

**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 depositary 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.

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|
*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

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|   | 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.

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|   | 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

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|   | Form |

      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

      (full name of the organization)

|  |  |
| --- | --- |
|   | (in thousands, KZT) |

|  |  |  |
| --- | --- | --- |
|
№ 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.

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|   | 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.

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|   | 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 depositary 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

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|   | 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) of individual
  |
Business identification
number (for a legal entity),
individual identification
 number (for an individual, including an individual
entrepreneur)  |
Country of residence  |
The indication
 that a person
 is related to
 a person
associated with
 specific
relationshiphip
with
central
securities depositary  |
Type
 of
operation |
Purpose
 of the
 transaction |
№ contract  |
Date of
 conclusion
 (date of
commencement of conditions)
 of the
contract  |
|
1 |
2 |
3 |
4 |
5 |
6 |
7 |
8 |
9 |
|  |  |  |  |  |  |  |  |  |
|  |
Total |  |  |  |  |  |  |  |

      table continuation

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|
Expiry
date
(expiry date
of the terms)
 of the agreement  |
Requisites of the
 decision of the
Board of Directors
of central depository
or general meeting
of shareholders
 (in case of absence of the Board of
 Directors)  |
Agreement transaction
amount
(in thousands of
tenge)  |
Currency type  |
Type of collateral  |
Cost of
collateral
(in thousands
of tenge)  |
Reward (percentage annual)  |
|
Total |
of which
the
 cost of collateral
included in the
calculation of
reserves (provisions)
in accordance with
 the requirements
of international
 financial
Accounting standards  |
Personconnected
with the
central securities
depositary by
specific relationship  |
The central securities
depository in
 favor of the
person
connected
with the
 central securities
depository
with
specific relationship  |
In
accordance
 with the
internal
documents
of the
central depository  |
|
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
an individual
entrepreneur)  |
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
 central securities
depositary  |
|
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.

|  |  |
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|   | 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**
**depositary 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 depositary 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 depositary 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 depositary, 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 depositary by specific relationship, Column 26 of the Table 1, shall provide: "A person is tied to a central securities depositary, 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.

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|   | 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

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|   | Form  |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
**(full name of the organization)**
**for the period from \_\_\_ to \_\_\_\_\_**

|  |  |
| --- | --- |
|   | in thousands of tenge  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|
№ r/n |
Type of
securities  |
Number of
securities
issue  |
Volume
of
securities  |
Number
of
securities  |
Annual
 yield of
 securities  |
The maturity
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

|  |  |
| --- | --- |
|   | Form  |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
**(full name of the organization)**
**for the period from \_\_\_ to \_\_\_\_\_**

|  |  |
| --- | --- |
|   | in thousands of tenge  |

|  |  |  |  |
| --- | --- | --- | --- |
|
№ r/n |
Type of
securities/
Sectors
and sub-sectors
of the
economy  |
Balance on the
main accounts at the beginning  |
Purchased  |
|
Total |
In the primary market  |
|
Quantity (pieces)  |
Amount
of denomination
value  |
Quantity
 (pieces)  |
Amount of
 discounted value  |
Quantity
 (pieces)  |
Amount of
discounted
value  |
|  |
1 |
2 |
3 |
4 |
5 |
6 |
7 |
|
1 |  |  |  |  |  |  |  |
|
… |  |  |  |  |  |  |  |
|
n |  |  |  |  |  |  |  |
|  |
Total
securities  |  |  |  |  |  |  |
|  |
Sectors
and
sub-sectors
of the
economy  |  |  |  |  |  |  |
|  |
Non-residents  |  |  |  |  |  |  |
|  |
Total residents-non-resident  |  |  |  |  |  |  |
|  |
Depositors  |  |  |  |  |  |  |

      continuation of the table:

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

      continuation of the table:

|  |
| --- |
|
Implemented  |
|
Total |
Direct sale  |
Repurchase agreement, REPO |
|
Quantity (pieces) |
Amount of
discounted
 value |
Quantity (pieces) |
Amount of
discounted
 value |
Quantity (pieces ) |
Amount of
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  |
|
 in the pri
mary market  |
 in the secon
dary market  |
Repurchase agreement,
REPO |
|
Quantity (pieces ) |
Amount
(denomination
value) |
Quantity (pieces ) |
Amount
(denomination
value) |
Weight ed
 average rate  |
Weight
ed
 average dura
tion  |
|
28 |
29 |
30 |
31 |
32 |
33 |
34 |
35 |
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 … |  |  |  |  |  |  |  |

