

On approval of the Rules for appointment to a position and termination of an employment contract with the employees of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market

Unofficial translation

Resolution of the Managing Board of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market dated February 3, 2020 no. 3. Registered with the Ministry of Justice of the Republic of Kazakhstan on February 6, 2020 no. 19989.

Unofficial translation

For the purposes of implementation of subclause 12) of article 6-5 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On the State Regulation, Control and Supervision of the Financial Market and Financial Organizations" in accordance with article 145-1 of the Labour Code of the Republic of Kazakhstan dated November 23, 2015 the Managing Board of the Agency of the Republic of Kazakhstan or Regulation and Development of Financial Market **HEREBY RESOLVES:**

1. To approve the attached Rules for appointment to a position and termination of an employment contract with the employees of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market.

2. The Department of Developing Human Capital in accordance with the procedure established by the legislation of the Republic of Kazakhstan shall ensure:

1) jointly with the Legal Department state registration of this resolution with the Ministry of Justice of the Republic of Kazakhstan;

2) placing this resolution on the official Internet-resource of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market after its official publication;

3) within ten working days after the state registration of this resolution, submission to the Legal Department of information about execution of measures provided for in subclause 2) of this clause and clause 3 of this resolution.

3. The Department of International Affairs and External Communications shall ensure sending a copy hereof to the official publication to periodical printed media within ten calendar days after the state registration of this resolution.

4. Control over execution of this resolution I reserve for myself.

5. This resolution shall come into force from the date of its first official publication.

*Chairperson of the Agency
of the Republic of Kazakhstan for Regulation
and Development of Financial Market*

M. Abylkassymova

Approved

Rules for appointment to a position and termination of an employment contract with the employees of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market

1. These Rules for appointment to a position and termination of an employment contract with the employees of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market (hereinafter referred to as the Rules) have been developed in accordance with the Labour Code of the Republic of Kazakhstan dated November 23, 2015 (hereinafter referred to as the Labour Code) and the Law of the Republic of Kazakhstan dated July 4, 2003 "On the State Regulation, Control and Supervision of the Financial Market and Financial Organizations".

2. Provisions of the Rules shall not apply to political civil servants of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market (hereinafter referred to as the Agency), whose procedure of appointment and dismissal is regulated by the legislation on civil service.

Chapter 2. Basic definitions used in the Rules

3. The following basic definitions are used in the Rules:

1) institutions – Committee for the Development of the Regional Financial Center of Almaty city of the National Bank of the Republic of Kazakhstan (abolished by the Decree of the President of the Republic of Kazakhstan on December 29, 2012 no. 458 "On certain issues of the National Bank of the Republic of Kazakhstan"), Committee for Control and Supervision of Financial Market and Financial Organizations of the National Bank of the Republic of Kazakhstan (abolished by the Decree of the President of the Republic of Kazakhstan on January 30, 2014 no. 744 "On certain issues of the National Bank of the Republic of Kazakhstan"), Committee for the Protection of the Rights of Consumers of Financial Services of the National Bank of the Republic of Kazakhstan (abolished by the Decree of the President of the Republic of Kazakhstan on January 30, 2014 no. 744 "On certain issues of the National Bank of the Republic of Kazakhstan");

2) documents – documents submitted to the personnel department by persons, willing to take part in a tender;

3) subsidiaries of the National Bank – legal entities, fifty or more percent of shares (stakes in the authorized capital) of which belong to the National Bank;

4) interested subdivision – a subdivision that has a vacant position of an employee of the Agency;

