



On approval of the list, forms, terms of accounting of the central securities depository and the Rules for their submission

Invalidated Unofficial translation

Resolution of the Board of the Republic of Kazakhstan of October 29, 2018 № 263. Registered in the Ministry of Justice of the Republic of Kazakhstan on November 28, 2018 № 17813. Abolished by Resolution of the Board of the National Bank of the Republic of Kazakhstan dated December 19, 2022 No. 118.

Unofficial translation

Footnote. Abolished by Resolution of the Board of the National Bank of the Republic of Kazakhstan dated December 19, 2022 No. 118 (effective from 01.01.2023)

The deadlines for submitting reportings shall be extended during the period of the state of emergency introduced by Decree of the President of the Republic of Kazakhstan dated 15.03.2020 No. 285 “On introduction of a state of emergency in the Republic of Kazakhstan” in accordance with the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 31.03.2020 No. 42 (shall be enforced from the date of its first official publication).

In compliance with the Laws of the Republic of Kazakhstan, dated August 31, 1995, "On Banks and Banking Activities in the Republic of Kazakhstan", dated July 2, 2003, "On Securities Market", dated July 4, 2003, "On the State Regulation, Control and Supervision of the Financial Market and Financial Organizations", dated March 19, 2010, "On State Statistics" and in order to improve Regulatory Legal Acts of the Republic of Kazakhstan, the Board of the National Bank of the Republic of Kazakhstan hereby **RESOLVED** as follows:

1. To approve
 - 1) the list of accounts of the Central Securities Depository according to Appendix 1 to this Resolution;
 - 2) the form of the account on clients' accounts according to Appendix 2 to this Resolution;
 - 3) form of the account on transactions with persons tied to the central securities depository by specific relationship concluded during the accounting quarter, as well as those acting on the accounting date, and register of persons connected with the central securities depository by specific relationship, according to Appendix 3 to this Resolution;

4) the form of the account on operations on the secondary securities market with state securities of the Republic of Kazakhstan according to Appendix 4 to this Resolution;

5) the form of the account on operations with state securities of the Republic of Kazakhstan by sectors and sub-sectors of economy according to Appendix 5 to this Resolution;

6) the form of the account on operations carried out in the system of accounting of the central securities depository with non-governmental securities by sectors and subsectors of economy according to Appendix 6 to this Resolution;

7) the form of the account on holders of short-term notes of the National Bank of the Republic of Kazakhstan according to Appendix 7 to this Resolution;

8) the form of the account on operations with securities of local executive bodies according to Appendix 8 to this Resolution;

9) the form of the account on remaining of securities of the Ministry of Finance of the Republic of Kazakhstan, on the main accounts of non-residents of Kazakhstan, according to Appendix 9 to this Resolution;

10) the form of the account on the depositor of the central securities depository according to Appendix 10 to this Resolution;

11) the form of the account on the depositors and their clients according to Appendix 11 to this Resolution;

12) the form of the account on securities, in nominal holding of the central securities depository, according to Appendix 12 to this Resolution;

13) the form of the account on securities issued in accordance with the legislation of the foreign state, in the nominal holding of the central securities depository, according to Appendix 13 to this Resolution;

14) the form of the account on the number of holders of units (shares) of investment funds, according to Appendix 14 to this Resolution;

15) the form of the account on transactions with financial instruments, which are in the nominal holding of the central securities depository, according to Appendix 15 to this Resolution;

16) the form of the account on operations with state securities of the Republic of Kazakhstan according to Appendix 16 to this Resolution;

17) the form of the account on transactions on transfer of financial instruments according to Appendix 17 to this Resolution;

18) the form of the account on the results of activity on maintaining the system of registers of securities holders according to Appendix 18 to this Resolution;

19) the form of the account on voting shares of issuers according to Appendix 19 to this Resolution;

20) the form of the account on the register of shareholders of shares according to Appendix 20 to this Resolution;

21) the Rules for accounting by the central securities depository according to Appendix 21 to this Resolution.

2. Some resolutions of the Board of the National Bank of the Republic of Kazakhstan according to Appendix 22 to this Resolutions shall be declared to be no longer in force.

3. The Central Securities Depository shall submit to the National Bank of the Republic of Kazakhstan in electronic format:

1) weekly - the reporting provided for in subparagraph 16) of paragraph 1 of this resolution, up to the third business day following the reporting week;

2) monthly - the reporting provided for by subparagraph 11) of paragraph 1 of this resolution, up to the fifth business day of the month following the reporting month;

3) monthly - the reporting provided for in subparagraphs 4), 5), 6), 7), 8), 10), 15) and 19) of paragraph 1 of this resolution, up to the tenth day of the month following the reporting month;

4) monthly - the reporting provided for by subparagraph 20) of paragraph 1 of this resolution, up to the twentieth day of the month following the reporting month;

5) quarterly - the reporting provided for in subparagraphs 9), 12), 13) and 14) of paragraph 1 of this resolution, up to the fifth business day of the month following the reporting quarter;

6) quarterly - the reporting provided for in subparagraphs 2) and 3) of paragraph 1 of this resolution, up to the twentieth day of the month following the reporting quarter;

7) quarterly - the reporting provided for in subparagraphs 17) and 18) of paragraph 1 of this resolution, up to the thirtieth day of the month following the reporting quarter.

Footnote. Paragraph 3 - is in the wording of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

4. In accordance with the procedure established by the legislation of the Republic of Kazakhstan, the Department for the Regulation of Non-Banking Financial Organizations (A.M. Kosherbayeva) shall:

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

2) within ten calendar days from the date of state registration of this resolution, send its copies both in Kazakh and Russian languages to the Republican State Enterprise on the Right of Economic Management "Republican Center of Legal Information" for official publication and inclusion into the Reference Control Bank of Regulatory Legal Acts of the Republic of Kazakhstan;

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

4) within ten working days after the state registration of this resolution, submit to the Legal Department the information on the implementation of measures provided for in subparagraphs 2), 3) of this paragraph, and paragraph 5 of this resolution.

5. The Directorate for the Protection of the Rights of Consumers of Financial Services and External Communications (A.L. Terentyev) shall ensure, within ten calendar days after the state registration of this resolution, send its copy for the official publication in periodicals.

6. Control over the execution of this resolution shall be imposed on the Deputy Chairman of the National Bank of the Republic of Kazakhstan Zh.B Kurmanov

7. This resolution shall enter into force from January 1, 2019.

Chairman of the National Bank

D. Akishev

"AGREED"

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

_____ N. Aydapkelov

" _ " _____ 2018

Appendix 1
to Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

The list of the accounts of the central securities depository

The list of the accounts of the central securities depository shall include:

- 1) Report on clients' accounts;
- 2) Report on transactions with persons tied to the central securities depository by specific relationship concluded during the accounting quarter, as well as those acting on the accounting date, and the register of persons tied to the central securities depository by specific relationship;
- 3) Report on operations on the secondary securities market with state securities of the Republic of Kazakhstan;
- 4) Report on operations with state securities of the Republic of Kazakhstan by sectors and sub-sectors of economy;
- 5) Report on operations carried out in the system of accounting of the central securities depository with non-state securities by sectors and subsectors of the economy;

- 6) Report on holders of short-term notes of the National Bank of the Republic of Kazakhstan;
- 7) Report on operations with securities of local executive bodies;
- 8) Report on the balances of securities of the Ministry of Finance of the Republic of Kazakhstan, held in the main accounts of non-residents of the Republic of Kazakhstan;
- 9) Report on depositors of the central securities depository;
- 10) Report on depositors and their clients;
- 11) Report on securities held in nominal holding of the central securities depository ;
- 12) Report on securities issued in accordance with the legislation of a foreign state, held in the nominal holding of the central securities depository;
- 13) Report on the number of shareholders of investment funds;
- 14) Report on transactions with financial instruments held in the nominal holding of the central securities depository;
- 15) Report on transactions with state securities of the Republic of Kazakhstan;
- 16) Report on transactions on transfer of financial instruments;
- 17) Report on the results of activity on maintaining the system of registers of securities holders;
- 18) Report on voting shares of issuers;
- 19) Report on the register of shareholders.

Appendix 2
to Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Form intended to collect administrative data

Report on client accounts

Accounting period: as of " _____ " " ____ ", 20__

Index: RCA_2

Frequency: quarterly

Submitted by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: quarterly, no later than the twentieth day (inclusive) of the month following the accounting quarter

Form

(full name of the organization)

(in thousands, KZT)

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№ r/n	Client accounts		Legal entities		
			Resident Banks	Non-resident banks	Other legal entities
1	2		3	4	5
1	Current accounts	Total, including			
		in foreign currency			
2	Correspondent accounts	Total, including			
		in foreign currency			
3	Other accounts	Total, including			
		in foreign currency			
4	Total	Total, including			
		in foreign currency			

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the account

 surname, first name, patronymic (in its existence) (signature)

Head of the responsible unit or the person authorized to sign the account

 surname, first name, patronymic (if available) (signature)

Executer: _____

 surname, first name, patronymic (in its existence) (signature)

Phone number

The account signing date _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the Form of the Report
 on Client Accounts

**Explanation for completing the form intended to collect administrative data
 Report on clients' accounts**

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the common requirements for filling in the form, intended to collect administrative data "Report on clients' accounts" (hereinafter referred to as the Form).

2. Form has been developed in accordance with subparagraph 6) of paragraph 1 of Article 9 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".

3. Form shall be compiled by the central securities depository quarterly as of the end of the accounting period. The data in the form shall be filled in thousands of tenge. The amount of less than KZT 500 (500) shall be totaled to 0 (zero), and the amount equal to KZT 500 (five hundred) and above, shall be totaled up to KZT 1000(thousand)

4. The form shall be signed by the first executive officer, the chief accountant, the head of the responsible subdivision or persons authorized to sign the account, and the performer.