      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 on transactions with state securities of theRepublic of Kazakhstan by sector and sub-sector of the economy  |

 **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 hundred0 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.

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|   | 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

|  |  |
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|   | Form  |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
**(full name of the organization)**
**for the period from \_\_\_ to \_\_\_\_\_**

|  |  |
| --- | --- |
|   | in thousands of tenge  |

|  |  |  |  |
| --- | --- | --- | --- |
|
№ r/n |
Type of
securities/
sectors
and sub-sectors
of the
economy  |
Balance on the main accounts at the beginning |
Purchased  |
|
Total |
 In the first market |
|
Number (pieces) |
Amount
(nominal value) |
Number (pieces) |
Amount of
 discounted value |
Number (pieces) |
Amount of
discounted value |
|  |
1 |
2 |
3 |
4 |
5 |
6 |
7 |
|
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:

|  |  |  |  |
| --- | --- | --- | --- |
|
On pledge operations |
Balance of the
 deposit amount
at the end
of the period  |
Balance on
 the main
accounts at
the end of
 the period |
Yield  |
|
On the
primary
market  |
On the
secondary market  |
Repurchase agreement,
REPO |
|
Number (pieces) |
Amount of
 discounted value |
Number (pieces) |
Amount
(deno
mina
tion
value) |
Number (pieces) |
Amount
(deno
mina
tion
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 hundred0 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.

|  |  |
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|   | 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

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|   | Form  |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
**(full name of the organization)**
**as of "\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_" , 20\_\_**

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Name/
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Type
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Sector
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Secu
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or
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      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 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 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 hundred0 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.

|  |  |
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|   | Appendix 8 to resolution of the Board of the National Bank of the Republic of Kazakhstan № 263 dated October 29, 2018  |

 **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\_\_**

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№r/n |
Date of issue  |
Type
of secu
ri
ties  |
Num
ber of
secu
ri
ties (pieces)  |
Secu
rity
identi
fier
(nation
nal
 identi
fica
tion
number
(NIN)
or
inter
na
tional
iden
tifi
cation number
(ISIN) or other
 secu
rity
identi
fier)  |
Tran
sac
tion date  |
Type
 of ope
ra
tion  |
Va
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one secu
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Vol
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of
sec
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(in
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sands
tenge
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7 |
8 |
9 |  |
10 |  |
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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.

|  |  |
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|   | Appendix to the transaction report form with securities of localexecutive 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.

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|   | 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

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|   | Form  |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
 **(full name of the organization)**
**as of "\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_" "\_\_\_", 20\_\_**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|
№п/п |
Name of holder  |
Country  |
Security identifier (national
identification number (NIN)
or international securities identification Number (ISIN) or other security identifier)  |
Quantity (pieces)  |
Volume (in
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.

|  |  |
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|   | 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. 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.

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|   | Appendix 10 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 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

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|   | Form  |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
 **(full name of the organization)**
**as of "\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_" "\_\_\_", 20\_\_**

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| --- | --- | --- | --- | --- |
|
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:

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|
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
expense of own assets)
  |
Brokers of dealers
of the Republic of
Kazakhstan (at
 The expense of own assets)  |
Other licensees
of the financial
 market of the
Republic of
Kazakhstan
 (at the
expense
of own assets)  |
Nominal
holders
 of residents
of the
 Republic of
Kazakhstan  |
Nominal
holders of
non-residents
of the
Republic of
Kazakhstan  |
Other legal
entities of
residents
of the
Republic of
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.

|  |  |
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|   | 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 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 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.

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|   | 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

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|   | Form |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
**(full name of the organization)**
**as of "\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_" , 20\_\_**

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| --- | --- | --- | --- | --- | --- | --- | --- |
|
№ п/п |
Sub-account
number  |
Name of
depositor
 (client of
depositor)  |
Indication
of residency
of the
depositor
(depositor's
 client)  |
Client
 type
of
depositor  |
Sub-account
type |
Sub-account
opening date |
Sub-
account
 closing
date  |
|
1 |
2 |
3 |
4 |
5 |
6 |
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8 |
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      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 refered 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

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|   | Form  |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
**(full name of the organization)**
**as of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ , 20\_\_**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|
№ r/n |
Security identifier
(national
 identification
 number (NIN)
 or international
securities identification
 number (ISIN)
or other
 security
identifier)  |
Type of
 securities  |
Issuer
name |
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  |
|
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.

|  |  |
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|   | 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

|  |  |
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|   | Form  |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
**(full name of the organization)**
**as of "\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_""\_\_\_", 20\_\_**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|
№ r/n |
Security identifier
 (national
identification
 number (NIN)
or international
 securities identification
 number (ISIN) or
 other security
identifier)  |
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
accordance
with the
legislation
of a foreign
state  |
Name of the
 owner of the
securities
issued in
 accordance
 with the
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.