- 5) personnel department – a subdivision for work with personnel of the Agency;
- 6) personnel reserve – a list of persons who have successfully passed the competition or selection for the subsequent occupation of a vacant position of an Agency employee;
- 7) tender – procedures, held for holding the vacant position of an employee of the Agency ;
- 8) tender committee – the collegial body of the Agency, which considers the documents submitted by the participants of the tender, conducts an interview with candidates and carries out the final selection of candidates for the vacant position of an employee of the Agency;
- 8-1) the commission for the non–competition employment of an Agency employee - a collegial body of the Agency that makes a decision on the non-competition occupation of a vacant position of an Agency employee;
- 8-2) the commission for formation of the personnel reserve - a collegial body of the Agency that selects for the purpose of forming the personnel reserve;
- 9) candidates for the vacant position of an employee of the Agency (hereinafter referred to as the candidates) – participants of the tender admitted to testing and interview on the basis of the decision of the tender committee;
- 10) the National Bank – central headquarters, branches and representative office of the National Bank;
- 11) workers of the Agency – persons, except for political civil servants holding positions in the Agency, whose payment for labour is made from the republican budget;
- 12) organizations of the National Bank – republican state enterprises of the National Bank ;
- 13) selection – procedures carried out in order to form a personnel reserve of the Agency's employees;
- 14) employees of the Agency – persons who are not civil servants exercising official powers in the Agency aimed at implementing the tasks and functions of the Agency;
- 15) requirements – developed by the Agency, subject to its main activities of subdivisions , the official powers of the Agency's employees, presented to persons applying for the position of an employee of the Agency for Education, work experience and competencies;
- 16) participants of the tender – persons, who have submitted documents to the Agency after publication of a tender announcement;
- 17) the Abolished Agency – the Agency of the Republic of Kazakhstan for Regulation and Supervision of Financial Market and Financial Organizations (abolished by the Decree of the President of the Republic of Kazakhstan on April 12, 2011 no. 25 "On further improvement of the system of state regulation of the financial market of the Republic of Kazakhstan").

Footnote. Paragraph 3 as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated

27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

Chapter 3. Holding a vacant position as an employee of the Agency

4. Holding a vacant position as an employee of the Agency shall be carried out through:

- 1) non-competitive holding;
- 2) tender.

5. A person is not appointed to the position of an employee of the Agency, when the person:

- 1) is recognized to be incapacitated or partially incapacitated;
- 2) within three years before appointment for the position of an employee of the Agency was brought disciplinary responsibility for committing a corruption offence;
- 3) committed a corruption offence;
- 4) dismissed from work for committing a corruption offense;
- 5) has an outstanding or uncleared conviction by the time of holding the position of an employee of the Agency;
- 6) did not pass special check for compliance with the anti-corruption legislation of the Republic of Kazakhstan.

6. The position of an Agency employee is occupied after passing a mandatory special verification and submitting a declaration to the tax authority at the place of residence in the form provided for by the Tax Code of the Republic of Kazakhstan and the information specified in the Law of the Republic of Kazakhstan "On combating corruption".

Footnote. Paragraph 6 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

6-1. Non-competition occupation of the position of an Agency employee is carried out by the decision of the commission on non-competition occupation of the position of an Agency employee.

Footnote. The Rules are supplemented by paragraph 6-1 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

6-2. The Commission for non-competition employment of an Agency employee is approved by the Chairman of the Agency or the head of the Agency Office.

The Commission for non-competition employment of an Agency employee consists of the chairman of the commission, members and the secretary of the commission (a representative of the personnel service).

The commission for the non-competition occupation of the position of an Agency employee includes the head of the personnel service, the head of the department with a vacant position of an Agency employee, or their deputies.

The total number of members of the commission for non-competition employment of an Agency employee is an odd number, at least three people. In the absence of the chairman of the commission for the non-competition occupation of the position of an Agency employee, his duties are assigned to one of the members of the commission for the non-competition occupation of the position of an Agency employee.

The organizational activity of the commission for the non-competition occupation of the position of an Agency employee is provided by the secretary of the commission for the non-competition occupation of the position of an Agency employee. The secretary of the commission for non-competition employment of an Agency employee is not a member of the commission for non-competition employment of an Agency employee and does not have the right to vote when making decisions by the commission for non-competition employment of an Agency employee.

Footnote. The Rules are supplemented by paragraph 6-2 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

6-3. The decision of the commission on the non-competition occupation of the position of an employee of the Agency is considered competent if at least 2/3 (two third) from its composition are present.

