



**On approval of the Rules for appointment to a position and termination of an employment contract with the employees of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market**

*Unofficial translation*

Resolution of the Managing Board of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market dated February 3, 2020 № 3. Registered with the Ministry of Justice of the Republic of Kazakhstan on February 6, 2020 № 19989.

**Unofficial translation**

Under Article 145-1 of the Labour Code of the Republic of Kazakhstan and sub-paragraph 12) of Article 6-5 of the Law of the Republic of Kazakhstan “On State Regulation, Control and Supervision of Financial Market and Financial Organisations”, the Management Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market **HEREBY RESOLVES:**

**Footnote. The preamble - as revised by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall be brought into effect upon expiry of ten calendar days after the day of its first official publication).**

1. To approve the attached Rules for appointment to a position and termination of an employment contract with the employees of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market.

2. The Department of Developing Human Capital 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) placing this resolution on the official Internet-resource of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market after its official publication;

3) within ten working days after the state registration of this resolution, submission to the Legal Department of information about execution of measures provided for in subclause 2) of this clause and clause 3 of this resolution.

3. The Department of International Affairs and External Communications shall ensure sending a copy hereof to the official publication to periodical printed media within ten calendar days after the state registration of this resolution.

4. Control over execution of this resolution I reserve for myself.

5. This resolution shall come into force from the date of its first official publication.

Approved  
by the resolution of the Agency of  
the Republic of Kazakhstan for  
Regulation and Development of  
Financial Market of the  
Republic of Kazakhstan  
dated February 3, 2020 № 3

## **Rules for appointment to a position and termination of an employment contract with the employees of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market**

1. These Rules for Appointment to a Position and Termination of an Employment Contract with Employees of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market (hereinafter - Rules) have been drawn up under the Labour Code of the Republic of Kazakhstan (hereinafter - Labour Code) and the Law of the Republic of Kazakhstan “On State Regulation, Control and Supervision of Financial Market and Financial Organisations”.

**Footnote. Paragraph 1 - as revised by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall be enacted after ten calendar days after the day of its first official publication).**

2. Provisions of the Rules shall not apply to political civil servants of the Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market (hereinafter referred to as the Agency), whose procedure of appointment and dismissal is regulated by the legislation on civil service.

### **Chapter 2. Basic definitions used in the Rules**

3. The following terms are used herein:

1) a commission for non-competitive employment of a position of an Agency employee is a collective body of the Agency that makes a decision on non-competitive employment of a vacant position of an Agency employee;

2) candidates for a vacant position of an Agency employee (hereinafter referred to as candidates) are contestants allowed to undergo testing and interview based on the decision of the competition commission;

3) Agency employees are persons, other than political civil servants, holding positions in the Agency, whose labour is paid from the national budget funds;

4) Agency employees are persons other than civil servants who exercise official powers in the Agency aimed at the implementation of the objectives and functions of the state;

5) government agencies are the abolished agencies of the National Bank of the Republic of Kazakhstan (Committee for Development of the Regional Financial Centre of Almaty City of the National Bank of the Republic of Kazakhstan abolished by Decree of the President of the Republic of Kazakhstan № 458 of December 29, 2012 “On Certain Issues of the National Bank of the Republic of Kazakhstan”, Committee for Control and Supervision of the Financial Market and Financial Organisations of the National Bank of the Republic of Kazakhstan and Committee for Protection of Financial Services Consumers’ Rights of the National Bank of the Republic of Kazakhstan, abolished by Decree of the President of the Republic of Kazakhstan № 744 of January 30, 2014 “On Certain Issues of the National Bank of the Republic of Kazakhstan”);

6) Human Resources Service is the Agency's human resources department;

7) personnel reserve is a list of persons who have successfully passed a competition or selection for a vacant position of the Agency's employee;

8) personnel reserve formation commission is a collegial body of the Agency responsible for selection for the purpose of formation of the personnel reserve;

9) competition means procedures to fill a vacant position of the Agency's employee;

10) contest participants are persons who filed documents with the Agency after the publication of the announcement on the contest;

11) a competition commission is a collegial body of the Agency reviewing the documents filed by the contestants, interviewing candidates and making the final selection of candidates for the vacant position of the Agency's employee;

