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BORSA İSTANBUL A.Ş.

PROCEDURE ON REGISTRATION OF OFF- EXCHANGE TRANSACTIONS

İSTANBUL – 2021

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LIST OF INDEX

1	PURPOSE	1
2	SCOPE	1
3	FOUNDATIONS.....	1
4	DEFINITIONS AND ABBREVIATIONS	1
5	TRANSACTIONS SUBJECT TO REGISTRY AND REGISTRATION OBLIGORS	2
6	NOTIFICATION OF TRANSACTIONS SUBJECT TO REGISTRY	2
7	REGISTRATION USERS	3
8	REGISTRATION NOTIFICATION METHOD	3
9	REGISTRATION NOTIFICATION PERIODS	4
10	REGISTRATION PERIOD AND FINALIZATION OF REGISTRATION	4
11	CANCELLATION OF REGISTRATION NOTIFICATIONS	4
12	EX OFFICIO REGISTRATION OF TRANSACTIONS SUBJECT TO REGISTRY BY THE EXCHANGE	4
13	PROVISION OF INFORMATION REGARDING REGISTERED TRANSACTIONS TO INVESTMENT FIRMS	4
14	TRANSACTIONS EXECUTED BY TAKASBANK WHICH ARE EXEMPTED FROM REGISTRATION FEE.....	5
15	TRANSACTIONS EXECUTED BY THE EXCHANGE AND EXEMPTED FROM REGISTRATION FEE.....	5
16	TRANSACTIONS NOT SUBJECT TO REGISTRATION NOTIFICATION.....	5
17	REGISTRATION FEE.....	8
18	REPEALED REGULATIONS	9
19	EFFECTIVE DATE	9
20	ENFORCEMENT	9
	ANNEX 1: Registration Notification File Format, and Information and Explanations.....	10
	ANNEX 2: Registration Fee Tariff	13

1 PURPOSE

(1) The purpose of this Procedure is to regulate and set down the procedures and principles regarding registration of transactions subject to registry in the Exchange, which are executed outside the Exchange.

2 SCOPE

(1) This Procedure regulates and sets down the transactions subject to registry, and those who are under obligation to have these transactions registered, and methods and periods of time for notification of transactions subject to registry to the Exchange, and cancellation of notifications of registration, and other procedures and principles relating to registration of transactions subject to registry by investment firms in the Exchange.

3 GROUNDS

(1) This Procedure is issued in reliance upon Borsa İstanbul A.Ş. Regulation on Principles Relating to Exchange Activities promulgated in the Official Gazette edition 29150 on 19/10/2014, as well as Borsa İstanbul A.Ş. Directive on Registration of Off-Exchange Transactions.

4 DEFINITIONS AND ABBREVIATIONS

(1) For the purposes and in the context of this Procedure:

- a) “Exchange” stands for Borsa İstanbul Anonim Şirketi (Borsa İstanbul); and
- b) “Exchange Regulation” stands for Borsa İstanbul A.Ş. Regulation on Principles Relating to Exchange Activities promulgated in the Official Gazette edition 29150 on 19/10/2014; and
- c) “CEO” stands for Borsa İstanbul A.Ş. Chief Executive Officer; and
- ç) “Executive Management” stands for Borsa İstanbul A.Ş. Chief Executive Officer or the relevant Executive Vice President; and
- d) “Transaction Type” refers to the grouping of transactions subject to registry as outright purchases, outright sales, sale with a commitment to repurchase, and purchase with a commitment to resell; and
- e) “Takasbank” stands for İstanbul Takas ve Saklama Bankası Anonim Şirketi (İstanbul Settlement and Custody Bank); and
- f) “Member” refers to an investment firm authorized to trade in the Exchange in accordance with the Exchange Regulation and other Exchange regulations; and
- g) “Value date” refers to settlement dates of transactions subject to registry; and
- ğ) “Investment firm” refers to firms as defined in subparagraph (v) of first paragraph of article 3 of the Capital Markets Law no. 6362 dated 6/12/2012.