Footnote. The Rules are supplemented by paragraph 6-3 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

6-4. A person receives a positive opinion if a majority of those present voted for him from the commission on non-competition employment of an employee of the Agency. In case of equality of votes, the vote of the chairman of the commission on the non-competition occupation of the position of an Agency employee is decisive.

Footnote. The Rules are supplemented by paragraph 6-4 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

6-5. The decision of the commission on the non-competition occupation of the position of an employee of the Agency is issued in the form of the minutes of the meeting of the commission on the non-competition occupation of the position of an employee of the Agency, which is signed by the chairman, members and secretary of the commission for the non-competition occupation of the position of an employee of the Agency.

Footnote. The Rules are supplemented by paragraph 6-5 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

6-6. Lists of persons appointed to the vacant position of an Agency employee are placed on the Agency's information stand in a place accessible to the public, and on the Agency's official Internet resource within 7 (seven) working days from the date of the decision of the commission on the non-competition occupation of the position of an Agency employee.

Footnote. The Rules are supplemented by paragraph 6-6 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

6-7. The decision of the commission on the non-competition occupation of the position of an Agency employee is appealed in accordance with the procedure and terms established by the Administrative Procedural Code of the Republic of Kazakhstan.

Footnote. The Rules are supplemented by paragraph 6-7 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

7. Non-competitive holding the position of an employee of the Agency shall be carried out by:

1) workers of the Agency, eligible by transferring to the vacant position of an employee of the Agency;

2) persons in the personnel reserve;

3) persons with a high level of qualifications and professional training:

fluent in a foreign language (having an international IELTS certificate - not less than 6 out of 9, TOEFL IBT - 80 out of 120, TCF 400 (B2) out of 699, CILS 1, HSK level 6 out of 11);

and (or) holding an academic degree;

and (or) who completed their studies in foreign higher educational institutions;

and (or) having international accounting (CMA, CPA, CIPA, CAP, ACCA, IAB) or financial (CFM, CFA, IFA, CIMA) certificates, international certificates in the field of information technology (CISA, CISM) and internal audit (CIA, CCSA, CRMA, CGAP, CFSA), international certificate in the field of combating legalization (laundering) of proceeds from crime and financing of terrorism (ACAMS);

and (or) with work experience in organizations and subsidiaries of the National Bank, the national managing holding, development institutions, financial organizations at least 2 (two) years in areas corresponding to the functional areas of the vacant position of an employee of the Agency;

and (or) having work experience in managerial positions in state bodies for at least 1 (one) year;

4) former workers of the National Bank and its institutions or abolished Agency for at least two years (except for persons, whose employment contract was terminated due to negative reasons);

5) graduates of the Master's program of the National Bank and AEO "Nazarbayev University";

6) persons, who are in the President's Youth personnel reserve.

8. Persons, who participate in the tender, shall:

1) be at least eighteen years old;

2) meet the requirements.

9. The tender includes a number of sequential stages:

1) announcement about the tender;

2) approval of the composition of tender committee;

3) receipt and consideration of documents of tender participants for compliance with the requirements;

4) testing the candidates;

5) interview with candidates;

6) final tender committee meeting;

7) formation of the personnel reserve.

10. The costs of participation in the tender (travel to and from the interview site, renting a living space, accommodation, using the services of all types of communication means and others) shall be paid by the participants of the tender at their own expense.

11. The announcement about the tender shall be posted on the official website of the Agency in the Kazakh and Russian languages.

12. The announcement about the tender shall contain the following information:

1) name, location, mailing address of the Agency, telephone and fax numbers of the personnel department (when announcing an external tender);

2) the name of the vacant position of an employee of the Agency, indicating the main functional responsibilities;

3) requirements;

4) deadline for accepting documents. Acceptance of documents is carried out within 10 (ten) working days from the date of placement of the announcement about the tender;

5) time limits and place of the tender.

