

On approval of the Rules and forms of submission by brokers of information on transactions of verified individuals with securities or exchange goods sold on the commodity exchange

Invalidated Unofficial translation

Order № 408 of the Minister Finance of the Republic of Kazakhstan dated July 28, 2016. Registered with the Ministry of Justice of the Republic of Kazakhstan on August 31, 2016 № 14178. Expired by Order of the Minister of Finance of the Republic of Kazakhstan dated June 4, 2020 No. 568.

Unofficial translation

Footnote. Expired by Order of the Minister of Finance of the Republic of Kazakhstan dated June 04, 2020 No. 568 (effective from January 01, 2021).

In accordance with paragraph 7-5 of Article 583 of the Code of the Republic of Kazakhstan dated December 10, 2008 "On Taxes and Other Mandatory Payments to the Budget" (Tax Code), **I hereby ORDER:**

1. To approve:

1) Rules for submission by brokers of information on transactions of verified individuals with securities according to Annex 1 to this order;

2) form of information submitted by brokers on transactions of verified individuals with securities according to Annex 2 to this order;

3) Rules of submission by brokers of information on transactions of verified individuals with exchange goods sold on the commodity exchange, according to Annex 3 to this order;

4) form of information submitted by brokers on transactions of verified individuals with exchange goods sold on the commodity exchange, according to Annex 4 to this order.

2. The Committee of State Revenues of the Ministry of Finance of the Republic of Kazakhstan (D.E. Ergozhin) in accordance with the established legislation shall:

1) ensure the state registration of this order with the Ministry of Justice of the Republic of Kazakhstan;

2) within ten calendar days after the state registration of the present order send on official publication in periodicals and an information and legal system "Adilet";

3) within five working days from the date of receipt of this order from the Ministry of Justice of the Republic of Kazakhstan send to the Republican State Enterprise on the Right of Economic Management "Republican Center of Legal Information" of the

Ministry of Justice of the Republic of Kazakhstan for inclusion in the Reference Control Bank of regulatory legal acts of the Republic of Kazakhstan;

4) place this order on the Internet resource of the Ministry of Finance of the Republic of Kazakhstan.

3. This order shall be enforced from January 1, 2020 and shall be officially published.

Footnote. Paragraph 3 in the wording of the order of the Minister of Finance of the RK dated 31.03.2017 № 213

Minister of Finance

of the Republic of Kazakhstan

B. Sultanov

"AGREED"

Acting

Chairman

of the National Bank

of the Republic of Kazakhstan

_____ G. Pirmatov

" _____ " _____ 2016

" AGREED "

Minister

of the National Economy

of the Republic of Kazakhstan

_____ K. Bishimbayev

" _____ " _____ 2016

Annex 1
to order № 408 of the
Minister of Finance
of the Republic of Kazakhstan
dated July 28 2016

Rules

for submission by brokers of information on transactions of verified individuals with securities

1. These Rules have been developed in accordance with paragraph 7-5 of Article 583 of the Code of the Republic of Kazakhstan dated December 10, 2008 "On Taxes and Other Mandatory Payments to the Budget" (Tax Code) and shall define the procedure for brokers to submit information on transactions of verified individuals with securities (hereinafter referred to as the information).

2. The information shall be compiled by brokers performing transactions with securities and other financial instruments on the securities market (hereinafter referred to as the brokers).

№ r/n	Individual		Type of the security	National identification security number	Number of securities	Nominal value of securities (KZT)	Date of transaction	Type of transaction	The contractor according to the transaction	Number of securities constituting the underlying asset of one depositary receipt	Deposit price of depositary receipts	Due date of depositary receipts	Name of stock investment fund	BIN of the management company	Name of the management company
	IIN	Last name, first name, patronymic name (if specified in the identity document)													
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16

Last name, first name, patronymic name (if specified in the identity document),
Signature identifying the individual) of the exchange broker

Annex 3
to order № 408 of the
Minister of Finance
of the Republic of Kazakhstan
dated July 28 2016

Rules

for submission by brokers of information on transactions of verified individuals with exchange goods sold on the commodity exchange

1. These Rules have been developed in accordance with paragraph 7-5 of Article 583 of the Code of the Republic of Kazakhstan dated December 10, 2008 "On Taxes and Other Mandatory Payments to the Budget" (Tax Code) and shall define the procedure for brokers to submit information on transactions of verified individuals with exchange goods sold on the commodity exchange (hereinafter referred to as the information).

2. The information shall be compiled by stock brokers operating on a commodity exchange on the basis of a license (hereinafter referred to as stock brokers).

3. The information shall be submitted by stock brokers electronically through a web application or by means of transmission via an information and communication network, which shall ensure guaranteed delivery of messages within thirty working days from the date of receipt of the request of the state revenue body of the Republic of Kazakhstan.

4. The information shall include the following:

- 1) in column 1 - reference number of the line;
- 2) in column 2 - individual identification number of the individual-customer of the exchange goods;
- 3) in column 3 - surname, first name, patronymic name (if it is specified in the identity document) of the individual- customer of the exchange goods;
- 4) in column 4 - name of exchange goods;
- 5) in column 5 - unit of measurement of exchange goods;
- 6) in column 6 - value of exchange goods.

5. The information shall be presented separately in the section of types of the exchange goods.

6. The information shall be certified by the electronic digital signature of the stockbroker.

Annex 4
to order № 408 of the
Minister of Finance
of the Republic of Kazakhstan
dated July 28 2016

Information submitted by brokers on transactions of verified individuals with exchange goods sold on the commodity exchange

№ r/n	IIN of individual	Last name, first name, patronymic name (if specified in the identity document)	Name of goods	Unit of measurement	Price of goods (KZT)
1	2	3	4	5	6

Last name, first name, patronymic name (if specified in the identity document),
Signature identifying the individual) of the stockbroker