

On approval of the Rules for the submission by the operator or operation center of a systemically significant or significant payment system of information on payments and (or) money transfers

Unofficial translation

Resolution of the Board of the National Bank of the Republic of Kazakhstan dated August 31, 2016 No. 214. Registered with the Ministry of Justice of the Republic of Kazakhstan on October 18, 2016 No. 14334.

Unofficial translation

Pursuant to subparagraph 52-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan", subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics" and subparagraph 2) of paragraph 1 of Article 4 of the Law of the Republic of Kazakhstan "On payments and payment systems" The Board of the National Bank of the Republic of Kazakhstan RESOLVES:

Footnote. Preamble - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 21.11.2022 No. 96 (shall be enforced from 01.04.2023).

1. To approve the attached Rules for the submission by the operator or operation center of a systemically significant or significant payment system of information on payments and (or) money transfers (hereinafter referred to as the Rules).

2. The Payment Systems Department (Ashybekbekov E.T.) in the manner prescribed by the legislation of the Republic of Kazakhstan, shall ensure:

1) together with the Legal Department (Sarsenova N.V.) the state registration of this resolution in the Ministry of Justice of the Republic of Kazakhstan;

2) the direction of this resolution to the republican state enterprise on the right of economic management "Republican Center for Legal Information of the Ministry of Justice of the Republic of Kazakhstan":

for official publication in the "Әділет" legal information system within ten calendar days after its state registration with the Ministry of Justice of the Republic of Kazakhstan;

for inclusion in the State Register of regulatory legal acts of the Republic of Kazakhstan, the Reference Control Bank of regulatory legal acts of the Republic of Kazakhstan within ten calendar days from the date of its state registration with the Ministry of Justice of the Republic of Kazakhstan;

3) posting of this resolution on the official Internet resource of the National Bank of the Republic of Kazakhstan after its official publication.

3. The Directorate for the Protection of the Rights of Consumers of Financial Services and External Communications (Terentyev A.L.) to ensure the direction of this resolution for official publication in periodicals within ten calendar days after its state registration with the Ministry of Justice of the Republic of Kazakhstan.

4. The control over the implementation of this resolution shall be assigned to the Deputy Chairman of the National Bank of the Republic of Kazakhstan, Pirmatov G.O.

5. This resolution is subject to official publication and comes into force on April 1, 2017, with the exception of subparagraph 2) of paragraph 5, subparagraph 2) of paragraph 6 of the Rules, which will come into force on January 1, 2018.

*The chairman of the
National Bank*

D. Akishev

"AGREED"

Chairman of the Committee on Statistics
Ministry of National Economy
Republic of Kazakhstan

N. Aydapkelov
September 13, 2016

Approved by the
Resolution of the Board of the
National Bank of the
Republic of Kazakhstan
on August 31, 2016 No. 214

**Rules for the submission by the operator or operation center of a
systemically significant or significant payment system of information
on payments and (or) money transfers
Chapter 1. General provisions**

1. These Rules for the provision by an operator or an operation center of a systemically important or important payment system of information on payments and (or) money transfers (hereinafter referred to as the Rules) are developed in accordance with subparagraph 52-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic Kazakhstan", subparagraph 2) of paragraph 1 of Article 4 of the Law of the Republic of Kazakhstan "On Payments and Payment Systems" (hereinafter referred to as the Law on Payments and Payment Systems).

Footnote. Clause 1 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated November 22, 2021 No. 99 (shall be enforced ten calendar days after the day of its first official publication).

2. The rules determine the procedure for the submission by the operator or operation center of a systemically significant or significant payment system (hereinafter referred to as the payment system) of information on payments and (or) money transfers (hereinafter

referred to as the Information), including the forms, list, frequency and timing of the submission of Information.

Information is used by the National Bank of the Republic of Kazakhstan (hereinafter referred to as the National Bank) for the purpose of supervision (oversight) of payment systems.

3. The Rules use the concepts, signs and codes provided for by the Law on Payments and Payment Systems, the Rules for the application of codes of economic sectors and the purpose of payments approved by the National Bank in accordance with subparagraph 15) of Article 4 of the Law on Payments and Payment Systems.

Chapter 2. The order of presentation of Information

4. Information shall be submitted to the National Bank:

1) the operational center of the payment system, which is a subsidiary of the National Bank, - for payments and (or) money transfers made through the payment system operated by the National Bank;

2) the operator or operating center of the payment system (if any) - for payments and (or) money transfers made through a payment system operated by a resident of the Republic of Kazakhstan, with the exception of the National Bank;

3) by the operator or operation center of the payment system (if any) operating in the territory of the Republic of Kazakhstan - for payments and (or) money transfers made through a foreign payment system operating in the territory of the Republic of Kazakhstan.