13. The competition commission is approved by the Chairman of the Agency or the Head of the Agency's Office.

Footnote. Paragraph 13 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated

27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

14. The tender committee shall consist of the chairperson of the tender committee, members and the secretary of the tender committee (representative of the personnel department).

The composition of the tender committee shall include the head of the personnel department, the heads of the department, in which there is a vacant position of an employee of the Agency, as well as the legal department, or their deputies.

The total number of members of the tender committee shall be an odd number, at least three people. In the absence of the chairperson of the tender commission, his duties shall be assigned to one of the members of the tender committee.

15. The organizational activity of the tender committee shall be provided by the secretary of the tender committee. The secretary of the tender committee shall not be a member of the tender committee and does not have the right to vote when the tender committee makes decisions.

16. Persons wishing to participate in the competition submit the following documents to the personnel service on paper and (or) in electronic and digital form:

1) a CV with photo (indicating the address of the actual place of residence and phone numbers, including contact, information about education, work experience);

2) application in the form according to Appendix 1 to the rules. The participant of the competition has the right to submit applications for no more than three vacant positions of an employee of the Agency;

3) a completed questionnaire in the form according to Appendix 2 to the Rules;

4) notarized copies of educational documents.

When studying in foreign countries and international or foreign educational institutions (their branches), a copy of the certificate of recognition of the document on education in the territory of the Republic of Kazakhstan is attached. This requirement does not apply to educational documents issued by foreign organizations of higher and (or) postgraduate education, research centers and laboratories to citizens of the Republic of Kazakhstan – holders of the international scholarship "Bolashak";

5) a copy of the document confirming employment, notarized or certified by the personnel service at the place of work (in the absence of information in the Unified system of accounting for employment contracts);

6) a copy of the identity document.

Footnote. Paragraph 16 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

17. Persons wishing to take part in the tender provide additional information regarding their education, work experience, level of professional training (copies of documents on advanced training, awarding academic degrees and titles, scientific publications, characteristics, recommendations from the previous place of work), if available.

18. Documents submitted by persons wishing to take part in the tender shall be accepted for consideration no later than the deadline for accepting documents established by clause 12 of the Rules.

19. The absence of one of documents specified in clause 16 of the Rules, shall be the grounds for refusal to consider documents by the tender committee.

20. The consideration of the documents of the participants of the tender shall be carried out by the tender committee within 5 (five) working days after the end of the acceptance of documents.

21. The decision on admission of tender participants to testing shall be made by the tender committee within 5 (five) working days from the date of the end of consideration of the documents of the tender participants, which is drawn up in the form of a protocol signed by the chairperson, members and secretary of the tender committee.

Lists of candidates admitted to testing shall be posted on the information stand of the Agency in a place accessible for public inspection.

22. The purpose of testing is to assess candidates' knowledge of the legislation of the Republic of Kazakhstan.

The testing program includes tests on knowledge of the Constitution of the Republic of Kazakhstan (ten questions), the Administrative Procedural Code of the Republic of Kazakhstan (ten questions), the laws of the Republic of Kazakhstan "On state regulation, control and supervision of the financial market and financial organizations" (ten questions), "On combating corruption" (ten questions).

The threshold scores for passing the test are at least 20 (twenty) correct answers from the total number of questions (forty questions) for all regulatory legal acts and at least 5 (five) correct answers for each regulatory legal act.

The total time to perform tests on knowledge of the legislation of the Republic of Kazakhstan is 30 (thirty) minutes.

Candidates are tested within 5 (five) working days from the date of the decision on admission to testing.

Footnote. Paragraph 22 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

23. Candidates who receive an assessment equal to or higher than the thresholds during the test are admitted to the interview.

24. The decision on admitting candidates to the interview is drawn up in the form of a protocol and signed by the chairperson, members and secretary of the tender committee. Lists of candidates admitted to the interview are posted on the information stand of the Agency in a place accessible for public inspection.

25. The purpose of the interview is to assess the professional and personal qualities of candidates.

26. Candidates admitted to the interview pass it within 10 (ten) working days from the date of the end of testing. Candidates are notified of the time, date and place of the interview by the personnel department via e-mail and (or) telephone.