Chapter 2. Explanation on completing the form

5. The form shall contain information on current, correspondent and other accounts opened in the central securities depository, in the context of legal entities, in tenge and in foreign currency.

6. Graphs 3, 4, 5 shall specify the balances of money in the accounts.

7. In case of absence of information, the form shall be submitted with zero balances

Appendix 3
to Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Form intended to collect administrative data

The Report on transactions with persons tied to the central securities depository by specific relationship concluded during the accounting quarter, as well as on the accounting date, and

the register of persons tied to the central securities depository by specific relationship

Reporting period: as of " _____ ", 20__

Index: SR_3

Frequency: quarterly

Submitted by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: quarterly, no later than the twentieth day (inclusive) of the month, following the accounting quarter

Form

(full name of the organization)

Table 1. Transactions with persons, tied to the central securities depository by specific relationship, concluded during the accounting quarter, as well as those acting dated " _____ " " ____ ", 20__

№ r/n	Name/ surname, name, patronymic (in its existence) o f individual	Business identificati on number (for a legal entity), individual identificati on number (for an individual, including a n individual entreprene ur)	Country of residence	T h e indicati on that a person is related to a person associated with specific relati onshi p with central securities depository	Type of operation	Purpose of the transaction	№ contract	Date of conclusion (date of commence ment of conditions) of the contract
1	2	3	4	5	6	7	8	9
	Total							

table continuation

					Cost of collateral (in thousands of tenge)	Reward (percentage annual)			
									In accordanc e with the internal document s of the

									depositor y
10	11	12	13	14	15	16	17	18	19

table continued

Accrued income/expenditure		Current balance on the Accounting date		Amount of created reserves (provisions) in accordance with the requirements of international financial Accounting standards	Requisites of the Decision of the Board of Directors of the Organization, carrying out certain types of banking operations or of general meeting of shareholders (in cases, established by the legislation of the Republic of Kazakhstan)	Note
The amount (in thousands of tenge)	Balance account	The amount (in thousands of tenge)	Balance account			
20	21	22	23	24	25	26

The total amount of transactions of the central securities depository with persons associated with a specific relationship, the amount of which for each type of transactions of the central securities depository, with a person associated with a specific relationship, not exceeding 0.01 percent, together with the size of capital of the central depository as of _____, 20 __, shall be thousand KZT _____.

The central securities depository shall confirm that in the accounting quarter, preferential conditions for persons connected with specific relationship with the central securities depository have not been provided and other transactions except those specified in table 1 by the central securities depository have not been carried out.

Table 2. Register of persons connected with the central securities depository with specific relationship as of " _____ " " ____", 20__

№ r/n	Business identification number (for a legal entity), individual identification number (for an individual, including	Name/surname, name of patronymic (if available) of the person	Country of residence	The indication that a person is related to a person associated with a specific relationship with the
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	an individual entrepreneur)			central securities depository
1	2	3	4	5

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the account

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the account

 surname, first name, patronymic (if available) (signature)

Executer: _____

 surname, first name, patronymic (if available) (signature)

Phone number

The report signing date _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the form of the report on
 transactions with persons
 connected with central depository
 by special relationship, concluded
 during the accounting quarter,
 as well as those operating on the
 accounting date, and the register
 of persons connected with
 central securities depository
 by specific relationship

Explanation for completing the form to collect administrative data

The account on transactions with persons, connected with the central securities depository by special relationship, concluded during the accounting quarter, as well as those operating on the accounting date, and the register of persons connected with the central securities depository by specific relationship

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall determine the common requirements for the completion of the form intended for the collection of administrative data "The report on transactions with persons connected with the central securities depository by specific relationship, concluded during the accounting quarter as well as those operating on the accounting date, the register of persons connected

with the central securities depository by specific relationship"(hereinafter referred to as the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 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".

3. The Form shall be prepared by the central securities depository quarterly and shall be indicated by the data on transactions concluded during the accounting period as well as on transactions operating as of at the end of the accounting period. The data in form shall be filled in thousands of tenge. The amount of less than KZT 500 (five hundred) shall be totaled to 0 (zero), and the amount of equal to KZT 500 (five hundred) and above, shall be totaled to KZT 1000 (thousand).

4. The Form shall be signed by the first executive officer, chief accountant, head of the responsible for subdivision or persons authorized to sign the account, and the performer.

Chapter 2. Explanation on completing the form

5. The Form shall contain information on all transactions of the central securities depository with persons connected with the central securities depository by specific relationship, concluded during the accounting period, as well as those operating at the accounting date (Table 1), and on persons connected with central securities depository by specific relationship (Table 2) at the accounting date, except for information on legal entities in which the National Bank of the Republic of Kazakhstan, officials of the National Bank of the Republic of Kazakhstan and (or) their spouses and close relatives shall be major participants or officials in these legal entities.

6. The sign of the person's connection with the central securities depository shall be determined in accordance with the Law of the Republic of Kazakhstan dated August 31 , 1995 "On Banks and Banking Activities in the Republic of Kazakhstan".

7. Persons may have one or more signs of connection with a special relationship with the central securities depository and in filling in Table 2 all the signs shall be indicated.

8. Table 1 shall provide information on all transactions of the central securities depository with persons, associated with special relationship, the amount of which, for each type of transaction of the central securities depository with the person associated with special relationship, exceeds 0.01 per cent in the complex of own capital of the central securities depository.

9. If the capital of the central securities depository have a negative value, Table 1 shall specify the particulars of all transactions of the central securities depository with persons associated with special relations, the amount for each type of operation of

the central depository, with a person associated with a specific relationship, exceeds 0.001 percent in complex of the size of the central securities depository assets.

10. Column 2 of Table 1 shall obligatory indicate the surname and name for individuals, the patronymic-subject to its existence.

11. Columns 14, 15 and 16 of Table 1 shall provide the information on transactions which conditions imply the availability of collateral.

12. Columns 17, 18 and 19 of Table 1 shall provide the information on transactions which conditions imply the payment of remuneration.

13. Column 20 of Table 1, shall indicate the amount of accrued income or expense accumulated since the beginning of the current year.

14. If, at the time of transaction, a person has not been the person tied to the central securities depository by specific relationship, Column 26 of the Table 1, shall provide: "A person is tied to a central securities depository, by special relationship from _____ (date indicating day, month and year)".

15. Table 2 shall identify all persons tied to the central securities depository by specific relationship, including those with whom transactions have not been concluded.

16. In the absence of information, the form shall be submitted with zero balances.

Appendix 4
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

A form intended to collect administrative data

Report on operations on the secondary securities market with state securities of the Republic of Kazakhstan

Reporting period: as of " _____ " " ____ ", 20__

Index: ROSSMSS_4

Frequency: monthly

Submitted by: central depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: monthly, no later than the tenth day (inclusive) of the month following the accounting month

Form

(full name of the organization)

for the period from ____ to _____

in thousands of tenge

	Type of	Number of	Volume	Number	Annual	The maturity

№ r/n	securities	securities issue	of securities	of securities	yield of securities	date of the security
1	2	3	4	5	6	7
1						
2						
3						

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Performer: _____

 surname, first name, patronymic (if available) (signature)

Phone number

The account signing date _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the form of the report on
 transaction in the secondary
 securities market with state
 securities of the Republic of
 Kazakhstan

Explanation for completing form to collect administrative data

Report on transactions in the secondary securities market with state securities of the Republic of Kazakhstan

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended to collect administrative data "Report on transactions in the secondary securities market with state securities of the Republic of Kazakhstan"

(hereinafter referred to as the-form).

2. The form shall be developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 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".

3. The form shall be compiled by the central securities depository monthly at the end of the reporting period. The data in the form shall be filled in thousands of tenge. The amount less than KZR 500 (five hundred) shall be totaled to 0 (zero), and the amount equal to KZT 500 (five hundred) and above, shall be totaled to KZT 1000 (thousand).

4. The form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the report, and the performer.

Chapter 2. Explanation on completing the form

5. The Form shall contain the information on the volume of transactions carried out in the secondary market with state securities of the Republic of Kazakhstan during the reporting period.

6. The volume of transactions carried out in the secondary market with state securities of the Republic of Kazakhstan during the accounting period shall be indicated in column 4.

7. In the absence of information, the form shall be submitted with zero balances.

Appendix 5
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Footnote. Appendix 5 - is in the wording of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Form intended to collect administrative data

Account on transactions with state securities of the Republic of Kazakhstan by sectors and sub-sectors of economy

Accounting period: as of " _____ " " ____", 20__

Index:RTSSSE_5

Frequency: monthly

Submitted by : central depository

Frequency: monthly

Submitted by: : central depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: monthly, no later than the tenth day(inclusive) of the month following the accounting month

Quantity (pieces)	value	Quantity (pieces)	value	Quantity (pieces)	discounted value
16	17	18	19	20	21
...					

continuation of the table:

Implemented					
Redemption		Written off		On pledge operations	
Quantity (pieces)	Amount of discounted value	Quantity (pieces)	Amount of discounted value	Quantity (pieces)	Amount of discounted value
22	23	24	25	26	27
...					

continuation of the table:

Balance of the deposit amount at the end of the period		Balance of the main account at the end of the period		Yield			
Quantity (pieces)	Amount (denomination value)	Quantity (pieces)	Amount (denomination value)	in the primary market	in the secondary market	Repurchase agreement, REPO	
						Weighted average rate	Weighted average duration
28	29	30	31	32	33	34	35
...							

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Executer: _____

 surname, first name, patronymic (if available) (signature)

Phone number _____

The account signing date _____, 20____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Explanation for completing form to collect administrative data

Report on transactions with state securities of the Republic of Kazakhstan by sectors and sub-sectors of economy

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for completing form intended to collect administrative data "Account on operations with state securities of the Republic of Kazakhstan by sectors and sub-sectors of economy "(hereinafter referred to as the Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan of July 4, 2003 "On the State Regulation, Control and Supervision of the Financial Market and Financial Organizations".

