



On approval of the Rules for the provision by the collection agency of information on persons , individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a collection agency

Unofficial translation

Resolution of the Managing Board of the National Bank of the Republic of Kazakhstan dated December 31, 2019 No. 273. Registered with the Ministry of Justice of the Republic of Kazakhstan on January 15, 2020 No. 19876

Unofficial translation

The terms for provision of reporting shall be extended during the period of the state of emergency introduced by the Decree of the President of the Republic of Kazakhstan dated 15.03.2020 No. 285 "On the introduction of a state of emergency in the Republic of Kazakhstan" in accordance with the resolution of the Managing Board of the National Bank of the Republic of Kazakhstan dated 31.03.2020 No. 42 (shall come into force from the date of its first official publication).

In accordance with the laws of the Republic of Kazakhstan dated March 19, 2010 "On state statistics" and from May 6, 2017 "On collection activity" the Managing Board of the National Bank of the Republic of Kazakhstan **HEREBY RESOLVES:**

1. To approve the attached Rules for the provision by the collection agency of information on persons, individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a collection agency.

2. To recognize as invalid:

1) resolution of the Managing Board of the National Bank of the Republic of Kazakhstan dated June 30, 2017 No. 121 "On approval of the Rules for the provision by the collection agency of information on persons, individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a collection agency" (registered in the Register of State Registration of Regulatory Legal Acts as No. 15557, published on September 5, 2017 in the Reference Control Bank of Regulatory Legal Acts of the Republic of Kazakhstan);

2) clause 12 of the List of regulatory legal acts of the Republic of Kazakhstan on the issues of regulation of financial market, which is amended by the resolution of the Managing Board of the National Bank of the Republic of Kazakhstan dated July 30, 2018 No. 157 "On amendments to some regulatory legal acts of the Republic of Kazakhstan on the regulation of the financial market" (registered in the Register of State Registration of Regulatory Legal

Acts as No. 17559, published on October 22, 2018 in the Reference Control Bank of Regulatory Legal Acts of the Republic of Kazakhstan).

3. The Department of Methodology and Regulation of Financial Organizations, 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 measures, stipulated by subclause 2) of this clause and clause 4 of this resolution.

4. 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.

5. Control over execution of this resolution shall be entrusted to the deputy Chairman of the National Bank of the Republic of Kazakhstan Smolyakov O.A.

6. This resolution shall come into force from January 1, 2020 and is subject to official publication.

*Chairman
of the National Bank*

Ye. Dossayev

" A G R E E D "

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

_____ 2019

Approved by the resolution
of the Managing Board of the National Bank
of the Republic of Kazakhstan
dated December 31, 2019 No. 273

**Rules
for the provision by the collection agency of information on persons, individually or jointly with another (other)
person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in
the authorized capital of a collection agency**

1. These Rules for the provision by the collection agency of information on persons, individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a

collection agency (hereinafter referred to as the Rules), have been developed in accordance with the Law of the Republic of Kazakhstan dated May 6, 2017 "On collection activity" (hereinafter referred to as the Law on collection activity) and shall establish the procedure for the provision by the collection agency to the authorized body for regulation, control and supervision of the financial market and financial organizations (hereinafter referred to as the authorized body) of information on persons, individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a collection agency.

2. Information on persons, individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a collection agency, in the form, according to the Appendix to the Rules (hereinafter referred to as the Information) shall be submitted to the authorized body in the electronic format.

3. In the event that no changes were made to the Information in the reporting month, then the submission of the Information to the authorized body is not required.

4. Information on paper shall be signed by the chief executive officer, chief accountant or persons authorized to sign, the performer and stored in the collection agency.

5. The identity of the data provided in electronic format with the data on paper is ensured by the chief executive officer, chief accountant or persons authorized to sign.

Appendix
to the Rules for the provision by the collection
agency
of information on persons, individually or jointly
with
another (other) person (s) directly or indirectly
owning
and (or) using, and (or) having control of ten or
more percent
of shares in the authorized capital of a collection
agency

Form intended for collecting the administrative data

To be submitted to: the authorized body

The form of administrative data is placed on the Internet resource of the authorized body for regulation, control and supervision of the financial market and financial organizations

Information on persons, individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a collection agency

Index: LKAUK_1

Periodicity: monthly

Reporting period: as of _____ 20__

Scope of persons, representing: collection agency

Date of presentation: monthly, no later than the 10th (tenth) day of the month following the reporting month

Table 1. Information on persons, individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a collection agency (hereinafter referred to as the member (owner))