5 TRANSACTIONS SUBJECT TO REGISTRY AND REGISTRATION OBLIGORS

(1) Off-Exchange outright purchases, outright sales, sale with a commitment to repurchase, and purchase with a commitment to resell transactions in respect of debt securities, lease certificates, and securitized assets and income backed debt securities which are traded or may be traded therein by being listed in the Exchange or without being listed therein within the frame of Borsa İstanbul A.Ş. Listing Directive in markets, sub-markets, platforms and systems within the Exchange are required to be registered in the Exchange by investment firms being a party to such transactions.

6 NOTIFICATION OF TRANSACTIONS SUBJECT TO REGISTRY

(1) Investment firms authorized to trade pursuant to the Exchange Regulation and other Exchange regulations pertaining thereto directly send registration notifications to Exchange registration system.

(2) Registration notifications of investment firms lacking a remote access line or having a problem in remote access network, and registration notifications of investment firms not authorized to trade in the Exchange, and registration notifications which cannot be sent by investment firms authorized to send direct registration notifications within the frame of 1st paragraph of this article due to technical reasons attributable to the Exchange are realized by the Exchange.

(3) In order for the Exchange to make registration notifications and notification cancellations on behalf of investment firms lacking a remote access line or having a problem in remote access network, and investment firms not authorized to trade in the Exchange, the relevant investment firms must have applied to the Exchange by email between 09:00 and 17:00 hours in full business days or between 09:00 and 12:30 hours in half business days.

(4) In the event that an investment firm authorized to send a direct registration notification, but failing to send its registration notification due to technical reasons attributable to the Exchange files an application to the Exchange by email no later than until 17:00 hours in the first business day immediately after the day of failure in notification due to technical reasons, or until 12:30 hours in half business days, together with documents, information and/or screenshots proving that the notification could not be sent due to technical reasons attributable to the Exchange, attached to the email, the registration notification of the transactions subject to the application may be realized by the Exchange as of the date the notification could not be sent due to said technical reasons. The investment firm shall be held responsible for accuracy of the application filed by it upon the argument that the notification could not be sent due to technical reasons attributable to the Exchange, and the documents, information and screenshots attached to its application.

(5) Applications mentioned in 3rd and 4th paragraphs of this article are filed to email address of bap_tescil@borsaistanbul.com of the Exchange, and are accompanied by a registration of transactions notification file created with the contents and in the format set down in “Annex 1: Registration Notification File Format, and Information and Explanations” and containing the transactions requested by the Exchange to be duly registered therein. Within said application, information regarding transactions registered by the Exchange, and information regarding transactions which cannot be registered since they are not properly notified in

accordance with notification format are submitted by the Exchange to the applicant investment firm by email. Then, the process of registration notification application covering, inter alia, receipt of said email, control of information, and reconciliation with the Exchange is pursued and tracked by the applicant investment firm. It is fully under the responsibility of the relevant investment firm to check and store the information submitted to investment firm in regard to the registered transactions and the information relating to transactions which cannot be registered due to failure in notification in accordance with the notification format, and then, to correct and re-notify the transactions that are not in conformity with the notification format. In case of any discrepancy, the Exchange's records shall prevail.

7 REGISTRATION USERS

(1) Three users, comprised of two users as manual notification users and one user as application programming interface (API), are appointed for each of members. Upon demand of investment firm, however, more users may be appointed for the applicant investment firm under terms and conditions to be determined by the Executive Management.

(2) User code and password information relating to registration users is provided by the Exchange to investment firms via secure electronic media accessible only by the relevant investment firm.

(3) Users appointed by the Exchange are assigned by investment firms to representatives designated by themselves for registration notifications. It is under the responsibility of investment firm to assign registration users to its own representatives and to assure security of user codes and passwords.

