



**On approval of the Rules for provision by the banks of information about direct and indirect participation in authorized capitals of legal entities, in which the banks are major participants**

*Unofficial translation*

Resolution of the Managing Board of the National Bank of the Republic of Kazakhstan dated November 28, 2019 № 212. Registered with the Ministry of Justice of the Republic of Kazakhstan on December 4, 2019 № 19694. The resolution of the Board of the National Bank of the Republic of Kazakhstan of February 22, 2021 № 12 has ceased to be in force.

**Unofficial translation**

Footnote. It became invalid by Resolution № 12 of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 (effective ten calendar days after the date of its first official publication).

In accordance with Законом of the Republic of Kazakhstan dated August 31, 1995 "On banks and banking activities in the Republic of Kazakhstan", the Managing Board of the National Bank of the Republic of Kazakhstan **HEREBY RESOLVES**:

1. To approve the attached Rules for provision by the banks of information about direct and indirect participation in authorized capitals of legal entities, in which the banks are major participants.
2. The Department of Financial Market Statistics, in accordance with the procedure, established by the legislation of the Republic of Kazakhstan, shall ensure:
  - 1) jointly with the Legal Department, state registration of this resolution with the Ministry of Justice of the Republic of Kazakhstan;
  - 2) placement of this resolution on the official Internet resource of the National Bank of the Republic of Kazakhstan after its official publication;
  - 3) within ten working days after state registration of this resolution, submission to the Legal Department of information about implementation of activities, prescribed by subclause 2) of this clause and clause 3 of this resolution.
3. The Department of External Communications – press-service of the National Bank shall ensure within ten calendar days after the state registration of this resolution, submission of its copy to the official publication to the printed periodicals.
4. Control over execution of this resolution shall be entrusted to the deputy Chairman of the National Bank of the Republic of Kazakhstan Abylkassymov M.Ye.
5. This resolution shall come into force from January 1, 2020 and is subject to official publication.

*Chairman of the National Bank*

*Ye. Dossayev*

Approved by the resolution  
of the Managing Board

## **Rules**

### **for provision by the banks of information about direct and indirect participation in authorized capitals of legal entities, in which the banks are major participants**

#### **Chapter 1. General provisions**

1. These Rules for provision by the banks of information about direct and indirect participation in authorized capitals of legal entities, in which the banks are major participants (hereinafter referred to as the Rules), have been developed in accordance with the Law of the Republic of Kazakhstan dated August 31, 1995 "On banks and banking activities in the Republic of Kazakhstan" and shall establish the procedure for the provision by the banks of any requested by the authorized body for regulation, control and supervision of financial market and financial organizations (hereinafter referred to as the authorized body) and the National Bank of the Republic of Kazakhstan (hereinafter referred to as the National Bank) of information about direct and indirect participation in authorized capitals of legal entities, in which the banks are the major participants.

#### **Chapter 2.**

### **Procedure for provision by the banks of information about direct and indirect participation in authorized capitals of legal entities, in which the banks are major participants**

2. The Bank shall provide any information, at the request of the authorized body, of the National Bank, on direct and indirect participation in the authorized capital of legal entities in which banks are major participants, with the attachment of all the necessary information and documents.

3. The request of the authorized body, the National Bank for the provision of information on direct and indirect participation in the authorized capital of legal entities in which banks are major participants, shall be considered by the bank within the time limits established by article 8 of the Law of the Republic of Kazakhstan dated January 12, 2007 "On the procedure for considering applications of individuals and legal entities".

4. Information, requested according to clause 3 of the Rules, shall be submitted by the bank to the authorized body, the National Bank in writing with a cover letter signed by the first head of the bank or a person authorized by him/her.

5. The accuracy and completeness of the information provided shall be ensured by the first head of the bank or a person authorized by him/her.