3. The Form shall be compiled by the central securities depository monthly as of the end of the reporting period. The data in the form shall be filled in thousands of tenge. The amount of less than KZT 500 (five hundred) shall be totaled to 0 (zero), and the amount equal to KZT 500 (five hundred) and above, shall be totaled to KZT 1000 (thousand).

4. The form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized to sign the report, and the performer.

Chapter 2. Explanation on completing the form

5. The form shall specify the information on transactions with state securities of the Republic of Kazakhstan in the context of sectors and subsectors of the economy during the reporting period.

6. The sign of residence shall be determined in accordance with the Law of the Republic of Kazakhstan dated July 2, 2018 "On Currency Regulation and Currency Control".

7. For the purposes of classifying institutional units by sectors of the economy, the following structure and concepts of sectors and subsectors of the economy shall be applied:

1) The Government of the Republic of Kazakhstan shall include ministries, departments financed from the Republican budget, scientific research organizations, institutional units-agents of the Government of the Republic of Kazakhstan, funds, controlled by the State administration and financed from the Republican budget, as

well as other organizations under the control of the State, performing functions peculiar to the state bodies and not engaged in market production;

2) Regional and local managing bodies shall include institutional units performing management functions at the levels of oblast, city and district, and organizations financing from local budgets;

3) central (national) bank-an institutional unit that shall control the key aspects of the financial system and shall conduct such activities as the issue of national currency, the management of international reserves;

4) other deposit organizations-institutional units which main activity shall be financial intermediation and which obligations shall be in the form of deposits or their analogues(close substitutes of deposits, which shall be included in national definition of wide money);

5) other financial organizations-all other institutional units of the sector, which shall carry out intermediary or auxiliary financial activity or whose activities shall be closely related to financial intermediation, but they themselves shall not serve as intermediaries;

6) state non-financial organizations-institutional units engaged mainly in market production and controlled by state management bodies;

7) non-governmental non-financial organizations-institutional units engaged mainly in market production and uncontrolled bodies of state management bodies;

8) non-profit organizations serving households-institutional units, producing goods or services, but not bringing income or other financial benefits to the institutional units controlling such organizations, which shall be established by associations of persons in order to provide goods or services to the members of the associations themselves(such services shall be usually provided free of charge or financed by regular membership dues) or whose main activity shall be providing charitable assistance;

9) households-institutional units consisting of individuals, as well as small groups of individuals (families) living together, uniting (in whole or in part) their incomes and property, and jointly consuming certain types of goods and services (housing, food, etc .).

8. Columns from 4 to 15 shall indicate the operations on the acquired governmental securities of the Republic of Kazakhstan in the context of sectors and sub-sectors of the economy for the accounting month. Column 14 and 15 shall also include transactions related to the transfer of securities from one personal account to another.

9. Columns shall specify from 16 to 27 the realized governmental securities of the Republic of Kazakhstan in the context of sectors and sub-sectors of economy for the accounting month. Columns 24 and 25 also shall include transactions related to the transfer of securities from one personal account to another.

10. The amount of the balance at the nominal value of the pledge in circulation at the end of the accounting period specified in the sub-account section in which the deposit shall be taken into account shall be indicated in column 29.

11. The amount in column 4 shall be equaled to the amount of columns 6,8.10, 12.14.

12. The amount in column 5 shall be equaled to the amount of columns 7, 9,11, 13, 15.

13. The amount in column 16 shall be equaled to the amount of columns 18,20, 22, 24, 26.

14. The amount in column 17 shall be equaled to the amount of columns 19,21, 23, 25, 27.

15. The amount in column 30 shall be equaled to the amount of columns 2, 4 minus the amount in column 16.

16. In the absence of information, the form shall be submitted with zero balances.

Appendix 6
to resolution of the Board
of the National Bank of the
Republic of Kazakhstan
№ 263 dated October 29, 2018

Footnote. Appendix 6 - is in the wording of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Form intended to collect the administrative data

Report on operations carried out in the central securities depository accounting system with non-governmental securities by sectors and sub-sectors of the economy

Reporting period: as of " _____ " " ____", 20_

Index: ROSSSE_6

Frequency: monthly

Submitted by: central securities depository

submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: monthly, no later than the tenth day (inclusive) of the month following the accounting month

Form

(full name of the organization)

for the period from ____ to _____

in thousands of tenge

Type of securities/	Balance on the main accounts at the beginning	Purchased	
		Total	In the first market

№ r/n	sectors and sub-sectors of the economy	Number (pieces)	Amount (nominal value)	Number (pieces)	Amount of discounted value	Number (pieces)	Amount of discounted value
1							
...							
n							
	Total securities						
	sectors and sub-sectors of the economy						
	Non-residents						
	Total non-resident						
	Depositors						

continuation of the table:

Purchased							
Direct purchase		Repurchase agreement, REPO		On pledge operations		Crediting to the main account	
Number (pieces)	Amount of discounted value	Number (pieces)	Amount of discounted value	Number (pieces)	Amount of discounted value	Number (pieces)	Amount of discounted value
8	9	10	11	12	13	14	15
...							

continuation of the table:

Implemented									
Total		Direct sale		Repurchase agreement, REPO		redemption		written off	
Number (pieces)	Amount of discounted value	Number (pieces)	Amount of discounted value	Number (pieces)	Amount of discounted value	Number (pieces)	Amount of discounted value	Number (pieces)	Amount of discounted value
16	17	18	19	20	21	22	23	24	25
...									

continuation of the table:

	Balance of the deposit amount at the end	Balance on the main accounts at	Yield		

On pledge operations		of the period		the end of the period		On the primary market	On the secondary market	Repurchase agreement, REPO	
Number (pieces)	Amount of discounted value	Number (pieces)	Amount (denomination value)	Number (pieces)	Amount (denomination value)			Weighted average rate	Weighted average duration .
26	27	28	29	30	31	32	33	34	35
...									

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Performer: _____

 surname, first name, patronymic (if available) (signature)

Phone number

The account signing date _____, 20____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the form of the report on
 transactions, conducted in the
 central securities depository
 accounting system with
 non-state securities by sectors and
 sub-sectors of the economy

Explanation for completing the form to collect administrative data

Report on transactions carried out in the central securities depository accounting system with non-state securities by sectors and sub-sectors of the economy

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for completing form intended for the collection of administrative data "Report on transactions carried out in the central securities depository accounting

system with non-state securities by sectors and subsectors of the economy "(hereinafter referred to as the-Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 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".

3. The form shall be compiled by the central securities depository monthly at the end of the accounting period. The data in form shall be filled in thousands of tenge. The amount of less than KZT 500 (five hundred) shall be totaled to 0 (zero), and the amount equal to KZT 500 (five hundred) and above, shall be totaled to KZT 1000 (thousand).

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized to sign the account, and the performer.

Chapter 2. Explanation on completing the form

5. The Form shall contain the information on transactions carried out in the central securities depository accounting system with non-state securities of the Republic of Kazakhstan in the context of sectors and sub-sectors of economy for the accounting month.

6. The sign of residence shall be determined in accordance with the Law of the Republic of Kazakhstan dated July 2, 2018 "On Currency Regulation and Currency Control".

7. For the purposes of classifying institutional units by sectors of economy, the following structure and concepts of sectors and subsectors of the economy shall be applied:

1) The Government of the Republic of Kazakhstan shall include ministries, departments financed from the Republican budget, scientific research institutions, institutional units-agents of the Government of the Republic of Kazakhstan, funds, controlled by the state bodies and financed from the republican budget, as well as other organizations under the control of the state, performing functions peculiar to the state bodies and not engaged in market production;

2) regional and local managing bodies shall include institutional units performing managing functions at the oblast, city and district levels, and organizations financed from local budgets;

3) central (national) bank-an institutional unit shall control the key aspects of the financial system and shall conduct such activities as the issue of national currency, the management of international reserves;

4) other deposit organizations-institutional units which main activity are financial intermediation and obligations shall be in the form of deposits or their analogues (close substitutes of deposits, which shall be included in national definition of wide money);

5) other financial organizations-all other institutional units of the sector, which carry out intermediary or auxiliary financial activity or which activities are closely related to financial intermediation, but they themselves do not serve as intermediaries;

6) state non-financial organizations-institutional units engaged mainly in market production and controlled by state managing bodies;

7) Non-governmental non-financial organizations-institutional units engaged mainly in market production and uncontrolled state managing bodies;

8) non-profit organizations serving households-institutional units, producing goods or services, but not bringing income or other financial benefits to the institutional units controlling such organizations, which shall be established by associations of persons in order to provide goods or services to the members of those associations themselves (such services shall be usually provided free of charge or financed by regular membership dues) or which main activity shall be providing charitable assistance;

9 households-institutional units consisting of individuals, as well as small groups of individuals (families) living together, uniting (in whole or in part) their incomes and property, and jointly consuming certain types of goods and services (accommodation, food, etc.).

8. Columns from 4 to 15 shall indicate the operations on the acquired non-governmental securities in the context of sectors and subsectors of economy for the accounting month. . Columns 14 and 15 also shall include transactions related to the transfer of securities from one personal account to another.

9. Columns from 16 to 27 shall indicate the realized non-governmental securities of the Republic of Kazakhstan in the context of sectors and sub-sectors of economy for the accounting month. Columns 26 and 27 shall also include transactions related to the transfer of securities from one personal account to another.

10. Column 29 shall indicate the amount of the balance at the nominal value of the pledge in circulation at the end of the accounting period specified in the sub-account section in which the deposit is taken into account.