8 REGISTRATION NOTIFICATION METHOD

(1) Transactions subject to registry are registered through notification to the Exchange registration system via remote access network. Transactions may be notified by more than one file.

(2) Notification of transactions subject to registry is deemed to have been completed by notification to the Exchange registration system of all information covered by the registration notification of the related transaction accurately and with the contents and in the format set down in "Annex 1: Registration Notification File Format, and Information and Explanations".

(3) Transactions subject to registry are deemed to have been registered as of the date the registration notification is sent.

(4) The Exchange registration system does not ever check the accuracy of contents of the notified transactions, but the accuracy of information notified is under the responsibility of the applicant investment firm.

(5) The legal records kept by the relevant investment firm about its securities transactions subject to registration should by all means be compliant and coherent with its registration notifications.

9 REGISTRATION NOTIFICATION PERIODS

(1) Registration notifications and notification cancellations may be made in business days and between 08:00 and 20:00 hours. The provisions of article 6 of this Procedure pertaining to periods of time are, however, reserved. The Executive Management may with a prior notice make changes and revisions in the registration notification days and hours.

10 REGISTRATION PERIOD AND FINALIZATION OF REGISTRATION

(1) Each of the periods starting from the first business day following the 20th day of each month and ending at the first business day prior to the 21st day of next month is a registration period.

(2) Transactions notified during the registration period, if and to the extent not cancelled until the end of notification hours in the last business day of the month of registration period ends, are finalized, thus becoming final registration notifications.

11 CANCELLATION OF REGISTRATION NOTIFICATIONS

(1) Registration notifications may, at any time until they are finalized, be cancelled by the relevant investment firms.

(2) Finalized registration notifications may be cancelled due to errors detected therein by the Exchange Audit and Supervision Board and approved by the Executive Management. Then, finalized registration notifications may be cancelled upon a written application filed to the Exchange or upon a determination made ex officio by the Exchange. Registration fees and if any, delay penalties already paid in respect of the erroneous notifications cancelled as above are refunded.

(3) Erroneously notified transactions are not corrected, but may be cancelled within the frame of 1st or 2nd paragraphs hereof. Then, the erroneously notified transactions cancelled as above are registered with accurate information, and registration fee and if any, delay penalty are charged on these transactions over the tariff rates valid as of the date of registration thereof.

12 EX OFFICIO REGISTRATION OF TRANSACTIONS SUBJECT TO REGISTRY BY THE EXCHANGE

(1) Off-Exchange transactions subject to registry determined by the Exchange not to have been registered in the Exchange by the relevant investment firm may be ex officio registered by the Exchange. Registration fees and if any, delay penalties regarding transactions registered as above are calculated over the tariff rates valid as of the date of registration thereof, and are then claimed from the relevant investment firm.

13 PROVISION OF INFORMATION REGARDING REGISTERED TRANSACTIONS TO INVESTMENT FIRMS

(1) Information regarding transactions registered by investment firms during registration period, and information regarding transactions which are not registered due to noncompliance with the notification format are provided by the Exchange to investment firms via electronic media.

(2) It is under full responsibility of the relevant investment firm to receive, keep and store the information in regard to the registered transactions and the information relating to transactions which are not registered due to noncompliance with the notification format, and then, to cancel and re-notify erroneously notified transactions and to re-notify the transactions which are not registered due to noncompliance with the notification format. In case of any discrepancy, the Exchange's records shall prevail.

14 TRANSACTIONS EXECUTED BY TAKASBANK WHICH ARE EXEMPTED FROM REGISTRATION FEE

(1) If and when cash funds, securities and collaterals belonging to portfolios and customers of investment firms the activities of which are temporarily or permanently suspended, and collaterals and other funds belonging to investment firms continuing their business operations, and collaterals and funds outside Takasbank's own portfolio are invested by Takasbank for purchase or sale or for purchase with a commitment to resell of debt securities, lease certificates, or securitized assets and income backed debt securities, then and in this case, said transactions are registered by Takasbank in the Exchange. Registration fee is not charged for registration of these transactions.

