

Trade Repository



БАҒАЛЫ КАҒАЗДАР
О Р Т А Л Ы Қ
ДЕП●ЗИТАРИЙІ

ЦЕНТРАЛЬНЫЙ
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ЦЕННЫХ БУМАГ

C E N T R A L
S E C U R I T I E S
D E P ● S I T O R Y

2020

Trade Repository's roles

**Trade Repository
launch date:
8 July 2014**

- Establishing a procedure for reporting derivative transactions
- Collecting information on on-exchange and OTC derivative transactions
- Monitoring the derivative transaction reporting process
- Disclosing derivative transactions to entities authorized to receive such information

**Documents
regulating Trade
Repository's
operations**

- Laws and regulations
- Rules of Carrying out Activities on Generation and Maintenance of the Derivative Transaction Register System (part of the KACD's Code of Rules)
- Electronic Messaging Formats
- Procedure for Allocation of Codes to Parties to Derivative Transactions and Underlying Assets
- Fee Schedule (no fee is determined at the moment)

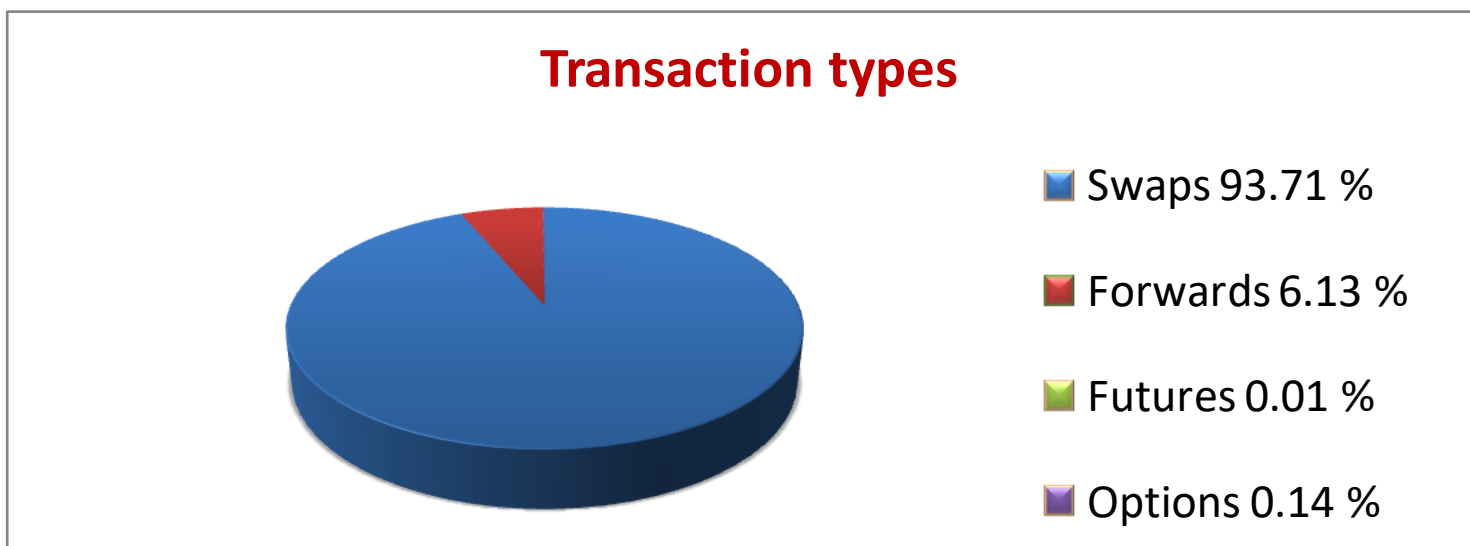
Entities reporting derivative transactions:

- ✓ Second-tier banks
- ✓ Organizations engaged in broker and/or dealer business
- ✓ Organizations engaged in investment portfolio management business
- ✓ Insurance/reinsurance companies

Derivative transaction types:

- ✓ Forwards
- ✓ Futures
- ✓ Options
- ✓ Swaps (currency, interest rate, cross-currency interest rate swaps)

In 2019, 8,857 electronic messages were received from 52 reporting agents, which contained details of 21,776 derivative transactions





**On a weekly basis, reporting agents
report derivative transactions and/or submit a 'no transactions'
report to the CSD, no later than 2.00 p.m. (Nur-Sultan time) on the
first business day of the week next to the reporting week
during which the transactions being reported were made**

Entities authorized to receive information from a derivative transaction register:

- Reporting agents (information regarding their transactions)
- Agency for Regulation and Development of the Financial Market of the Republic of Kazakhstan
- National Bank of the Republic of Kazakhstan
- Public authorities authorized by law to receive information from a derivative transaction register

Links to the relevant documents:

1. Rules of Carrying out Activities on Generation and Maintenance of the Derivative Transaction Register System (part of the KACD's Code of Rules):

http://www.kacd.kz/ru/normative_base/actual/policy/cash_reconciliation/actual/

2. Electronic Messaging Formats:

http://www.kacd.kz/ru/for_clients/informing_persons/formats/.

3. Procedure for Allocation of Codes to Parties to Derivative Transactions and Underlying Assets:

http://www.kacd.kz/ru/for_clients/informing_persons/codes_allocation/.

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**Thank you for your
attention!**