11. The amount in column 4 shall be equaled to the amount of columns 6,8.10, 12.14.

12. The amount in column 5 shall be equaled to the amount of columns 7,9.11, 13,15.

13. The amount in column 16 shall be equaled to the amount of columns 18,20.22, 24,26.

14. The amount in column 17 shall be equaled to the amount of columns 19,21,23, 25,27.

15. The amount in column 30 shall be equaled to the amount of columns 2,4 minus the number in column 16.

16. In the absence of information, the form shall be submitted with zero balances.

Appendix 7
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Footnote. Appendix 7 - is in the wording of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Form intended to collect the administrative data

Report on the holders of short-term notes of the National Bank of the Republic of Kazakhstan

Accounting period: as of _____ " ____ ", 20__

Index: STNNB_7

Frequency: monthly

Submitted by: central depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: monthly, no later than the tenth day (inclusive) of the month following the accounting month

Form

(full name of the organization)

as of " _____ " , 20__

№ r/n	Name/ Sur name, name patro nymic (in its exis tencef) of	Sub- ac count type	Type of hol der	Coun try of the holder	Sector and sub- sector of eco nomy	Sign of resi dency	Secu rity Iden tifier (Natio nal iden tifica tion num ber (NIN) or inter nation al iden	Num ber (pie ces)	Amount (in thou sands
-------	---	--------------------------	-----------------------	---------------------------------	---	--------------------------	---	----------------------------	------------------------------

	the holder						identification number (IIN) or other security identifier	tenge
1	2	3	4	5	6	7		
1								
...								
n								

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Executer: _____

 surname, first name, patronymic (if available) (signature)

Phone number

The account signing date _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the report form about holders
 of short-term notes of the National
 Bank of the Republic of
 Kazakhstan

**Explanation for completing the form to collect administrative data
 Report on the holders of short-term notes of the National Bank of the Republic of
 Kazakhstan**

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended to collect administrative data "

Report on the holders of short-term notes of the National Bank of the Republic of Kazakhstan" (hereinafter referred to as the form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations".

3. The Form shall be compiled by the central securities depository monthly at the end of the accounting period. The data in the form shall be filled in thousands of tenge. The amount of less than KZT 500 (five hundred) shall be totaled to 0 (zero), and the amount equal to KZT 500 (five hundred) and above, shall be totaled to KZT 1000 (thousand).

4. The form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized to sign the account, and the performer.

Chapter 2. Explanation on completing the form

5. Information on holders of short-term notes of the National Bank of the Republic of Kazakhstan shall be specified in the form.

6. Column 2 shall indicate the name of the legal entity or surname, name, patronymic (if available) name of the individual who shall be holders of short-term notes of the National Bank of the Republic of Kazakhstan.

7. Column 6 shall indicate the sector and subsector of the economy. For the purposes of classification of institutional units by sector of economy, the following structure and concepts of sectors and sub-sectors of economy shall be applied:

1) The Government of the Republic of Kazakhstan shall include ministries, departments, financed from the Republican budget, scientific research institutions, institutional units-agents of the Government of the Republic of Kazakhstan, funds, controlled by the state managing bodies and financed from the Republican budget, as well as other organizations under the control of the state, performing functions peculiar to the state bodies and not engaged in market production;

2) regional and local managing bodies shall include institutional units performing managing functions at the oblast, city and district levels, and organizations financed from local budgets;

3) central (national) bank-an institutional unit shall control the key aspects of the financial system and shall conduct such activities as the issue of national currency, the management of international reserves;

4) other deposit organizations-institutional units which main activity shall be financial intermediation and obligations shall be in form of deposits or their analogues

(close substitutes of deposits, which shall be included in national definition of wide money);

5) other financial organizations-all other institutional units of the sector, which shall carry out intermediary or auxiliary financial activity or whose activities shall be closely related to financial intermediation, but they themselves shall not be served as intermediaries;

6) state non-financial organizations-institutional units engaged mainly in market production and controlled by state managing bodies;

7) non-governmental non-financial organizations-institutional units engaged mainly in market production and uncontrolled state managing bodies;

8) non-profit organizations serving households-institutional units, producing goods or services, but not bringing income or other financial benefits to the institutional units controlling such organizations, which shall be established by associations of persons in order to provide goods or services to the members of those associations themselves (such services shall be usually provided free of charge or financed by regular membership dues) or whose main activity shall be providing charitable assistance;

9) households-institutional units consisting of individuals, as well as small groups of individuals (families) living together, uniting (in whole or in part) their incomes and property, and jointly consuming certain types of goods and services (accommodation, food, etc.).

8. Column 7 shall indicate the sign of residence of the holder of short-term notes of the National Bank of the Republic of Kazakhstan. The sign of residence shall be determined in accordance with the Law of the Republic of Kazakhstan dated July 2, 2018 "On Currency Regulation and Currency Control".

9. The identifier (National identification number (NIN) or international identification number (ISIN) or other identifier of the security) notes of the National Bank of the Republic of Kazakhstan shall be specified in the column 8.

10. The number of short-term notes of the National Bank of the Republic of Kazakhstan at the holders' possession shall be indicated in column 9.

11. The volume of short-term notes of the National Bank of the Republic of Kazakhstan shall be indicated in column 10.

12. In case of absence of information, the form shall be submitted with zero balances.

Form intended to collect the administrative data
Report on transactions with securities of local executive bodies
Accounting period: as of _____, 20__

Index: ROSLEB_8

Frequency: monthly

Submitted by: : central securities depository

Submitted to: : the National Bank of the Republic of Kazakhstan

Submission deadline: monthly, no later than the tenth day (inclusive) of the month following the accounting month form

(full name of the organization)

for the period: as of _____ " ____ " _____ 20__

№r/n	Date of issue	Type of securities	Number of securities (pieces)	Security identifier (national identification number (NIN) or international identification number (ISIN) or other security identifier)	Transaction date	Type of operation	Value of one security	Volume of securities (in thousands tenge)			
1	2	3	4	5	6	7	8	9		10	
1											
...											
n											
Total											

First head or a person authorized to sign the report

surname, first name, patronymic (if available) (signature)
Chief accountant or a person authorized to sign the report

surname, first name, patronymic (if available) (signature)
Head of the responsible unit or the person authorized to sign the report

surname, first name, patronymic (if available) (signature)
Performer: _____

surname, first name, patronymic (if available) (signature)
Phone number _____

The account signing date _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
to the transaction report form
with securities of local
executive bodies

Explanation for completing the form to collect the administrative data Report on operations with securities of local executive bodies

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended to collect administrative data "Report on transactions with securities of local executive bodies" (hereinafter referred to as the Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations".

3. The Form shall be compiled by the central securities depository monthly at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the report, and the performer.

Chapter 2. Explanation on completing the form

5. The Form shall specify the information on transactions with the securities of local executive bodies.

6. Column 2 shall indicate the date of issue of the security.

7. Column 3 shall indicate the type of security.

8. Column 4 shall indicate the number of securities held by the securities holder.

9. The security identifier (national identification number (NIN) or international securities identification number (ISIN) or other security identifier) shall be indicated in column 5.

10. The type of operation (exchange, off exchange) shall be indicated in column 7.

11. Column 8 shall indicate the weighted average value of one security for each transaction.

12. Column 9 shall indicate the volume of securities in thousands of tenge.

13. In the absence of information, the form shall be submitted with zero balances.

Appendix 9
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Footnote. Appendix 9 - is in the wording of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

A form intended to collect administrative data

Report on securities balances of the Ministry of Finance of the Republic of Kazakhstan, on the main accounts of non-residents of the Republic of Kazakhstan Reporting period: as of " _____ " _____ 20__

Index: SBMFN 9

Frequency: quarterly

Submitted by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: quarterly, up to the fifth working day (inclusive) of the month following the accounting quarter

Form

(full name of the organization)

as of " _____ " _____, 20__

			Security identifier (national identification number (NIN))		Volume (in
--	--	--	---	--	------------

№п/п	Name of holder	Country	or international securities identification Number (ISIN) or other security identifier)	Quantity (pieces)	thousands of tenge)
1	2	3	4	5	6
1					
2					
n					

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Executer: _____

 surname, first name, patronymic (if available) (signature)

Phone number _____

The account signing date _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the form of a report on
 securities balances of the Ministry
 of Finance of the Republic of
 Kazakhstan held on the main
 accounts of non-residents
 of the Republic of Kazakhstan

Explanation for completing the form to collect administrative data

Report on securities balances of the Ministry of Finance of the Republic of Kazakhstan, held on the main accounts of non-residents of the Republic of Kazakhstan

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in form intended to collect administrative data "Report on securities balances of the Ministry of Finance of the Republic of Kazakhstan, held on the main accounts of non-residents of the Republic of Kazakhstan "(hereinafter referred to as the Form).

2. The Form shall be developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial organizations".

3. The Form shall be compiled by the central securities depository quarterly at the end of the accounting period. The data in the form shall be filled in thousands of tenge. The amount of less than KZT 500 (five hundred) shall be totaled to 0 (zero), and the amount equal to KZT 500 (five hundred) and above, shall be totaled to KZT 1000 (thousand).

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized to sign the report, and the performer.

Chapter 2. Explanation on completing the form

5. The Form contains information about the holders - non-residents of securities of the Ministry of Finance of the Republic of Kazakhstan. The sign of residence shall be determined in accordance with the Law of the Republic of Kazakhstan dated July 2, 2018 "On Currency Regulation and Currency Control".

6. Column 2 shall indicate the name of the legal entity or surname, name, patronymic, in its existence, of the individual on the possession of securities holders of the Ministry of Finance of the Republic of Kazakhstan.

7. Column 3 shall indicate the country of the securities holder of the Ministry of Finance of the Republic of Kazakhstan.

8. The Securities identifier (national identification number (NIN) or international securities identification number (ISIN) or other identifier of the security) of the Ministry of Finance of the Republic of Kazakhstan shall be specified in column 4.