No.	Business identification number (for a legal entity), individual identification number (for an individual) or other identification number (for non-residents of the Republic of Kazakhstan)	Residency	Name	Information on the presence of an outstanding or unexpunged conviction (for an individual) (yes (no) , a brief description of the offense, crime , details of the sentence on bringing to criminal responsibility, indicating the grounds for bringing to responsibility)	Information about the founder (shareholder, participant) or executive employee who was previously the first head or founder (participant) of a collection agency in the period not more than one year before the authorized body makes a decision to exclude this collection agency from the register on the grounds provided for in subclauses 1), 2), 3), 4), 5), 6) and 7) of part one of clause 1 of article 9 of the Law of the Republic of Kazakhstan dated May 6, 2017 " On collection activity"	Description of the type of activities
1	2	3	4	5	6	7

Table continued:

The ratio of the shares of participation belonging to the participant (owner) to the total					
Individually					
Directly		Indirectly			
Participation interest in the authorized capital of the collection agency (in percent)	Participation interest in the authorized capital of the collection agency (in tenge)	Participation interest in the authorized capital of the collection agency (in percent)	Participation share in the organization through which the participant (owner) owns participation interests in the authorized capital of the collection agency (in percent)	Number of owned shares / participation interests (pieces / in tenge)	The name of the organization through which indirect ownership is carried out
8	9	10	11	12	13

Table continued:

Amount of participation interests in the authorized capital of the collection agency					
Jointly					
Directly		Indirectly			
Participation interest in the authorized capital of the collection agency (in percent)	Participation interest in the authorized capital of the collection agency (in tenge)	Participation interest in the authorized capital of the collection agency (in percent)	Participation share in the organization through which the participant (owner) owns participation interests in the authorized capital of the collection agency (in percent)	Number of owned shares / participation interests (pieces / in tenge)	The name of the organization through which indirect ownership is carried out

Table 2. List of persons, who carry out control over the collection agency

No.	Business identification number (for a legal entity), individual identification number (for an individual) or other identification number (for non-residents of the Republic of Kazakhstan)	Name of a legal entity or last name, first name, patronymic (if any) of an individual, (information on the presence of an outstanding or unexpunged conviction)	Grounds for control	Information about organizations in which the person exercising control over the collection agency owns more than 20 (twenty) percent of voting shares (participation interests in the authorized capital)	
				Name of organization	Ownership percentage of shares (in the authorized capital)
1	2	3	4	5	6

Name _____

Address _____

Telephone _____

E-mail _____

Executor _____

 surname, name, patronymic (if any) signature, telephone

Chief accountant, or a person, authorized by him/her to sign the report

 surname, name, patronymic (if any) signature, telephone

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

 surname, name, patronymic (if any) signature, telephone

Date " ____ " _____ 20__

Note: An explanation of how to fill out the form for collecting administrative data is given in the appendix to this form.

Appendix to the form of
information on persons, individually or jointly
with another (other) person (s) directly or
indirectly
owning and (or) using, and (or) having control
of ten or more percent of shares in the authorized
capital of a collection agency

Explanation on filling out the form, intended for collecting the administrative data

Information on persons, individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a collection agency

Chapter 1. General provisions

1. This explanation (hereinafter referred to as the Explanation) shall determine uniform requirements on filling out the form, intended for collecting the administrative data, "Information on persons, individually or jointly with another (other) person (s) directly or indirectly owning and (or) using, and (or) having control of ten or more percent of shares in the authorized capital of a collection agency" (hereinafter referred to as the Form).

2. The Form has been developed in accordance with subclause 18) of clause 1 of article 15 of the Law of the Republic of Kazakhstan dated May 6, 2017 "On collection activity".

3. The form is to be filled out monthly by the collection agency. The data in the Form shall be indicated in thousand tenge. The sum less than 500 (five hundred) tenge shall be rounded up to 0 (zero), and the sum equal to 500 (five hundred) and above, shall be rounded up to 1000 (one thousand) tenge.

4. The form shall be signed by the first head, chief accountant, or persons, authorized by them for signing the report, and the executor.

Chapter 2. Explanation on filling out the Form

5. For legal entities, in table 1, the information on persons directly or indirectly owning and (or) using shares or participation interests in the authorized capital of a collection agency through the information about individuals, owning more than twenty-five percent of participation interests in the authorized capital, or placed (excluding privileged and repurchased by the company) of shares of the participant (owner), shall be indicated.

6. The graph 3 of table 2 shall indicate the presence of outstanding or an unexpunged conviction or information on whether the person is or has been criminally prosecuted (except for persons whose criminal prosecution was terminated based on clauses 1) and 2) of part one of article 35 of the Criminal Procedural Code of the Republic of Kazakhstan dated July 4, 2014) for criminal offences against the person, family and underage, constitutional and other human and citizen rights and freedoms, grounds of constitutional order and state security, property, public security and public order, health of population and morality, peace and safety of humanity, interests of serving in commercial and other organizations, interests of state service and government control, justice and procedure of execution of penalties, procedure of management in the fields of economic activities, informatization and communication, as well as military criminal offences. If yes, indicate the date and number of a sentence on criminal prosecution, article of the Criminal Code of the Republic of Kazakhstan.

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