(2) The registration notification contains three-digit Exchange code of the counterparty institution with whom Takasbank is engaged in a transaction, and three-digit Exchange code of the investment firm in whose account the transaction is executed. In the case of absence of information on the account holder investment firm, notifications are realized with three-digit Exchange code and customer ("M") code of the counterparty institution of the transaction.

(3) If these transactions are executed by Takasbank on behalf of an investment firm, said transactions are not separately registered by the account holder investment firm in the Exchange.

15 TRANSACTIONS EXECUTED BY THE EXCHANGE AND EXEMPTED FROM REGISTRATION FEE

(1) In case where the Exchange executes purchase and sale, or purchase with a commitment to resell transactions of investment funds, debt securities, lease certificates, or securitized assets and income backed debt securities belonging to investment companies the activities of which are temporarily or permanently suspended and are held with the Exchange, such transactions are registered by the Exchange on behalf of the investment firm in whose account these transactions are executed. Registration fee is not charged for registration of these transactions.

(2) The registration notification contains three-digit Exchange code of the counterparty institution with whom the Exchange is engaged in a transaction, and three-digit Exchange code of the investment firm in whose account the transaction is executed.

(3) These transactions executed by the Exchange are not separately registered by the account holder investment firm in the Exchange.

16 TRANSACTIONS NOT SUBJECT TO REGISTRATION NOTIFICATION

(1) The following transactions are already deemed to have been registered on the basis of records of Republic of Türkiye Ministry of Treasury and Finance, Central Bank of the

HALKA AÇIK

Republic of Türkiye, Banking Regulation and Supervision Agency, and Central Registry Agency, and for this reason, are not needed to be notified to the Exchange, and registration fee is not needed to be paid therefor:

a) Debt securities, lease certificates, and securitized assets and income backed debt securities offered for sale in the primary market:

1) being purchased by investment firm in its own name and account, or

2) being purchased by investment firm in the account of third parties without being registered in its own portfolio, or

3) being purchased by investment firm in its own account through another investment firm (providing that the other investment firm does not register these securities in its own portfolio), or

4) being purchased by investment firm in the account of a third party through another investment firm (providing that the investment firm and other investment firm do not register these securities in their own portfolios); and

b) Securities issued by Republic of Türkiye Ministry of Treasury and Finance abroad being purchased in the primary market through an investment firm authorized by Republic of Türkiye Ministry of Treasury and Finance; and

c) Securities being issued by Republic of Türkiye Ministry of Treasury and Finance to state-run banks against duty losses; and

ç) Securities being issued to banks under management of the Saving Deposit- Insurance Fund; and

d) Purchase and sale of securities by Republic of Türkiye Ministry of Treasury and Finance as a part of debt swaps, and transactions executed within the frame of open market operations of the Central Bank of the Republic of Türkiye; and

e) Mutual exchange of securities not requiring any payment at the end, executed for early redemption, sales of banks or similar other reasons between the fund-held banks, within the frame of operations in regard to the banks held under management of the Saving Deposit-Insurance Fund; and

f) Securities transactions acquired and taken over with saving deposits or other liabilities from balance sheets of other banks held under management of the Saving Deposit- Insurance Fund; and

g) Securities transactions to be executed for transfer of obligations of banks held under management of the Saving Deposit- Insurance Fund to state-run or private sector banks within the frame of a decision taken by the official authority; and

ğ) Within the frame of repurchase or replacement of securities issued by Republic of Türkiye Ministry of Treasury and Finance in Türkiye:

1) the government securities belonging to investment firm being returned by investment firm itself to Republic of Türkiye Ministry of Treasury and Finance, or

HALKA AÇIK

2) the government securities belonging to a customer of investment firm being returned by investment firm itself to Republic of Türkiye Ministry of Treasury and Finance without being registered in its own portfolio, or