9. Column 5 shall indicate the number of securities of the Ministry of Finance of the Republic of Kazakhstan held by the securities holder at the end of the accounting period.

10. Column 6 shall indicate the volume of securities of the Ministry of Finance of the Republic of Kazakhstan, held by the securities holder at the end of the accounting period.

11. In the absence of information, the form shall be submitted with zero balances.

Form intended to collect administrative data
Report of the central securities depository's depositors
Reporting period: as of _____ " " , 20__

Footnote. Appendix 10 as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Index: ACDD_10

Frequency: quarterly

Represented by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Deadline for submission: monthly, up to the tenth day (inclusive) of the month following the reporting month

Form

(full name of the organization)
as of " _____ " " , 20__

r/n	Name of depositor	Type and requisites of the license (country name for foreign depositors)	Date		Number of sub-accounts in the nominal holding system at the end of the accounting period	
			Conclusion of the contract of nominal holding	Termination of the contract of nominal holding	Total	Unified pension saving fund and voluntary pension saving funds of the Republic of Kazakhstan (at the expense of pension and own assets)
1	2	3	4	5	6	7
Итого						

continuation of the table:

Number of sub-accounts in the nominal holding system at the end of the accounting period					
Insurance (reinsurance) organizations of the Republic of Kazakhstan (at the	Brokers of dealers of the Republic of Kazakhstan (at	Other licensees of the financial market of the Republic of Kazakhstan (at the	Nominal holders of residents of the Republic of	Nominal holders of non-residents of the Republic of	Other legal entities of residents of the Republic of

expense of own assets)	The expense of own assets)	expense of own assets)	Kazakhstan	Kazakhstan	Kazakhstan
10	11	12	13	14	15

First head or a person authorized to sign the report

 surname, first name, patronymic if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Executer: _____

 surname, first name, patronymic (if available) (signature)

Phone number _____

The account signing date _____, 20____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 To the form of the report on the
 depositors of central securities
 depository

**Explanation for completing the form to collect administrative data
 Report of the central securities depository's depositors**

Chapter 1. General provisions

1. This explanation (hereinafter referred to as -the Explanation) shall define the unified requirements for the completion of the form intended for the collection of administrative data "Account on the Central Securities Depository's Depositors" (hereinafter referred to as the form).

2. The form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations".

3. The Form shall be compiled by central securities depository quarterly at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the account, and a performer.

Chapter 2. Explanation on completing the form

5. The form shall specify the information on the depositor of the central securities depository.

6. Column 3 shall specify the type and requisites of the depositor's license.

7. Column 4, 5 shall indicate the date of conclusion and the date of termination of the contract of nominal holding with the depositor.

8. Column 6 shall specify the total number of sub-accounts in the system of nominal holding of the depositor.

9. Columns from 7 to 19 shall specify the number of sub-accounts in the system of nominal holding of the depositor.

10. In the absence of information, the form shall be submitted with zero balances.

Appendix 11
to resolution of the Board of the
National Bank of the
Republic of Kazakhstan
№ 263 dated October 29,
2018

Form intended to collect administrative data

Report on depositors and their clients

Reporting period: as of _____ " __", 20__

Footnote. Appendix 11 - is in the wording of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Index: RDC 11

Frequency: monthly

Presented by: central depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: monthly, no later than the fifth working day (inclusive) of the month following the accounting month

Form

(full name of the organization)

as of " _____ " , 20__

		Name of	Indication of residency	Client			Sub-
--	--	---------	----------------------------	--------	--	--	------

№ п/п	Sub-account number	depositor (client of depositor)	of the depositor (depositor's client)	type of depositor	Sub-account type	Sub-account opening date	account closing date
1	2	3	4	5	6	7	8
1							

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Performer: _____

 surname, first name, patronymic (if available) (signature)

Phone number _____

The account signing date _____, 20____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the form of the account
 on depositors and their customers

Explanation for completing the form to collect administrative data

Report on depositors and their clients

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in form intended to collect administrative data of "Report on depositors and their clients" (hereinafter referred to as the Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations".

3. The Form shall be compiled by the central securities depository monthly at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the report , and the performer.

Chapter 2. Explanation on completing the form

5. The Form shall specify the information about the depositor of the central securities depository and their clients, including the personal accounts (sub-accounts) of which have been closed.

6. Column 4 shall indicate the sign of residence of the bailor (bailor's client). The sign of residence shall be determined in accordance with the Law of the Republic of Kazakhstan dated July 2, 2018 "On Currency Regulation and Currency Control".

7. Column 5 shall indicate the type of client of the depositor, on whose name the sub-account shall be opened.

8. Column 6 shall indicate the type of sub-account.

9. Column 9 shall indicate the IIN of an individual or BIN of a legal entity.

10. In the absence of information, the form shall be submitted with zero balances.

Appendix 12
to resolution of the Board
of the National Bank of the
Republic of Kazakhstan
№ 263 dated October 29,
2018

Form intended to collect administrative data

Report on securities held in the nominal holding of the central securities depository

Accounting period: as of _____, 20__

Index: ASNH 12

Frequency: quarterly

Submitted by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: quarterly, no later than the fifth working day (inclusive) of the month following the accounting quarter

Form

(full name of the organization)

as of _____, 20__

	Security identifier (national identification)			Number and balance of securities held in the nominal holding of the central securities depository at the end of the accounting
--	---	--	--	--

№ r/n	number (NIN) or international securities identification number (ISIN) or other security identifier)	Type of securities	Issuer name	period and the number of securities holders			
				Total			Second-tier banks of the Republic of Kazakhstan (owners)
				Quantity (pieces)	Balance (tenge)	Number of securities holders	Quantity (pieces)
1	2	3	4	5	6	7	8
Total							

continuation of the table:

Number of securities balances, held in the nominal holding of the central securities depository at the end of the accounting period and the number of securities holders

Insurance (reinsurance) organization of the Republic of Kazakhstan (owners)			Brokers and (or) dealers of the Republic of Kazakhstan (owners who shall not be second-level banks of the Republic of Kazakhstan)			Other licensees of the financial market of the Republic of Kazakhstan (owners)		
Quantity (pieces)	Balance (tenge)	Number of securities holders	Quantity (pieces)	Balance (tenge)	Number of securities holders	Quantity (pieces)	Balance (tenge)	Number of securities holders
11	12	13	14	15	16	17	18	19
...								

continuation of the table:

Number and balance of securities held in the nominal holding of the central securities depository at the end of the accounting period and the number of securities holders

Other legal entities of the Republic of Kazakhstan			Other legal entities - non-residents of the Republic of Kazakhstan			Individuals - residents of the Republic of Kazakhstan	
Quantity (pieces)	Balance (tenge)	Number of securities holders	Quantity (pieces)	Balance (tenge)	Number of securities holders	Quantity (pieces)	Balance (tenge)
20	21	22	23	24	25	26	27

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

surname, first name, patronymic (if available) (signature)
Head of the responsible unit or the person authorized to sign the report

surname, first name, patronymic (if available) (signature)
Performer: _____

surname, first name, patronymic (if available) (signature)
Phone number _____

Signing date of the report _____, 20____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
to the form of the securities report
in nominal holding of central
securities depository

**Explanation for completing the form to collect administrative data
Report on securities held in nominal holding of central securities depository**

Chapter 1. General provisions

1. This explanation (hereinafter referred to as -the Explanation) shall define the unified requirements for filling in form intended to collect administrative data "Report on securities held in nominal holding of central securities depository"(hereinafter referred to as the Form).

2. The Form shall be developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations ".

3. The Form shall be compiled by the central securities depository quarterly as of at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the account, and a performer.

Chapter 2. Explanation on completing the form

5. The Form shall be filled in for each type of securities, which shall be held in nominal holding.

6. The security identifier (national identification number (NIN) or international securities identification number (ISIN) or other security identifier) shall be specified in column 2.

7. Column 3 shall indicate the type of security.

8. The name of the issuer of securities shall be indicated in column 4.

9. Columns 5, 8, 11, 14, 17, 20, 23, 26, 29 shall indicate the number of securities held at the nominal holding of the central securities depository at the end of the accounting period.

10. Columns 6, 9, 12, 15, 18, 21, 24, 27, 30 shall specify the balance of securities in the accounting system of the central securities depository at the end of the accounting period in tenge. The value of securities balances shall be calculated in accordance with the internal documents of the central securities depository.

11. In the absence of information, the form shall be submitted with zero balances.

Appendix 13
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

The Form intended to collect administrative data

Report on securities issued in accordance with the legislation of a foreign state held in the nominal holding of the central securities depository

Accounting period: as of _____ " ____ ", 20__

Index: FSNH_13

Frequency: quarterly

Submitted by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: quarterly, no later than the fifth working day (inclusive) of the month following the accounting quarter

Form

(full name of the organization)

as of " _____ " ____ ", 20__

№ r/n	Security identifier (national identification number (NIN) or international securities identification	Issuer name	Name of a foreign nominal holder	Name of a of nominal holder, who shall be rendered services on nominal holding of securities issued in	Name of the owner of the securities issued in accordance with the
-------	--	-------------	----------------------------------	--	---

	number (ISIN) or other security identifier)			accordance with the legislation of a foreign state	legislation of the foreign state
1	2	3	4	5	6
1					
Total					

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Executer: _____

 surname, first name, patronymic (if available) (signature)

Phone number

The account signing date _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this Form.

Appendix
 to the form for the report on
 securities issued in accordance
 with the legislation of a foreign
 state, in the nominal holding of the
 central securities depository

Explanation for completing the form to collect administrative data

Report on securities issued in accordance with the legislation of a foreign state in the nominal holding of the central securities depository

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended to collect administrative data " Report on securities issued in accordance with the legislation of the foreign state, nominal holding of the central securities depository "(hereinafter referred to as the Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the

Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations ".