It is allowed to submit Information under subparagraph 3) of the first part of this paragraph by a representative of a payment system operator established in the Republic of Kazakhstan when delegating to a representative office the authority to submit Information to the National Bank.

5. Information is provided by:

1) the form intended for the collection of administrative data, "Information on payments and (or) money transfers" in accordance with Appendix 1 to the Rules (hereinafter referred to as Information on Appendix 1);

2) the form intended for the collection of administrative data, "Information on payments and (or) money transfers made by significant customers" in accordance with Appendix 2 to the Rules (hereinafter referred to as Information on Appendix 2).

6. The payment system operator or operation center shall submit to the National Bank in electronic format with a list of identifiers of participants and significant customers of the payment system participant indicating their names, individual identification codes, bank identification codes, SWIFT (SWIFT) codes and other identifiers used to identify a participant or significant customer of a payment system participant:

1) Information on Appendix 1 - quarterly no later than the fifteenth day (inclusive) of the month following the reporting quarter;

2) Information on Appendix 2 - quarterly no later than the fifteenth day (inclusive) of the month following the reporting quarter.

Footnote. Clause 6 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated November 22, 2021 No. 99 (shall be enforced ten calendar days after the day of its first official publication).

7. The operator or the payment system operating center, to confirm the accuracy of the Information, shall submit to the National Bank, upon its request, information on payments and (or) money transfers made within the time specified by the National Bank in the request, with copies of payment documents attached.

Appendix 1
to the Submission Rules
operator or operating center of
systemically important or
significant payment
information systems and/or money
transfers

Form designed to collect administrative data

It is submitted: to the National Bank of the Republic of Kazakhstan

The form of administrative data is available on the Internet resource: www.nationalbank.kz

Information on payments and (or) money transfers

Footnote. Appendix 1 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated November 22, 2021 No. 99 (shall be enforced ten calendar days after the day of its first official publication).

Administrative data form index: 1-OR

Periodicity: quarterly Reporting period: as of "___" _____ 20___ Circle of persons submitting information: operator or operation center of a systemically significant or significant payment system, representative office of a foreign payment system operator established in the territory of the Republic of Kazakhstan upon delegation of authority to submit information to the representative office Information on payments and (or) money transfers Deadline for submitting the administrative data form: no later than the fifteenth day (inclusive) of the month following the reporting quarter. If the fifteenth day of the month falls on a weekend or holiday, the reporting deadline is postponed to the next business day

The form

(full name of the operator or operating center of the systemically significant or significant payment system)

Name of the payment system	Payment environment	Type of payment system	Payment sign	Identifier of the payment system participant - money sender	Identifier of the payment system participant - recipient of money

1	2	3	four	5	6
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Table continuation

Money sender			Beneficiary		
Sign of residency	Sector of the economy	Country	Sign of residency	Sector of the economy	Country
7	8	9	10	11	12

Table continuation

Detailed information on payments			
Payment purpose code	Number of Payments	Payment amount, tenge	Payment currency
13	14	15	16

Name _____

Address _____

Phone _____

E-mail address _____

Contractor _____

last name, first name and patronymic (if any) signature, telephone

First head or a person authorized by him to sign the report

last name, first name and patronymic (if any) signature, telephone

Date " ____ " _____ 20__

Appendix
to the form of information on
payments (or) money transfers

Explanation on filling out the administrative data form

Information on payments and (or) money transfers (index: 1-OR, quarterly frequency) Chapter 1.

General Provisions

1. This explanation defines the uniform requirements for filling out the form intended for collecting administrative data "Information on payments and (or) money transfers" (hereinafter - the Form).

2. The form was developed in accordance with subparagraph 52-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 1 of Article 4 of the Law of the Republic of Kazakhstan "On payments and payment systems".

3. The form is prepared quarterly by the operator or operational center of a systemically important or significant payment system and is completed as of the end of the reporting period.

4. Information on the Form is provided for both significant customers who are senders of money, and significant customers who are beneficiaries.

5. The form is used for the purposes of supervision (oversight) of payment systems.

6. The form is signed by the first head or a person authorized by him to sign, and the performer.

Chapter 2. Filling out the Form

7. The form is filled in tenge. If the currency of the payment and (or) transfer differs from tenge, the equivalent amount is calculated using the market exchange rate on the day of the payment and (or) transfer.