3) the government securities belonging to investment firm being returned by investment firm itself to Republic of Türkiye Ministry of Treasury and Finance through another investment firm (providing that the other investment firm transfers the securities to Republic of Türkiye Ministry of Treasury and Finance without registering them in its own portfolio), or

4) the government securities belonging to a customer of investment firm being returned by investment firm itself to Republic of Türkiye Ministry of Treasury and Finance through another investment firm (providing that the investment firm and other investment firm transfer the securities to Republic of Türkiye Ministry of Treasury and Finance without registering them in their own portfolios); and

h) Within the frame of early redemption and replacement of debt securities, lease certificates, and securitized assets and income backed debt securities, other than securities issued by Republic of Türkiye Ministry of Treasury and Finance:

1) the private sector securities belonging to investment firm's portfolio being returned by investment firm itself to issuer thereof, or

2) the private sector securities belonging to a customer of investment firm being returned by investment firm itself to issuer thereof without being registered in its own portfolio, or

3) the private sector securities belonging to investment firm's portfolio being returned by investment firm itself to issuer thereof through another investment firm (providing that the other investment firm transfers the securities to issuer thereof without registering them in its own portfolio), or

4) the private sector securities belonging to a customer of investment firm being returned by investment firm itself to issuer thereof through another investment firm (providing that the investment firm and other investment firm transfer the securities to issuer thereof without registering them in their own portfolios), or

5) early redemption of the securities issued by the investment firm itself; and

1) Within the frame of repurchase or replacement by Republic of Türkiye Ministry of Treasury and Finance of securities issued by Republic of Türkiye Ministry of Treasury and Finance abroad:

1) the securities belonging to investment firm being returned by investment firm itself to Republic of Türkiye Ministry of Treasury and Finance, or

2) the securities belonging to a customer of investment firm being returned by investment firm itself to Republic of Türkiye Ministry of Treasury and Finance without being registered in its own portfolio; and

i) all types of security issuances and secondary market transactions of every kind in respect of gold bonds and gold denominated lease certificates realized by Republic of Türkiye Ministry of Treasury and Finance either directly or through investment and purchase of such

securities by investment companies before the end of maturity date and being transferred them to Republic of Türkiye Ministry of Treasury and Finance as a part of early redemption; and

j) all types of security issuances and secondary market transactions of every kind in respect of government domestic debt securities and lease certificates denominated in foreign currency for sale only to individual investors directly or through investment firms, except for issuances by way of auctions regarding government domestic debt securities issued by Republic of Türkiye Ministry of Treasury and Finance and lease certificates issued pursuant to and under the Law no. 4749, and purchase of such securities by investment companies before the end of maturity date and being transferred them to Republic of Türkiye Ministry of Treasury and Finance as a part of early redemption; and

k) special series of Government Domestic Debt Securities issued by Republic of Türkiye Ministry of Treasury and Finance and lease certificates issued pursuant to and under the Law no. 4749, also including those issued as a loan, being purchased by state-run banks from Republic of Türkiye Ministry of Treasury and Finance or another public entity or administration.

17 REGISTRATION FEE

(1) Registration fee is charged on registration of transactions subject to registry over the registration fee tariff current as of the date of registration.

(2) Registration fee is charged on the settlement amount of transaction in the registered outright purchases and outright sales, and on the principal of transaction in the sales with a commitment to repurchase, and the purchases with a commitment to resell, over the rates of registration fees set forth in “Annex 2: Registration Fee Tariff”.

(3) Registration fee is calculated over the rates of delayed registration fees set forth in “Annex 2: Registration Fee Tariff” for outright purchases and outright sales not registered in the first business day immediately after the value date for the period until the end of the registration notification period, and for the sales with a commitment to repurchase, and the purchases with a commitment to resell, not registered in the first business day immediately after the ending value date of the transaction for the period until the end of the registration notification period.