3. The Form shall be compiled by the central securities depository quarterly at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the account, and the performer.

Chapter 2. Explanation on completing the form

5. The name of the foreign nominal holder, which render the services of nominal holding of securities of issuers-non-residents of the Republic of Kazakhstan to the central securities depository, shall be indicated in column 4.

6. The name of the broker, who shall be the nominal holder, to whom the central securities depository shall render services on nominal holding of securities of issuers-non-residents of the Republic of Kazakhstan shall be indicated in column 5.

7. The name of the final securities owner issued in accordance with the legislation of a foreign state (surname, name, -patronymic (in its existence) for an individual, name of a legal entity)-the broker's client shall be indicated in column 6, who shall be a foreign nominal holder specified in column 4.

8. In the absence of information, the form shall be submitted with zero balances.

Appendix 14
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Form intended to collect administrative data

Report on the number of holders of shares of investment funds

Accounting period: as of _____, 20__

Footnote. Appendix 14 - is in the wording of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Index: IFNH_14

Frequency: quarterly

Submitted by: central securities depository

Submitted to; the National Bank of the Republic of Kazakhstan

Submission deadline: quarterly, in time no later than the fifth working day (inclusive) of the month following the accounting quarter

Form

(full name of the organization)
as of " _____ " ,20__

№ r/n	Name of investment fund	Name of management company	Name of custodian	ID of the share (the National Identification Number (NIN) or international securities identification number (ISIN) or other identifier of the securities)	1	2	3	4	5
Total number of securities holders of investment funds:									
Total number of holders of shares:									
Total number of shareholders:									

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

surname, first name, patronymic (if available) (signature)

Performer: _____

surname, first name, patronymic (if available) (signature)

Phone number

The account signing date _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
to the form for the report on the
number of shareholders
of investment funds

Explanation for completing the form to collect administrative data Report on the number of shareholders of investment funds

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended to collect administrative data "Report on the number of shareholders of investment funds"(hereinafter referred to as the Form).

2. The Form shall be developed in accordance with sub-paragraph 15) of paragraph 2 of article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations ".

3. The Form shall be compiled by the central securities depository quarterly at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the account, and the performer.

Chapter 2. Explanation on completing the form

5. The Form shall contain the information on the number of shareholders of investment funds.

6. Column 2 shall indicate the name of investment fund.

7. The name of the managing company shall be indicated in column 3.

8. Column 4 shall indicate the name of custodian.

9. The identifier of the share (the national identification number (NIN) or the international securities identification number (ISIN) or other identifier of the security) shall be specified in column 5.

10. The total number of shareholders of the investment funds shall be indicated in column 6.

11. The number of individuals-residents of the units (shares) holders of the investment funds shall be indicated in column 7.

12. The number of individuals-non-residents of the shares of investment funds shall be indicated in column 8.

13. The number of legal entities -residents of shares holders of the investment funds shall be indicated in column 9.

14. The number of legal entities - non-residents units (shares) holders of investment funds shall be indicated in column 10.

15. The sign of residence shall be determined in accordance with the Law of the Republic of Kazakhstan dated July 2, 2018 "On Currency Regulation and Currency Control".

16. In the absence of information, form shall be submitted with zero balances.

Appendix 15
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Footnote. Appendix 15 - is in the wording of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Form intended to collect administrative data

Report on transactions with financial instruments in the nominal holding of the central securities depository

Accounting period: as of _____, 20__

Index: FINH_15

Frequency: monthly

Submitted by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: monthly, no later than the tenth day (inclusive) of the month following the accounting month

Form

(full name of organization)

for the period from _____ to _____

in thousands of tenge

			Volume of signed transactions	
			With	

№ п/п	Market segment	Type of financial instrument	With participation of residents of the Republic of Kazakhstan	With participation of non residents of the Republic of Kazakhstan	participation of residents and non residents of the Republic of Kazakhstan	Total
1	2	3	4	5	6	7
1	Organized securities market					
2	Unorganized securities market					
	Total					

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Performer: _____

 surname, first name, patronymic (if available) (signature)

Phone number _____

The account signing date _____, 20____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the form for the report on
 transactions with
 financial instruments, in nominal
 holding of central securities
 depository

Explanation for completing the form to collect administrative data

Report on transactions with financial instruments in nominal holding of central securities depository

Chapter 1. General provisions

1. This explanation (hereinafter referred to as -the Explanation) shall define the unified requirements for the completion of form intended to collect administrative data, "Report on transactions with financial instruments in nominal holding of central securities depository" (hereinafter referred to as the -Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations".

3. The Form shall be compiled by the central securities depository monthly as of at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the account, and a performer.

Chapter 2. Explanation on completing the form

5. The Form shall specify the information on transactions with financial instruments located in the nominal holding of the central securities depository, which resulted in the change(final) of the owner of the financial instrument for the accounting month.

6. Column 3 shall indicate the type of financial instrument (shares, debt securities issued in accordance with the legislation of the Republic of Kazakhstan, government securities of the Republic of Kazakhstan, securities issued in accordance with legislation of a foreign country, other financial instruments).

7. The volume of transactions (in tenge), up to two decimal places, concluded between the owners of sub-accounts –residents of the Republic of Kazakhstan, with financial instruments held in the nominal holding of the central securities depository shall be indicated in column 4.

8. Column 5 shall indicate the volume of transactions (in tenge), up to two decimal places, concluded between the owners of sub-accounts-non-residents of the Republic of Kazakhstan, with financial instruments located in the nominal holding of the central securities depository.

9. The volume of transactions (in tenge), up to two decimal places, concluded between the owners of sub-accounts –residents of the Republic of Kazakhstan and owners of sub-accounts – non-residents of the Republic of Kazakhstan, with financial instruments held in the nominal holding of the central securities depository.

10. Column 7 shall indicate the total volume of transactions concluded with financial instruments in each segment of the securities market.

11. The sign of residence shall be determined in accordance with the Law of the Republic of Kazakhstan dated July 2, 2018 "On Currency Regulation and Currency Control".

12. In the absence of information, the form shall be submitted with zero balances.

Appendix 16
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Form intended to collect administrative data

Report on transactions with state securities of the Republic of Kazakhstan

Accounting period: as of _____ " ____ ", 20__

Index: GS_16

Frequency: weekly

Presented by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: weekly, no later than the third working day following the accounting week

Form

(full name of the organization)

for the period from _____ to _____

№п/п	Transaction date	Location of the operation (organized/unorganized)	Market type (primary/Second-tier)	Type of securities	Security identifier (national identification number (NIN) or international securities identification number (ISIN) or other security identifier)	Nominal value of securities
	1	2	3	4	5	6
1						
2						
...						
n						

continuation of the table:

			The		Type of	Type of
--	--	--	-----	--	---------	---------

Transaction volume	Issue currency	Security issue date	maturity date of the security	Coupon interest rate	holder of the securities sender	holder of the securities recipient
8	9	10	11	12	13	14
...						

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Performer: _____

 surname, first name, patronymic (if available) (signature)

Phone number

The account signing date _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the form for the report on
 operations with state securities
 of the Republic of Kazakhstan

**Explanation for completing the form to collect administrative data
 Report on transactions with state securities of the Republic of Kazakhstan**

Chapter 1. General provisions

1. This Explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data, "Report on transactions with state securities of the Republic of Kazakhstan" (hereinafter referred to as the Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations ".

3. The Form shall be prepared by the central securities depository weekly on the transactions conducted during the week.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the account, and the performer.

Chapter 2. Explanation on completing the Form

5. The Form shall specify the information on transactions with government securities of the Republic of Kazakhstan in the context of each individual transaction carried out during the week.

6. Columns 1, 10 and 11 shall specify the date of the transaction, the date of issue and redemption of the security in the format: "dd. mm. yyyy".

7. The nominal value of securities in the currency of issue shall be indicated in column 6.

8. The data in column 8 shall be filled in thousands of tenge. The data in form shall be filled in thousands of tenge. The amount of less than KZT 500 (five hundred) shall be totaled to 0 (zero), and the amount equal to KZT 500 (five hundred) and above, shall be totaled to KZT 1000(thousand).

9. Columns 13 and 14 shall indicate the type of holder of the sender or recipient of securities (National Bank of the Republic of Kazakhstan, single saving pension fund or voluntary saving pension fund (investment portfolio), broker and (or) dealer, investment fund, nominal holder, insurance organization in the field "General Insurance", insurance organization in the industry "Life Insurance", second-tier banks, other legal entities, individual, other).

10. In the absence of information, the Form shall be submitted with zero balances.

Appendix 17
to resolution of the Board of the
National Bank of the
Republic of Kazakhstan
№ 263 dated October 29,
2018

Form intended to collect administrative data

Transaction report on financial instrument transfer

Accounting period: as of _____, 20__

Index: 1-REG_TRANSFER

Frequency: quarterly

Submitted by: : central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: quarterly, no later than the thirtieth day of the month following the accounting quarter.

Form

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Issuer name	Business identification number (hereinafter referred to as the BIN) of the issuer	Type of financial instrument	Security identifier (national Identification Number (NIN) or international securities identification number (ISIN) or other security identifier)	Claim Identifier	Nominal value	
					currency	Value of one security
1	2	3	4	5	6	7

table continued:

Redemption date	Type of transaction	Number of financial instrument (pieces)	Value of one financial instrument		Transaction volume (tenge)	Name of the financial instrument holder			
			Currency type	Amount		owner	Individual Identification number (hereinafter referred to as the - IIN)/ BIN or other identification number (for non-residents of the Republic of Kazakhstan) of the owner	Counter-partner	IIN/BIN or other identification number (for non-residents of the Republic of Kazakhstan) counter partner
8	9	10	11	12	13	14	15	16	17
...									

table continuation:

Owner's country of	Country of residence of the	Sector of economy	place	Transaction registration date

residence		counterpartner					
name	Country code	Name	country code	owner	counter partner		
18	19	20	21	22	23	24	25
...							

table continuation:

Number of the order	date of the order	counter order number	counter order date	notes
26	27	28	29	30
...				