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

|  |  |
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|   | 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

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|   | 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 |
|
1 |  |  |  |  |
|  |  |  |  |  |
|
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 asthe 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

|  |  |
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|   | Form  |

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
**(full name of organization)**
**for the period from \_\_\_\_\_\_\_\_\_ to \_\_\_\_\_\_\_\_\_**

|  |  |
| --- | --- |
|   | in thousands of tenge |

|  |  |  |  |
| --- | --- | --- | --- |
|
№ п/п |
Market segment  |
Type of
financial
instrument  |
Volume of signed transactions  |
|
With
 participation
 of residents
of the
Republic of
Kazakhstan  |
With
 participation
 of non residents
of the
Republic of
Kazakhstan |
With
 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 depositary  |

 **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:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|
Transaction
volume  |
Issue
currency  |
Security
 issue
 date  |
The
maturity
 date
of the
security  |
Coupon
 interest
rate  |
Type of
holder
of the
securities
sender  |
Type of
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  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|
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  |
Tran
saction
volume
(tenge)  |
Name of the financial instrument holder  |
|
Cur
rency 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 continution:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|
Owner's
 country
 of
residence  |
Country
 of
 residence
of the
 counterpartner |
 Sector of economy |
place |
Transaction
registration date |
|
name |
Country
code |
Name |
country
code |
owner |
counter
partner |
|
18 |
19 |
20 |
21 |
22 |
23 |
24 |
25 |
|
 … |  |  |  |  |  |  |  |

      table continution:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|
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 asthe 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.

|  |  |
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|   | 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 asthe 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 Boardof 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.

|  |  |
| --- | --- |
|   | Appendix to account form voting shares of issuers  |

 **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 theForm).

      2. The Form hasbeen 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 dared 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 20to resolution of the Boardof the National Bankof 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
 the number of shares of the issuer (percentage)  |
More information  |
|
total |
including: |
|
number
of shares of
 the issuer on
 the personal
account of
 the holder of
the shares
in the disencumbrance |
number of
 blocked
 shares of
the issuer
on the
 personal
account
of the
shareholder  |
number
 of shares
of the
 issuer
on the
personal
account
of the
share holder
 transferred
to the
trust
management  |
total |
voting |
placed
 (minus
 preferred
and
redeemed
by the
company
shares)  |
|
13 |
14 |
15 |
16 |
17 |
18 |
19 |
20 |
|  |  |  |  |  |  |  |  |

      Table 3. Information on shares that have been encumbered, blocked or transferred to trust management

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|
№ |
Issuer
name  |
BIN Issuer |
Surname,
 first name,
patronymic
(in its existence)
of the
individual or the name of
 the legal entity-holder of shares  |
IIN/BIN or
 other
identification
 number
(for non-residents
of the Republic
of Kazakhstan)  |
Security
identifier
 (national
 identification
 number (NIN)
 or
international securities
identification
number (ISIN)
or other
 security identifier)  |
Number
of
shares |
|
1 |
2 |
3 |
4 |
5 |
6 |
7 |
|  |  |  |  |  |  |  |

      table continuation:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|
Status |
Surname,
first name,
 patronymic
(in its existence)
 or the name
 of the person in
favor of which
 the encumbrance
 has been effected |
IIN/BIN
or other
identification
 number
(for non-residents
 of the Republic
 of Kazakhstan)  |
Surname,
 first name,
patronymic
 (in its existence) or
name of
trustee |
IIN/BIN or
other
 identification
number
(for non-residents
of the Republic
 of Kazakhstan)  |
Basis |
|
8 |
9 |
10 |
11 |
12 |
13 |
|  |  |  |  |  |  |

      Table 4. Report on transactions with shares of the issuer

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|
№ п/п |
Issuer name |
BIN issuer |
Type of shares |
ISIN |
Type of transaction |
Number of shares |
Amount for one share |
Volume of transaction (tenge) |
Shares owner |
|
Currency type  |
Amount  |
|
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 share
 holder  |
Country of residence of the shareholder |
counterpartner |
IIN/BIN or other identification number (for non-residents of the Republic of Kazakhstan) counter partner |
Country of
residence of
the counter
partner 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 21to 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 depositary**

      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.

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