(4) In the sales with a commitment to repurchase and the purchases with a commitment to resell, the rate of registration fee and/or the rate of delayed registration fee are determined by multiplication of the difference of calendar days between ending value date and starting value date of transaction by the rate valid for the sales with a commitment to repurchase and the purchases with a commitment to resell respectively.

(5) For the period starting from 30 calendar days after the value date of transaction in outright purchases and outright sales and after the ending value date of transaction in the sales with a commitment to repurchase and the purchases with a commitment to resell, and ending on the date of registration of transaction, a delay penalty is charged over the rate of interest applied on public receivables. If the 30th calendar day coincides with a holiday, delay penalty is calculated for the period after the first business day following that holiday to the

HALKA AÇIK

date of registration of transaction. This delay penalty is calculated over the delayed registration fees.

(6) Rate of registration fee is applied as “0” (zero) for outright purchases, outright sales, sales with a commitment to repurchase and purchases with a commitment to resell in regard to securities issued abroad by the Republic of Türkiye, Ministry of Treasury and Finance.

(7) Rate of registration fee is applied as “0” (zero) for outright purchases, outright sales, sales with a commitment to repurchase and purchases with a commitment to resell in regard to foreign currency denominated securities issued at home by the Republic of Türkiye, Ministry of Treasury and Finance.

(8) Rate of registration fee is applied as “0” (zero) for outright purchases, outright sales, sales with a commitment to repurchase and purchases with a commitment to resell in regard to gold bonds and gold denominated lease certificates issued by institutions other than the Republic of Türkiye, Ministry of Treasury and Finance.

(9) “0” (zero) registration fee rate is applied also on delayed notifications of transactions subject to “0” (zero) registration fee rate, and delay penalty is not imposed on these transactions.

(10) Amounts of registration fees and delay penalties for registration transactions are notified by the Exchange Accounting and Finance Directorate to investment firms starting from the first business day of the month following the end of registration period.

18 REPEALED REGULATIONS

(1) Borsa İstanbul A.Ş. Procedure on Registration of Transactions, no. 10.PRO.04, dated 8 January 2016, is hereby repealed and superseded.

19 EFFECTIVE DATE

(1) This Procedure will become effective as of 14.06.2021.

20 ENFORCEMENT

(1) The provisions of this Procedure will be enforced and executed by CEO.

ANNEX 1: Registration Notification File Format, and Information and Explanations

A. Name of the file to be notified should be in conformity with the following format.

File Name (Example) : ABCYYYYYAAGGN.csv

File Name Descriptions :

ABC	Three-digit member code
YYYYAAGG	Date of the notification day (four digits for year, two digits for month, and two digits for day)
N	File reference number (alphanumeric) (File names notified during the day are not required to be successive, but are required to be individual.)

B. File should be prepared in csv format. Semi colon (;) will be used for separation of information fields to be reported in the file from each other. As decimal point, point (.) or comma (,) may be used, for the same decimal point should be used for all places necessitating the use of decimal point. A thousand separator will not be used.

C. Following information should be notified in the specified formats and in accordance with the explanations given under the “Format Descriptions” heading. Information headers should be given at the uppermost line of the file to be created.

Information to be Notified	Format	Information Headers
Transaction Date	YYYYAAGG	IslemTarihi
Securities ISIN Code	12 characters, alphanumeric	ISIN
Transaction Type	Single character (one of A, S, R, P characters)	IslemTipi
Settlement Price (in currency of the related security)	12345678,123456	TakasFiyati(ilgilidoviz)
Nominal Amount (in currency of the related security)	123456789012,12	Nominal(ilgili doviz cinsi)
Settlement Amount / Principal (Turkish Lira)	123456789012,12	TakasTutari/RepoAnapa ra(TRY)
Transaction Rate	123456,12	RepoOrani
Starting / Transaction Value Date (Value Date 1)	YYYYAAGG	BaslangicValoru
Ending Value Date (Value Date 2)	YYYYAAGG	BitisValoru
Counterparty Institution Code	XXX	KarsiUye
Customer Information	Maximum 21 characters, alphanumeric	MusteriBilgisi
Country Code	AA	UlkeKodu

Format Descriptions:

Transaction Date: Stands for the date of transaction comprised of 8 characters, four digits representing year, two digits representing month and two digits representing day.