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Performer: _____

 surname, first name, patronymic (if available) (signature)

Phone number _____

The account signing date _____, 20____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the form for the report
 on transactions on transfer of
 financial instruments

Explanation for completing the form to collect administrative data

Report on operations of financial instrument transfer

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended to collect administrative data, "Report on transactions on transfer of financial instruments" (hereinafter referred to as the Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On

Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations ".

3. The Form shall be compiled by the central depository quarterly at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the account, and a performer.

Chapter 2. Explanation on completing the Form

5. The Form shall specify the data on operations of debiting(crediting) of securities (rights of claim on obligations of the issuer on issuance securities (hereinafter referred to as the rights of claim) from personal accounts/subaccounts (on personal accounts/sub-accounts) of registered persons .

6. Column 1 shall indicate the name of the issuer, with securities or the rights of the requirements, under the obligations of which the transactions have been concluded.

7. Column 3 shall indicate the type of the financial instrument.

8. Column 4 shall indicate the assigned security identifier (National identification number (NIN) or international securities identification number (ISIN) or other security identifier).

The rights of claim shall specify the security identifier (the national identification number (NIN) or international securities identification number (ISIN) or other security identifier), the term of which have been expired, and the issuer shall not have obligations to repay it.

9. The code for bonds issue and Islamic securities in accordance with the national classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for the Representation of Currencies and Funds" shall be specified in column 6.

10. Column 7 shall indicate the nominal value of bonds and Islamic securities. The bonds shall indicate the value, determined upon its issue, which shall be accrued in percentage interest on the coupon bond, as well as the payable amount to the holder of the bond in case of redemption. Islamic securities shall indicate the value of Islamic securities paid by the investor in case of acquiring Islamic securities within the framework of the primary placement on conditions established by the prospectus of the issue of Islamic securities. The amount shall be specified in the issue currency.

11. The date of redemption of bonds and Islamic securities shall be indicated in column 8 in the format: " dd. mm. yyyy" .

12. Column 9 shall indicate the type of transaction (purchase, sale and other transactions, except for the opening and closing of REPO).

13. Column 10 shall indicate the number of securities or the rights of claims for which the transaction have been carried out.

14. Columns 11 and 12 shall specify the type of currency and the value of one security (right of claims) on which the transaction have been performed in the corresponding currency of the transaction.

15. The volume of transactions in tenge shall be indicated in column 13. In case of a transaction in foreign currency, the price in tenge at the official rate shall be set by the National Bank of Kazakhstan on the date of the transaction is indicated.

16. Columns 14 and 15 shall specify the owner and the IIN/BIN or other identification number (for non-residents Of the Republic of Kazakhstan) of a financial instrument holder from the personal account/sub-account, which shall have written off securities (rights of claims). The name of the legal entity shall be specified by legal entities. For individuals, their surname, name, patronymic (in its existence) shall be specified.

17. Columns 16 and 17 shall specify the counter partner and the IIN/BIN or other identification number (for non-residents of the Republic of Kazakhstan) of the registered person, on the personal account/subaccount of which the securities (rights of claims)are credited. The name of the legal entity shall be specified by legal entities. For individuals, their surname, the name, patronymic (in its existence) shall be specified.

18. Columns 18 and 19 shall specify the name and code of the country of residence of the financial instrument holder, from the personal account/sub-account of which the securities (rights of claims) shall be written off, in accordance with the classifier of the countries of the world, placed on the official Internet resource of the Committee on Statistics of the Ministry of National Economy of the Republic of Kazakhstan.

19. Columns 20 and 21 shall indicate the name and code of the country of residence of the registered person on the personal account/subaccount of which the securities (rights of claims) are credited, in accordance with the classifier of the countries of the world placed on the official Internet resource of the Committee on Statistics of the Ministry of National Economy of the Republic of Kazakhstan

20. Columns 22 and 23 shall specify the name of the sector of economy in accordance with the State Classifier of the Republic of Kazakhstan 03-2007 "General Classifier of Types of Economic Activities (OKVED)". Column 15 shall indicate the holder from the personal account/sub-account, which shall be written off securities (rights of requirements). The column 23 shall be filled by the registered person on the personal account/subaccount, which shall be credited with the securities (rights of claims).

21. The following symbols shall be used in column 24:

"1"-primary placement of securities;

"2"-a secondary circulation of securities or rights of claims.

22. In case of the absence of information, the Form shall be submitted with zero balances.

Appendix 18
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Form intended to collect administrative data

Report on the results of activity on maintaining the system of registers of securities holders

Accounting period: as of _____ " ____", 20__

Index: 1-REG_ACCOUNT

Frequency: quarterly

Submitted by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: quarterly, no later than the thirtieth day (inclusive) of the month following the accounting quarter.

Form

№	Issuer name	Security identifier (national identification number (NIN) Or international Securities identification number (ISIN) or other security identifier)	Identifier requirements of right	Type of financial instrument
1	2	3	4	5
Total				

table continuation:

Date of contract conclusion	Contract termination date	Number of holders of financial instruments and number of financial instruments on personal accounts	
		The central securities depository's depositors	
		Financial instruments (pieces)	(Holders of financial instruments
6	7	8	9

table continuation:

Brokers and (or) dealers of the Republic	
--	--

of Kazakhstan –owners, except for the second level banks)		Single saving pension fund-owners	
financial Instruments (pieces)	holders of financial instruments	financial Instruments (pieces)	holders of financial instruments
10	11	12	13

table continuation:

Second level banks of the Republic of Kazakhstan-owners		Insurance (reinsurance) companies of the Republic ofKazakhstan-owners	
financial Instruments (pieces)	holders of financial instruments	financial Instruments (pieces)	holders of financial instruments
14	15	16	17

table continuation:

Managers of investment portfolio-owners		Other licensees of the financial market of the Republic of Kazakhstan	
financial Instruments (pieces)	holders of financial instruments	financial Instruments (pieces)	holders of financial instruments
18	19	20	21

table continuation:

other legal entities			
Residents		non-residents	
financial Instruments (pieces)	holders of financial instruments	financial Instruments (pieces)	holders of financial instruments
22	23	24	25

table continuation:

Individuals			
non-residents		non-residents	
financial Instruments (pieces)	holders of financial instruments	financial Instruments (pieces)	holders of financial instruments
26	27	28	29

table continuation:

Issuer			
for accounting of declared securities (units)	for accounting of redeemed securities (pieces)	for accounting of redeemed rights requirements for issuer's obligations on issuance securities (pieces)	for accounting of placed issuance securities, non required by their holders (pieces)
30	31	32	33

table continuation:

Total	
financial Instruments (pieces)	holders of financial instruments
34	35

First head or a person authorized to sign the report

surname, first name, patronymic (if available)) (signature)

Chief accountant or a person authorized to sign the report

surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

surname, first name, patronymic (if available) (signature)

Performer: _____

surname, first name, patronymic (if available) (signature)

Phone number

The account signing date _____, 20____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
to the form for the report on the
results activities to conduct
the system of securities holders'
registers

Explanation for completing the form to collect administrative data

Report on the activity results on maintaining the system of registers of securities holders

Chapter 1. General provisions

1. This Explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data, "Report on the activity results on maintaining the system of registers of securities holders"(hereinafter referred to as the Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Central Depository as of at the end of the Accounting Period, Financial Organizations ".

3. The Form shall be drawn up quarterly

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the account, and a performer.

Chapter 2. Explanation on completing the Form

5. The Form shall specify the data on securities and rights requirements for the issuer's obligations on issuance securities (hereinafter referred to as the rights requirements), serviced by the central securities depository.

6. Column 3 shall indicate the assigned security identifier (national identification number (NIN) or international securities identification number (ISIN) or other security identifier).

The rights of the requirements shall specify the security identifier (the national identification Number (NIN) or international securities identification number (ISIN) or other security identifier), the term of which have expired, and the issuer shall not have obligations for redemption.

7. Column 5 shall indicate the type of the financial instrument.

8. Columns 6 and 7, shall indicate dates in the format " date. month. year".

9. Columns 30, 31, 32 and 33 shall specify the number of financial instruments depending on the personal account of the issuer, the accounting of financial instruments of which is carried out.

10. Column 34 shall indicate the number of all financial instruments on the personal accounts of the issuer, the owner or the central securities depository, calculated as the amount of columns 8, 10, 12, 14, 16, 18, 20, 22, 24, 26, 28, 30, 31, 32 and 33.

11. Column 35 shall indicate the number of all financial instrument holders calculated as the amount of columns 9, 11, 13, 15, 17, 19, 21, 23, 25, 27 and 29.

12. In the absence of information, the Form shall be submitted with zero balances.

Appendix 19
to resolution of the Board
of the National Bank of the
Republic of Kazakhstan
№ 263 dated October 29, 2018

Form intended to collect administrative data

Report on voting shares of issuers

Accounting period: as of _____ " ____", 20__

Index: 1-REG_VS

Frequency: monthly

Submitted by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: monthly, no later than the tenth day (inclusive) of the month following the accounting month.

Form

№	Issuer Information				
	Issuer name	Issuer location	Number of the state registration (registration) of the legal entity	Date of state registration (re) of legal entity	Business identification number
1	2	3	4	5	6

table continuation:

Stock release details					
Shares Identifier (national identification number (NIN) or international securities identification number (ISIN) or other security identifier)	Type of shares	Number of pledged shares	Number of placed shares	Number of shares redeemed by the issuer	Number of voting shares
7	8	9	10	11	12
...					

