

**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

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| *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

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|  | 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).

      3. The information shall be submitted by 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 holder of securities;

      3) in column 3 - surname, first name, patronymic name (if it is specified in the identity document) of the individual-holder of securities;

      4) in column 4 - a type of the security, the holder of which shall be an individual specified in column 2;

      5) in column 5 - national identification number of the security;

      6) in column 6 - number of securities of the type specified in column 4;

      7) in column 7 - nominal value of securities;

      8) in column 8 - date of transaction;

      9) in column 9 - type of transaction;

      10) in column 10 - the contractor according to the transaction.

      5. In the case of submission of information on depositary receipts, the following additional information shall be provided:

      1) in column 11 - number of securities constituting the basic asset of one depositary receipt;

      2) in column 12 - deposit price of depository receipts;

      3) in column 13 - the term of circulation of depositary receipts.

      6. In the case of submission of information on stocks, the following additional information shall be provided:

      in column 14 - name of the stock investment fund;

      in column 15 - business identification number of the managing company;

      in column 16 - name of managing company.

      7. Information shall be presented separately in terms of types of securities.

      8. The information shall be certified by the electronic digital signature of the broker.

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|  | Annex 2 to order № 408 of the Minister of Finance of the Republic of Kazakhstan dated July 28 2016 |

**Information provided by brokers on transactions of verified individuals with securities**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| № 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 |
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      Last name, first name, patronymic name (if specified in the identity document), Signature identifying the individual) of the exchange broker

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|  | 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.

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|  | 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**

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| --- | --- | --- | --- | --- | --- |
| №  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

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