Securities ISIN Code: Stands for the international security identification code of the securities covered by the transaction.

Transaction Type: Stands for A for outright purchases, S for outright sales, R for sales with a commitment to repurchase, and P for purchases with a commitment to resell.

Settlement Price: Stands for the price used in determination of payment amount in outright purchases and outright sales, and for the price used in calculation of nominal amount of securities covered by the transaction in sales with a commitment to repurchase and purchases with a commitment to resell. If the securities subject to the transaction are issued in Turkish Lira currency, then, price of the securities in TL is stated, but if the securities subject to the transaction are issued in foreign currency, then, price of the securities in foreign currency is stated. It is stated on the basis of 100 units of price base in the currency the securities are issued. It may be stated up to 6 characters as decimal places, but shorter decimal place may also be stated.

Nominal Quantity: Nominal purchase/sale quantity of securities is stated in outright purchases and outright sales, while nominal quantity of securities given/received against the transaction is stated in sales with a commitment to repurchase and purchases with a commitment to resell. In the case of outright purchases, outright sales, sales with a commitment to repurchase and purchases with a commitment to resell transactions of securities issued in foreign currency, the nominal quantity of securities is stated in the foreign currency of transaction.

Settlement Amount/Principal: Payment amount or settlement amount of securities is stated for outright purchases and outright sales, while principal sum is stated for sales with a commitment to repurchase and purchases with a commitment to resell. In transactions covering securities issued in foreign currency or precious metals, Turkish Lira equivalent sum of settlement amount or principal sum is stated.

Transaction Rate: It is the rate of sales with a commitment to repurchase and purchases with a commitment to resell, and it is required to be filled in for this type of transactions. This field is required to be left empty for transaction types of outright purchases and outright sales.

Starting / Transaction Value Date (Value Date 1): Stands for the value date of transaction for outright purchases and outright sales, and the starting value date of transaction for sales with a commitment to repurchase and purchases with a commitment to resell, and is comprised of 8 characters, four digits representing year, two digits representing month and two digits representing day.

HALKA AÇIK

Ending Value Date (Value Date 2): Stands for the ending value date of transaction for sales with a commitment to repurchase and purchases with a commitment to resell, and it is required to be filled in for this type of transactions, and is comprised of 8 characters, four digits representing year, two digits representing month and two digits representing day. This field is required to be left empty for transaction types of outright purchases and outright sales.

Counterparty Institution Code: If it is a bank or intermediary institution resident in Türkiye, its 3-digit Exchange member code should be entered, but if it is not, M (customer code) should be entered.

Customer Information: It is entered by adding the character of the related identity information at the beginning of any one of the customer identity information numbers included in the following customer identity information table for the transactions with a customer as the counterparty.

Customer Identity Information	Character at the Beginning	Total Number of Characters
Legal Entity Identity Code (LEI)	L	21
CRA Registry Number	M	9
TR Identity Number or Foreigner Identity Number	K	12
Tax Identity Number	V	11
Bank Identification Code (BIC)	B	9 or 12

Country Code: Customer's two-digit country code should be entered. "Country Codes" included in the Exchange registration system should be used as Country Code.

ANNEX 2: Registration Fee Tariff

The following rates are used in calculation of registration fees.

Transaction Type	Rates of Registration Fees (per ten thousands over Settlement Amount / Principal)	Rates of Delayed Registration Fees (per ten thousands over Settlement Amount / Principal)
Outright purchases and outright sales	0.2	0.25
Sales with a commitment to repurchase and purchases with a commitment to resell	0.1 * transaction term	0.125 * transaction term