8. The form contains 16 columns, including the following information about the payment and (or) money transfer:

1) column 1 shall indicate the name of the payment system for which information is provided;

2) column 2 indicates the environment for making a payment and (or) money transfers:

01 - on the territory of the country;

02 - international payments and (or) money transfers;

3) column 3 indicates the type of payment system:

01 - interbank money transfer system;

02 - interbank clearing system;

03 - payment systems that ensure the provision of payment services by accepting payments and (or) money transfers through electronic terminals without opening a bank account;

04 - electronic money systems;

05 - systems of correspondent relations (correspondent accounts of banks of the Republic of Kazakhstan, branches of non-resident banks of the Republic of Kazakhstan or organizations engaged in certain types of banking operations of the Republic of Kazakhstan, opened in national currency in banks of the Republic of Kazakhstan, branches of non-resident banks of the Republic of Kazakhstan or organizations engaged in certain types banking operations of the Republic of Kazakhstan);

06 - money transfer systems;

07 - payment card systems through which interbank payments were made for settlements with payment cards;

08 - other types of payment systems;

4) column 4 indicates the sign of payment and (or) money transfer:

01 - sent payments and (or) money transfers;

02 - incoming payments and (or) money transfers;

5) column 5 indicates the identifier of the payment system participant - the sender of money;

6) column 6 indicates the identifier of the payment system participant - the recipient of the money.

For second-tier banks, branches of non-resident banks of the Republic of Kazakhstan and organizations engaged in certain types of banking operations, a bank identification code is indicated as an identifier of a payment system participant.

For other participants, business identification codes, individual identification codes and other identifiers used to identify the participant are indicated;

7) column 7 indicates the sign of residence of the sender of money;

8) column 8 shall indicate the code of the economy sector of the sender of money;

9) column 9 indicates the two-digit code of the country from where the payment or money transfer was initiated;

10) column 10 indicates the sign of the residence of the beneficiary;

11) column 11 indicates the code of the sector of the economy of the beneficiary;

12) column 12 indicates the two-digit code of the country where the payment or money transfer is sent.

The country code is indicated in accordance with the national classifier of the Republic of Kazakhstan NC RK ISO 3166-1 “Codes for representing the names of countries and units of their administrative-territorial divisions. Part 1. Country codes.

Columns 7, 8, 9, 10, 11 and 12 are to be filled in if the information system of the operator or the operation center of the payment system has data to identify the sign of residence, sector of the economy, the country of the sender of money or the beneficiary;

13) column 13 indicates the payment purpose code in accordance with the Rules for the Application of Economy Sector Codes and Purpose of Payments, approved by the National Bank in accordance with subparagraph 15) of Article 4 of the Law on Payments and Payment Systems;

14) column 14 indicates the number of payments for the reporting period. When reflecting one payment, the column indicates 1. If the parameters of the new payment and (or) money transfer coincide with those already available in columns 1 to 13, the value in this column increases by 1, and the value in column 14 increases by the amount of the new payment;

15) column 15 shall indicate the payment amount in tenge up to two decimal places;

16) column 16 shall indicate the payment currency code in accordance with the national classifier of the Republic of Kazakhstan NC RK 07 ISO 4217 "Codes for designating currencies and funds".

Appendix 2
to the Rules for the provision by an
operator or an operational center of
a systemically important or
significant payment system of
information on payments and (or)
money transfers

Form designed to collect administrative data

It is submitted: to the National Bank of the Republic of Kazakhstan

The form of administrative data is available on the Internet resource:
www.nationalbank.kz

Information on payments and (or) money transfers made by significant customers

Footnote. Appendix 2 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated November 22, 2021 No. 99 (shall be enforced ten calendar days after the day of its first official publication).

Administrative data form index: 2-OR

Frequency: quarterly Reporting period: as of "___" _____ 20___ Circle of persons submitting information: operator or operation center of a systemically significant or significant payment system, representative office of a foreign payment system operator established on the territory of the Republic of Kazakhstan upon delegation of authority to submit information to the representative office Information on payments and (or) money transfers made by significant customers Deadline for submission of the administrative data form: no later than the fifteenth day (inclusive) of the month following the reporting quarter. If the fifteenth day of the month falls on a weekend or holiday, the reporting deadline is postponed to the next business day. notify the National Bank in writing no later than the fifteenth (inclusive) day of the month following the reporting quarter

The form

(full name of the operator or operations center of the systemically important or significant payment system)

Name of the payment system	Payment system participant ID	Payment environment	Payment sign
1	2	3	4