12) documents are documents filed with the personnel service by persons wishing to take part in the competition;

13) requirements are the requirements drawn up by the Agency, with due regard to its main activities of its units, the job descriptions of the Agency's employees, for persons applying for the position of the Agency's employee in terms of education, work experience and competences;

14) the abolished Agency is the Agency of the Republic of Kazakhstan on Regulation and Supervision of Financial Market and Financial Organisations (abolished by Decree of the President of the Republic of Kazakhstan № 25 of April 12, 2011 “On Further Improvement of the System of State Regulation of Financial Market of the Republic of Kazakhstan”);

15) National Bank is the central apparatus, branches and the representative office of the National Bank;

16) subsidiaries of the National Bank are legal entities, fifty and more per cent or more of shares (participatory interests in the charter capital) of which are owned by the National Bank ;

17) entities of the National Bank are republican state-owned enterprises of the National Bank;

18) selection means procedures to form the Agency's personnel reserve of employees.

Footnote. Paragraph 3 - as revised by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall come into effect upon expiry of ten calendar days after the day of its first official publication).

### **Chapter 3. Holding a vacant position as an employee of the Agency**

4. Holding a vacant position as an employee of the Agency shall be carried out through:

- 1) non-competitive holding;
- 2) tender.

5. A person is not appointed to the position of an employee of the Agency, when the person:

- 1) is recognized to be incapacitated or partially incapacitated;
- 2) within three years before appointment for the position of an employee of the Agency was brought disciplinary responsibility for committing a corruption offence;
- 3) committed a corruption offence;
- 4) dismissed from work for committing a corruption offense;
- 5) has an outstanding or uncleared conviction by the time of holding the position of an employee of the Agency;
- 6) those that fail to receive favourable results of the obligatory special verification.

Footnote. Paragraph 5 as amended by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall become effective ten calendar days after the date of its first official publication).

6. Employment as an employee of the Agency shall be made after obtaining positive results of the obligatory special verification and filing a declaration in the form approved by order of the Minister of Finance of the Republic of Kazakhstan № 617 of June 21, 2018 to the state revenue authorities “On Approval of the Form of the Declaration of Assets and Liabilities of a Natural Person and the Rules for its Drafting” (recorded in the Register of State Registration of Regulatory Legal Acts under № 17163).

Footnote. Paragraph 6 - as revised by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall become effective ten calendar days after the date of its first official publication).

6-1. Non-competition occupation of the position of an Agency employee is carried out by the decision of the commission on non-competition occupation of the position of an Agency employee.

Footnote. The Rules are supplemented by paragraph 6-1 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of

the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

6-2. The Commission for non-competition employment of an Agency employee is approved by the Chairman of the Agency or the head of the Agency Office.

The Commission for non-competition employment of an Agency employee consists of the chairman of the commission, members and the secretary of the commission (a representative of the personnel service).

The commission for the non-competition occupation of the position of an Agency employee includes the head of the personnel service, the head of the department with a vacant position of an Agency employee, or their deputies.

The total number of members of the commission for non-competition employment of an Agency employee is an odd number, at least three people. In the absence of the chairman of the commission for the non-competition occupation of the position of an Agency employee, his duties are assigned to one of the members of the commission for the non-competition occupation of the position of an Agency employee.

The organizational activity of the commission for the non-competition occupation of the position of an Agency employee is provided by the secretary of the commission for the non-competition occupation of the position of an Agency employee. The secretary of the commission for non-competition employment of an Agency employee is not a member of the commission for non-competition employment of an Agency employee and does not have the right to vote when making decisions by the commission for non-competition employment of an Agency employee.

Footnote. The Rules are supplemented by paragraph 6-2 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

6-3. The decision of the commission on the non-competition occupation of the position of an employee of the Agency is considered competent if at least 2/3 (two third) from its composition are present.

Footnote. The Rules are supplemented by paragraph 6-3 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

6-4. A person receives a positive opinion if a majority of those present voted for him from the commission on non-competition employment of an employee of the Agency. In case of equality of votes, the vote of the chairman of the commission on the non-competition occupation of the position of an Agency employee is decisive.

