31 December 2020 11:40:19	Initialized	1.0
Terms and Conditions	Signed and certified by the Applicant's stamp		31 December 2020 11:40:20	Initialized	1.0

<< < 2 > >>

As soon as you replace a document or comment it first time, its status will change from “Initialized” to “Pending” and the document will be moved to appropriate list. AIX representative will receive the notification to review the document.

10. When the AIX representative reviews the document, it will be displayed in “Review” list. If the document is ok, the AIX representative will give the comment “No further comments. All good” and it will remain in “Review” list until the final approvement of all documents and closing application process.

Documents List					
<input type="radio"/> All <input type="radio"/> Approved <input type="radio"/> Initialized <input type="radio"/> Pending <input checked="" type="radio"/> Review <input type="radio"/> Refresh					
Item	Details	File Name	Updated On	Status	Ver.
Passports/ID's of Authorised signatories, members of the board of Directors and Ultimate Beneficial Owner(s)	Scan	10 Passport and Identity cards [redacted].pdf	19 January 2021 10:41:06	Review	1.2
Acceptable Audited Financial Statements (cover a prior period two years) and audited/unaudited interim financial statements (where applicable)	Scan or link if publicly available	ENG_Фин. отчетность за 2018_Expl results 2017_E.....pdf	19 January 2021 10:42:46	Review	1.3
Audited Financial Statements 2018	Scan	ENG_Фин. отчетность за 2018_Expl results 2017_f.....pdf	19 January 2021 10:43:14	Review	1.1

**Document Item**

**Review**

Passports/ID's of Authorised signatories, members of the board of Directors and Ultimate Beneficial Owner(s)

Scan

1.2

All good. No further comments

If the document needs to be corrected or replaced with another one, please do such corrections.

Documents List					
<input type="radio"/> All <input type="radio"/> Approved <input type="radio"/> Initialized <input type="radio"/> Pending <input checked="" type="radio"/> Review <input type="radio"/> Refresh					
Item	Details	File Name	Updated On	Status	Ver.
Organizational Structure	Signed and certified by stamp of the Applicant	AIX-Guide-to-ongoing-obligations_V2_2020_Final.pdf	30 December 2020 1...	Review	1.2
Conflict of Interest Policy	Scan		15 January 2021 15:5...	Review	1.2
Conflict of Interest Policy	Scan		15 January 2021 15:5...	Review	1.2
Pre-Listing Agreement			15 January 2021 15:5...	Review	1.1
Pre-Listing Agreement			15 January 2021 15:5...	Review	1.1
Certificate of Incorporation	Apostilled/notarised copy		20 January 2021 15:1...	Review	1.1

**Document Item**

**Review**

Certificate of Incorporation

Apostilled/notarised copy

1.1

Please proved correct Certificate

As soon as the Applicant corrects or replaces the document from “Review” list, it will be displayed in “Pending” list for AIX representative’s review again. Also, please note that during the application process some additional documents (apart from initialized) might be required, for example, the documents for account opening in AIX registrar, and they will be displayed in “Initialized” list.

So, the Applicant is always required to check and correct/replace or/and comment the documents in:

- “Review” list, if there is no comment that the document is ok, and
- “Initialized” list.

11. Please note, that every time when AIX representative corrects/replaces or/and comments a document, you will receive appropriate email notification.

12. If there are no documents in “Pending” and “Initialized” list and all documents in “Review” list are commented by AIX representative as there are no further comments, all application documents will be approved and moved to “Approved” list accordingly. Please note that the listing process can take up to 8 weeks.

13. Once your documents are approved and the securities are admitted to the Official list, please familiarize yourself with [obligations to disclose information](#), refill in “Primary contact” and “Secondary contact” fields with the contact information on two persons responsible for publishing disclosure on AIX and send the e-mail address of “Primary contact” to [listings@aix.kz](mailto:listings@aix.kz).

If you face problems with an access to OLP or have questions, please feel free to contact AIX Markets by the following email/phone number: [markets@aix.kz](mailto:markets@aix.kz)/+7 (7172) 23 53 66.