Table continuation

Significant customer data					Payment system participant ID
Name	Business Identification Number / Individual Identification Number	Sign of residency	Sector of the economy	Country	
5	6	7	8	9	10

Table continuation

Significant customer counterparty data					Purpose of payment	Number of payments for the reporting period	Payment amount, tenge	Payment currency
Name	Business Identification Number / Individual Identification Number	Sign of residency	Sector of the economy	Country				

11	12	13	14	15	16	17	16	19
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Name _____

Address _____

Phone _____

E-mail address _____

Contractor _____

last name, first name and patronymic (if any) signature, telephone

First head or a person authorized by him to sign the report _____

last name, first name and patronymic (if any) signature, telephone

Date " ____ " _____ 20 ____

Appendix
to the form of information on
payments (or) money transfers
made by significant customers

Explanation on filling out the administrative data form

Information on payments and (or) money transfers made by significant customers (index: 2-OR, quarterly frequency) Chapter 1. General Provisions

1. This explanation defines uniform requirements for filling out the form intended for collecting administrative data "Information on payments and (or) money transfers made by significant customers" (hereinafter referred to as the "Form").

2. The form was developed in accordance with subparagraph 52-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 1 of Article 4 of the Law of the Republic of Kazakhstan "On payments and payment systems".

3. The form is prepared quarterly by the operator or operational center of a systemically important or significant payment system and is completed as of the end of the reporting period.

4. Information on the Form is provided for both significant customers who are senders of money, and significant customers who are beneficiaries.

5. The operator or operation center of a systemically important or significant payment system shall determine the significant customers of the payment system based on its own analysis of data for the last 12 (twelve) calendar months following the reporting quarter.

6. The form is used for the purposes of supervision (oversight) of payment systems.

7. The form is signed by the first manager or a person authorized by him to sign the report , and the performer.

Chapter 2. Filling out the Form

8. The form is filled in tenge. If the currency of the payment and (or) transfer differs from tenge, the equivalent amount is calculated using the market exchange rate on the day of the payment and (or) transfer.

9. The form contains 19 columns, including the following information about the payment and (or) money transfer:

1) column 1 shall indicate the name of the payment system for which information is provided;

2) column 2 shall indicate the identifier of the payment system participant servicing a significant customer;

3) column 3 indicates the environment for making a payment and (or) money transfers:

01 - on the territory of the country;

02 - international payments and (or) money transfers;

4) column 4 indicates the sign and (or) money transfer:

01 - payments and (or) money transfers sent by a significant client;

02 - payments and (or) money transfers incoming to a significant client;

5) columns 5, 6, 7, 8 and 9 indicate the bank details of a significant client, including its name, business identification number or individual identification number, sign of residence, economic sector code, two-digit country code:

on the basis of payment and (or) money transfer 01 - code of the country from where the payment and (or) money transfer was initiated by the significant client;

on the basis of payment and (or) money transfer 02 - country code where the significant client received the payment and (or) money transfer;

6) column 10 indicates the identifier of the payment system participant servicing the counterparty of a significant client:

on the basis of payment and (or) money transfer 01 - a client to whom a payment and (or) money transfers was sent by a significant client;

on the basis of payment and (or) money transfer 02 - the client from which the significant client received the payment or money transfer;

7) columns 11, 12, 13, 14 and 15 indicate the bank details of the counterparty of the significant client, including the name, business identification number or individual identification number, sign of residence, economic sector code, two-digit country code:

on the basis of payment and (or) money transfer 01 - code of the country where the counterparty of the significant client received the payment and (or) money transfer;

on the basis of payment and (or) money transfer 02 – code of the country from where the payment and (or) money transfer was sent by the counterparty of the significant client.

Columns 7, 8, 9, 13, 14 and 15 are to be filled in if there is data in the information system of the operator or operation center of the payment system to identify the sign of residence, sector of the economy, country of a significant client or counterparty;

8) column 16 indicates the payment purpose code in accordance with the Rules for the Application of Economy Sector Codes and the Purpose of Payments, approved by the National Bank in accordance with subparagraph 15) of Article 4 of the Law on Payments and Payment Systems;

9) column 17 indicates the number of payments for the reporting period. When reflecting one payment, the column indicates 1. If the parameters of the new payment and (or) money transfer coincide with those already available in columns 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15 and 16 the value in this column is increased by 1, and the value in column 17 is increased by the amount of the new payment;

10) column 18 shall indicate the payment amount in tenge up to two decimal places;

11) column 19 shall indicate the payment currency code in accordance with the national classifier of the Republic of Kazakhstan NC RK 07 ISO 4217 "Codes for designating currencies and funds".