27. When assessing the professional and personal qualities of candidates, the tender committee proceeds from the requirements and job description of the corresponding vacant position of an employee of the Agency.

28. The course of the interview with each candidate is recorded using technical recording tools. The secretary of the tender committee keeps the recording media. A note on the use of technical recording equipment by the tender committee is made in the minutes of the final meeting of the tender committee.

29. The documents of the candidates who have passed the interview are considered by the tender committee at its final meeting.

30. The final meeting of the tender committee is held no later than two working days from the date of the interview.

31. At the final meeting, the tender committee assesses the candidates based on the submitted documents, test results, interviews and selects from their number persons for the vacant position of the employee of the Agency and enlisting in personnel reserve.

32. The decision of the tender committee shall be considered eligible if at least 2/3 of its composition is present at the meeting.

33. A candidate receives a positive opinion if the majority of those present from the tender committee voted for him. In case of equality of votes, the vote of the chairperson of the tender committee is decisive.

34. The decision of the tender committee is drawn up in the form of the minutes of the final meeting of the tender committee, which is signed by the chairperson and members of the tender committee and the secretary.

35. Lists of candidates who have received a positive conclusion of the tender committee and enlisted in the personnel reserve are posted on the information stand of the Agency in a place accessible for public inspection within seven working days after the tender.

36. Employment of candidates who have received a positive conclusion of the tender committee for the position of an employee of the Agency shall be carried out in accordance with the labor legislation of the Republic of Kazakhstan.

37. The decision of the competition commission is appealed in accordance with the procedure and terms established by the Administrative Procedural Code of the Republic of Kazakhstan.

Footnote. Paragraph 37 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

Chapter 4. Formation of the personnel reserve

39. Personnel reserve is formed from the number of candidates who have received a positive conclusion of the tender committee and selected persons.

40. The announcement of the selection for enlistment in personnel reserve is posted on the official Internet resource of the Agency in the Kazakh and Russian languages.

41. Persons who have expressed a desire to take part in the selection, fill out an electronic version of the CV on the official Internet resource of the Agency.

The term for accepting a CV ends after 1 (one) month from the date of placing the announcement.

42. Within 5 (five) working days from the date of completion of the CV acceptance, the personnel service forms a list of persons who submitted a CV.

Information about the time, date and place of the interview is submitted by the personnel service via e-mail and (or) telephone communication means to the persons from the list formed by the personnel service.

Footnote. Paragraph 42 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

43. The Commission for formation of the personnel reserve conducts an interview with persons from the list formed by the personnel service in order to identify persons with knowledge in the areas corresponding to the direction of the Agency's subdivision within 10 (ten) working days from the date of formation of the list.

Footnote. Paragraph 43 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

43-1. The course of the interview with each person is recorded using technical means of recording. The record carriers are kept by the secretary of the commission for the formation of the personnel reserve. A note on the use of technical means of recording by the commission for the formation of the personnel reserve is made in the protocol of the commission for the formation of the personnel reserve.

Footnote. The Rules are supplemented by paragraph 43-1 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

43-2. The Commission on the formation of the personnel reserve is approved by the Chairman of the Agency or the head of the Agency's Office.

The Commission for the formation of the personnel reserve consists of the chairman of the commission, members and the secretary of the commission (a representative of the personnel service).

The commission on the formation of the personnel reserve includes managers and employees of the personnel service.

The total number of members of the commission for the formation of the personnel reserve is an odd number, at least three people. In the absence of the chairman of the commission on the formation of the personnel reserve, his duties are assigned to one of the members of the commission on the formation of the personnel reserve.

The organizational activity of the commission on the formation of the personnel reserve is provided by the secretary of the commission on the formation of the personnel reserve. The secretary of the commission on the formation of the personnel reserve is not a member of the commission on the formation of the personnel reserve and does not have the right to vote when making decisions by the commission on the formation of the personnel reserve.