Footnote. The Rules are supplemented by paragraph 6-4 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of

the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

6-5. The decision of the commission on the non-competition occupation of the position of an employee of the Agency is issued in the form of the minutes of the meeting of the commission on the non-competition occupation of the position of an employee of the Agency, which is signed by the chairman, members and secretary of the commission for the non-competition occupation of the position of an employee of the Agency.

Footnote. The Rules are supplemented by paragraph 6-5 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

6-6. Lists of persons appointed to the vacant position of an Agency employee are placed on the Agency's information stand in a place accessible to the public, and on the Agency's official Internet resource within 7 (seven) working days from the date of the decision of the commission on the non-competition occupation of the position of an Agency employee.

Footnote. The Rules are supplemented by paragraph 6-6 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

6-7. The decision of the commission on the non-competition occupation of the position of an Agency employee is appealed in accordance with the procedure and terms established by the Administrative Procedural Code of the Republic of Kazakhstan.

Footnote. The Rules are supplemented by paragraph 6-7 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

7. Non-competitive holding the position of an employee of the Agency shall be carried out by:

1) workers of the Agency, eligible by transferring to the vacant position of an employee of the Agency;

2) persons in the personnel reserve;

3) persons with a high level of qualifications and professional training:

fluent in a foreign language (having an international IELTS certificate - not less than 6 out of 9, TOEFL IBT - 80 out of 120, TCF 400 (B2) out of 699, CILS 1, HSK level 6 out of 11);

and (or) holding an academic degree;

and (or) who completed their studies in foreign higher educational institutions;

and (or) having international accounting (CMA, CPA, CIPA, CAP, ACCA, IAB) or financial (CFM, CFA, IFA, CIMA) certificates, international certificates in the field of information technology (CISA, CISM) and internal audit (CIA, CCSA, CRMA, CGAP,



CFSA), international certificate in the field of combating legalization (laundering) of proceeds from crime and financing of terrorism (ACAMS);

and (or) with work experience in organizations and subsidiaries of the National Bank, the national managing holding, development institutions, financial organizations at least 2 (two) years in areas corresponding to the functional areas of the vacant position of an employee of the Agency;

and (or) having work experience in managerial positions in state bodies for at least 1 (one) year;

4) former employees of the National Bank, agencies or the dissolved Agency who have at least two years of work experience in the National Bank, agencies or the dissolved Agency (excluding persons whose employment contract was terminated for negative reasons);

5) graduates of the Master's program of the National Bank and AEO "Nazarbayev University";

6) persons, who are in the President's Youth personnel reserve.

**Footnote. Paragraph 7 as amended by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall be enforced upon expiration of ten calendar days after the day of its first official publication).**

8. Persons, who participate in the tender, shall:

1) be at least eighteen years old;

2) meet the requirements.

9. The tender includes a number of sequential stages:

1) announcement about the tender;

2) approval of the composition of tender committee;

3) receipt and consideration of documents of tender participants for compliance with the requirements;

4) testing the candidates;

5) interview with candidates;

6) final tender committee meeting;

7) formation of the personnel reserve.

10. The costs of participation in the tender (travel to and from the interview site, renting a living space, accommodation, using the services of all types of communication means and others) shall be paid by the participants of the tender at their own expense.

11. The announcement about the tender shall be posted on the official website of the Agency in the Kazakh and Russian languages.

12. The announcement about the tender shall contain the following information:

1) name, location, mailing address of the Agency, telephone and fax numbers of the personnel department (when announcing an external tender);

- 2) the name of the vacant position of an employee of the Agency, indicating the main functional responsibilities;
- 3) requirements;
- 4) deadline for accepting documents. Acceptance of documents is carried out within 10 (ten) working days from the date of placement of the announcement about the tender;
- 5) time limits and place of the tender.

13. The competition commission is approved by the Chairman of the Agency or the Head of the Agency's Office.

**Footnote. Paragraph 13 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).**

14. The tender committee shall consist of the chairperson of the tender committee, members and the secretary of the tender committee (representative of the personnel department).

The composition of the tender committee shall include the head of the personnel department, the heads of the department, in which there is a vacant position of an employee of the Agency, as well as the legal department, or their deputies.

The total number of members of the tender committee shall be an odd number, at least three people. In the absence of the chairperson of the tender commission, his duties shall be assigned to one of the members of the tender committee.