First head or a person authorized to sign the report

surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

surname, first name, patronymic (if available) (signature)

Executer: _____

surname, first name, patronymic (if available) (signature)

Phone number

Signing date of the report _____, 20____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Explanation for completing the form to collect administrative data

Report on voting shares of issuers

Chapter 1. General provisions

1. This Explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data, "Report on voting shares of issuers" (hereinafter referred to as the Form).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations".

3. The Form shall be compiled monthly by the central securities depository at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the report, and a performer.

Chapter 2. Explanation on completing the Form

5. In the Form, the voting shares shall be understood as the placed shares minus the shares redeemed by the issuer.

6. The full official name of the issuer shall be indicated in column 2.

7. In column 5 the date shall be indicated in the format " date. month. year".

8. The type of shares shall be indicated in column 8.

9. In the absence of information, the Form shall be submitted with zero balances.

Appendix 20
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Footnote. Appendix 20 - is in the wording of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 No. 11 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Form intended for collection of administrative data

Shareholders register report

Reporting period: as of _____ " ____", 20__

Index: 1-REG_SR

Frequency: monthly

Submitted by: central securities depository

Submitted to: the National Bank of the Republic of Kazakhstan

Submission deadline: monthly, no later than the twentieth day of the month following the accounting month.

Form

Table 1. Information about issuers and issue of shares

№	Issuer name	Business identification number (hereinafter referred to as th BIN) of the issuer	Number of pledged shares	
			Basic shares	Preferred shares
1	2	3	4	5

table continuation

Number of shares placed		Number of voting shares	Number of shares redeemed by the issuer	
basic shares	preferred shares		basic shares	preferred shares
6	7	8	9	10

Table 2. Register of shareholders

№	Issuer name	BIN Issuer	Surname, first name, patronymic (in its existence) of the individual or the name of the legal entity-holder of shares	individual / legal entity	Individual Identification number (hereinafter referred to as the -IIN)/BIN or other identification number (for non-residents of the Republic of Kazakhstan)
1	2	3	4	5	6

table continuation

Type of shareholder	Country of residence			Share type	Security Identifier (national identification number (NIN) or international securities identification number (ISIN) or other security identifier)
	name	Country code	Offshore zone (yes/no)		
7	8	9	10	11	12

table continuation

Number of shares of the issuer on the personal account of the shareholder	Ratio of shares owned by the shareholder to
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	Issuer name	BIN issuer	Type of shares		Type of transaction	Number of shares	Currency type	Amount	transaction (tenge)	Shares owner
1	2	3	4	5	6	7	8	9	10	11

table continuation:

IIN/BIN or other identification number (for non-residents of the Republic of Kazakhstan) of the shareholder	Country of residence of the shareholder		counterpartner	IIN/BIN or other identification number (for non-residents of the Republic of Kazakhstan) counterpart	Country of residence of the counterpart of the shares		Date of transaction registration	Note
	name	country code			name	country code		
12	13	14	15	16	17	18	19	20

First head or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Chief accountant or a person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Head of the responsible unit or the person authorized to sign the report

 surname, first name, patronymic (if available) (signature)

Executer: _____

 surname, first name, patronymic (if available) (signature)

Phone number

Signing date of the report _____, 20_____

Note: an explanation for completion of the form for the collection of administrative data, provided in the appendix to this form.

Appendix
 to the registry report form
 of shareholders

Explanation for completing the form to collect administrative data

Report on the register of shareholders

Chapter 1. General provisions

1. This Explanation (hereinafter referred to as the Explanation) shall define the unified requirements for filling in the form intended to collect administrative data " Report on the register of shareholders" (hereinafter referred to as theForm).

2. The Form has been developed in accordance with subparagraph 15) of paragraph 2 of Article 3 of the Law of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of the Financial Market and Financial Organizations ".

3. The Form shall be compiled monthly by the central securities depository as of at the end of the accounting period.

4. The Form shall be signed by the first head, chief accountant, head of the responsible subdivision or persons authorized by them to sign the report, , and the performer.

Chapter 2. Explanation on completing the Form

5. The form discloses the structure of shareholders of the following financial institutions:

1) second-tier banks;

2) organizations carrying out certain types of banking operations, with the exception of legal entities, the exclusive activity of which is organization of exchange operations with foreign currency in cash, legal entities, the exclusive activity of which is collection of banknotes, coins and valuables, and organizations providing services to ensure information, telecommunications and technological interaction between the participants of banking settlements, including settlements on transactions with payment cards;

3) insurance (reinsurance) organizations;

4) investment portfolio managers;

5) bank holdings and major participants-legal entities.

6. The Form shall be filled in for each type of financial organizations referred to in paragraph 5 separately.

7. Table 1 shall indicate the name of issuers, business identification numbers, as well as the number of declared, placed, voting and redeemed shares of the issuer.

8. Table 2:

1) in column 4 the owner and (or) nominal shareholder shall be specified, taking into account disclosure of the information about the owners, whose shares shall be in nominal holding and information, which shall be available in the central securities depository accounting system.

In case of having information about the owners whose shares are in nominal holding, it shall be necessary to fill in the table taking into account these details without specifying the nominal holder;

2) the subject of civil law shall be specified in column 5: an individual or a legal entity;

3) in column 6 the IIN/BIN or other identification number of the shareholder (for non-residents of the Republic of Kazakhstan) shall be specified. Filling in IIN/BIN of the shareholder -resident of the Republic of Kazakhstan shall be obligatory;

4) Column 7 shall indicate the type of the shareholder: owner or nominal holder;

5) in columns 8 and 9 the name and code of the country shall be specified in accordance with the classifier of the countries of the world, placed on the official Internet resource of the Committee on Statistics of the Ministry of National Economy of the Republic of Kazakhstan;

6) in column 10, information is determined in accordance with the Resolution of the Board of the Agency of the Republic of Kazakhstan for the regulation and development of the financial market dated February 24, 2020 No. 8 "On establishing the List of offshore zones for the purposes of banking and insurance activities, activities of professional participants in the securities market and other licensed types of activities in the securities market, activities of joint-stock investment funds and activities of organizations engaged in microfinance activities" (registered in the Register of state registration of regulatory legal acts under No. 20095);

7) The type of share shall be indicated in column 11: simple or privileged ones;

8) The information on the details of the shareholder's document, the place of registration and the place of residence (or location) of the shareholder shall be specified in column 20.

9. Table 3 shall specify the information on all shares of issuers, which shall be encumbered, blocked or transferred to trust management at the accounting date in accordance with the register of shareholders.

10. Table 3:

1) the following symbols shall be used in column 8:

"1"-Information about the issuer's shares in the encumbrance;

"2"-Information about the blocked shares of the issuer;

"3"-Information about the shares of the issuer, transferred to the trust management;

"4"-Information on shares that shall be the object of REPO transactions.

2) in columns 9 and 10, surname, first name and patronymic (in its existence) or name, IIN/BIN or other identification number (for non-residents of the Republic of Kazakhstan) of the person in favor of whom the encumbrance shall be effected;

3) in columns 11 and 12, shall be indicated the surname, first name and patronymic (in its existence) or name, IIN/BIN or other identification number (for non-residents of

the Republic of Kazakhstan) of the person in favor of whom the transfer to the trust management carried out ;

4) The basis for encumbrance, blocking and transfer to trust management with indication of the name and requisites of supporting documents shall be indicated in column 13.

Table 3 shall also specify the information on shares that are the object of REPO transactions.

11. Table 4:

1) the name of the issuer shall be indicated in column 2, with the shares for which the transactions have been concluded;

2) the type of transaction (purchase, sale and other transactions, except for operations of opening and closing REPO) shall be specified in column 6;

3) in column 7 shall be indicated the number of shares on which the transaction have been carried out ;

4) in column 8 and 9 shall be indicated the type of currency and the value of one share for which the transaction have been carried out in the corresponding currency of the transaction;

5) The volume of transactions (in tenge) shall be indicated in column 10;

6) The owner of the share from the personal account, whose shares have been written off, shall be indicated in column 11. The name of the legal entity shall be specified by legal entities. On individuals the surname, the name, patronymic (in its existence) shall be specified;

7) in columns 13 and 14 shall be indicated the name and code of the country of residence of the shareholder, from the personal account of whom the shares have been written off, in accordance with the classifier of countries of the world, placed on the official Internet resource of the Committee on Statistics of the Ministry of National Economy of the Republic of Kazakhstan;

8) in column 15 a counter partner shall be indicated on whose account the shares are credited . The name of the legal entity shall be specified by legal entities. On individuals the surname, the name, patronymic (in its existence) shall be specified;

9) in columns 17 and 18 shall be indicated the name and code of the country of residence of the registered person, on whose account the shares shall be credited, in accordance with the classifier of the countries of the world, placed on the official Internet resource of the Committee on Statistics of the Ministry of National Economy of the Republic of Kazakhstan;

10) The date of registration of the transaction in the format " dd. mm. yyyy" shall be specified in column 19.

In table 4 the data on transactions of debiting (crediting) of shares from personal accounts (on personal accounts) of the registered persons, except for the data on operations of opening and closing of REPO shall be specified.

12. In the absence of information, the form shall be submitted with zero balances.

Appendix 21
to resolution of the Board
of the National Bank
of the Republic of Kazakhstan
№ 263 dated October 29, 2018

Rules for submission of the report by the central securities depository

1. The Rules for submission of the report by the central securities depository have been developed in accordance with the Laws of the Republic of Kazakhstan dated July 2, 2003 "On the Securities Market" and dated 4 July 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations " and shall determine the procedure of accounting by the central securities depository to the National Bank of the Republic of Kazakhstan (hereinafter referred to as the authorized body).

2. The central securities depository shall submit the accounting to the authorized body in electronic format.

3. The data in the report shall be specified in the national currency of the Republic of Kazakhstan-tenge.