Footnote. The Rules are supplemented by paragraph 43-2 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

43-3. The decision of the commission on the formation of the personnel reserve is considered competent if at least 2/3 (two thirds) from its composition are present at the meeting.

Footnote. The Rules are supplemented by paragraph 43-3 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

43-4. A person receives a positive opinion if the majority of those present from the commission on the formation of the personnel reserve voted for him. In case of equality of votes, the vote of the chairman of the commission on the formation of the personnel reserve is decisive.

Footnote. The Rules are supplemented by paragraph 43-4 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

43-5. The decision of the commission on the formation of the personnel reserve is issued in the form of a protocol of the commission on the formation of the personnel reserve, which is signed by the chairman, members and secretary of the commission on the formation of the personnel reserve.

Footnote. The Rules are supplemented by paragraph 43-5 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

43-6. Lists of persons enrolled in the personnel reserve are posted on the Agency's information stand in a place accessible to the public and on the Agency's official Internet resource within 7 (seven) working days from the date of the decision of the commission on the formation of the personnel reserve.

Footnote. The Rules are supplemented by paragraph 43-6 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

44. The decision of the commission on the formation of the personnel reserve is appealed in accordance with the procedure and terms established by the Administrative Procedural Code of the Republic of Kazakhstan.

Footnote. Paragraph 44 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

45. Persons enlisted in personnel reserve are appointed to the position of an employee of the Agency within 1 (one) year from the date of their enlistment in personnel reserve, if there is a vacant position of an employee of the Agency.

46. Exclusion of persons from the personnel reserve shall be carried out in cases as follows:

1) submission by a person enlisted in personnel reserve, an application for exclusion from the personnel reserve;

2) holding by a person enlisted in personnel reserve, a vacant position of an employee of the Agency.

47. Work on formation and exclusion from the personnel reserve of the Agency shall be entrusted to the personnel department.

Chapter 5. Termination of the employment contract

48. Termination of the employment contract with employees of the Agency shall be carried out based on the grounds provided for by the Law of the Republic of Kazakhstan dated July 4, 2003 "On the State Regulation, Control and Supervision of the Financial Market

and Financial Organizations" (hereinafter referred to as the ДФЦ on the State Regulation), in accordance with the procedure, established by the Labour Code.

Chapter 6. Final Provisions

49. Issues not regulated by the Rules shall be resolved in accordance with the Labour Code and the Law on the State Regulation.

Appendix 1
to the Rules for appointment to the
position and termination of an
employment contract with the
employees of the Agency
Form
Agency

APPLICATION

Footnote. Appendix 1 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 No. 20 (shall be enforced ten calendar days after the date of its first official publication).

I ask you to allow me to participate in the competition for the vacant position of an employee of the Agency

(name of position, subdivision)

I express my consent to the collection and processing of my personal data.
I am responsible for the authenticity of the submitted documents.

signature Surname and initials

" " 20 .

Appendix 2
to the Rules for appointment to the
position and termination of an
employment contract with the
employees of the Agency
Form
Agency

QUESTIONNAIRE
(to be completed by hand)

Surname

Name _____

— Patronymic _____

— If surname, name, patronymic were changed, indicate the reason and when _____

— Nationality _____

— If the nationality was changed, indicate when _____

— Number and date of issuance of the identity card/passport _____

— Have you been convicted when and for what _____

— Study or work abroad
Receiving country _____

— Duration of stay _____

— Place of employment or study _____

— Have you been deprived of the right to hold a certain position or engage in certain activities in accordance with a court verdict that has entered into legal force, when and for what _____

— Have you been deprived of the right to hold positions in state bodies for a certain period, when and for what _____

— Have you been deprived of the right to hold positions in financial organizations for a certain period, when and for what _____

Are you in a close relationship or relationship (parents, spouses, brothers, sisters, sons, daughters, as well as brothers, sisters, parents and children of spouses) with workers of the Agency and the National Bank of the Republic of Kazakhstan _____

— " _____ " _____ 20 _____
(signature)