



AFSA NOTICE № AFSA-N-NB-2021-0002
ON CLASS MODIFICATION

Date of issue: 17 February 2021

Nur-Sultan, Kazakhstan



NOTICE ON POSTPONEMENT OF THE DEADLINES FOR SUBMISSION OF ANNUAL FINANCIAL REPORTS BY RECOGNISED NON-AIFC MEMBERS

NOTICE No. AFSA-N-NB-2021-0002

THE ASTANA FINANCIAL SERVICES AUTHORITY (AFSA) HEREBY GIVES NOTICE THAT:

The Rules specified in the left-hand column of the Table herein do apply to the Recognised Non-AIFC Members, including those which have been admitted as trading members of the Authorised Investment Exchange. The requirements on an annual report and period of its submission are subject to a class modification in accordance with Rule 2.2.1. (a)(i) and (d) as modified in the right-hand column of the Table, and the requirement on notifications is subject to a class modification in accordance with Rule 2.2.2. as modified in the right-hand column of the Table.

TABLE – RULES MODIFIED:

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

AIFC Act	Proposed modification
AIFC Recognition Rules 2.2.1. Annual reports	a) A Recognised Non-AIFC Member, <u>which is not a trading member of the Authorised Investment Exchange</u> , shall provide the AFSA <u>and a Recognised Non-AIFC Member, which is a trading member of the Authorised Investment Exchange</u> , shall provide the Authorised Investment Exchange with an annual report which must include: (i) a copy of its <u>audited</u> annual report and accounts, including any consolidated annual report and accounts of any Group of which the Recognised Non-AIFC Member is a member; ... (d) Copies of the report should be sent to the AFSA within two <u>five</u> months after the end of the period to which it relates.
AIFC Recognition Rules 2.2.2. Notifications to be made to the AFSA	2.2.2. Notifications to be made to the AFSA A Recognised Non-AIFC Member must notify the AFSA <u>or, in case such Recognised Non-AIFC Member is an effective trading member of the Authorised Investment Exchange</u> , the Authorised Investment Exchange, of the events identified in the first column of the table in Schedule 3 within the period and in the manner specified in the second and third columns of that table.

EFFECTIVE PERIOD

This notice comes into effect from 1 March 2021 and remains effective until 2 July 2022.

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 are defined in the AIFC Glossary. Unless the context otherwise requires, where capitalisation of the initial letter is not used, an expression has its natural meaning.



**ON POSTPONEMENT OF THE DEADLINES FOR SUBMISSION OF ANNUAL
FINANCIAL REPORTS BY RECOGNISED NON-AIFC MEMBERS**

**THIS NOTICE IS ISSUED PURSUANT TO SECTION 9 OF THE FINANCIAL SERVICES
FRAMEWORK REGULATIONS BY THE ASTANA FINANCIAL SERVICES AUTHORITY.**