15. The organizational activity of the tender committee shall be provided by the secretary of the tender committee. The secretary of the tender committee shall not be a member of the tender committee and does not have the right to vote when the tender committee makes decisions.

16. Persons wishing to compete shall file the following documents on paper and (or) electronically and digitally with the Human Resources Service:

- 1) a CV with a photo (including actual place of residence, telephone numbers, education and work experience);
- 2) an application in the form as per Appendix 1 hereto. A contestant may apply for no more than three vacant positions of the Agency's employee;
- 3) a completed questionnaire in the form as per Appendix 2 hereto;
- 4) copies of education documents (in the absence of information in the unified system for recording employment contracts).

A copy of the certificate of recognition of the document on education in the territory of the Republic of Kazakhstan shall be enclosed when receiving education in foreign states and international or foreign educational institutions (their branches). This requirement shall not



apply to documents on education issued by foreign organisations of higher and (or) postgraduate education, scientific centres and laboratories to citizens of the Republic of Kazakhstan - holders of the Bolashak international scholarship;

5) a copy of the document confirming labour activities (in the absence of information in the unified system of registration of employment contracts).

**Footnote. Paragraph 16 - as revised by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall be put into effect upon expiration of ten calendar days after the day of its first official publication).**

17. Persons wishing to take part in the tender provide additional information regarding their education, work experience, level of professional training (copies of documents on advanced training, awarding academic degrees and titles, scientific publications, characteristics, recommendations from the previous place of work), if available.

18. The documents filed by persons wishing to compete shall be accepted for consideration no later than the deadline for receipt of documents set forth in sub-paragraph 4) of paragraph 12 hereof.

**Footnote. Paragraph 18 - as revised by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall go into effect upon expiration of ten calendar days after the day of its first official publication).**

19. The absence of one of documents specified in clause 16 of the Rules, shall be the grounds for refusal to consider documents by the tender committee.

20. The consideration of the documents of the participants of the tender shall be carried out by the tender committee within 5 (five) working days after the end of the acceptance of documents.

21. The decision on admission of tender participants to testing shall be made by the tender committee within 5 (five) working days from the date of the end of consideration of the documents of the tender participants, which is drawn up in the form of a protocol signed by the chairperson, members and secretary of the tender committee.

Lists of candidates admitted to testing shall be posted on the information stand of the Agency in a place accessible for public inspection.

22. The purpose of testing is to assess candidates' knowledge of the legislation of the Republic of Kazakhstan.

The testing program includes tests on knowledge of the Constitution of the Republic of Kazakhstan (ten questions), the Administrative Procedural Code of the Republic of Kazakhstan (ten questions), the laws of the Republic of Kazakhstan "On state regulation, control and supervision of the financial market and financial organizations" (ten questions), "On combating corruption" (ten questions).

The threshold scores for passing the test are at least 20 (twenty) correct answers from the total number of questions (forty questions) for all regulatory legal acts and at least 5 (five) correct answers for each regulatory legal act.

The total time to perform tests on knowledge of the legislation of the Republic of Kazakhstan is 30 (thirty) minutes.

Candidates are tested within 5 (five) working days from the date of the decision on admission to testing.

**Footnote. Paragraph 22 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).**

23. Candidates who receive an assessment equal to or higher than the thresholds during the test are admitted to the interview.

24. The decision on admitting candidates to the interview is drawn up in the form of a protocol and signed by the chairperson, members and secretary of the tender committee. Lists of candidates admitted to the interview are posted on the information stand of the Agency in a place accessible for public inspection.

25. The purpose of the interview is to assess the professional and personal qualities of candidates.

26. Candidates admitted to the interview pass it within 10 (ten) working days from the date of the end of testing. Candidates are notified of the time, date and place of the interview by the personnel department via e-mail and (or) telephone.

27. When assessing the professional and personal qualities of candidates, the tender committee proceeds from the requirements and job description of the corresponding vacant position of an employee of the Agency.

28. The course of the interview with each candidate is recorded using technical recording tools. The secretary of the tender committee keeps the recording media. A note on the use of technical recording equipment by the tender committee is made in the minutes of the final meeting of the tender committee.

29. The documents of the candidates who have passed the interview are considered by the tender committee at its final meeting.

30. The final meeting of the tender committee is held no later than two working days from the date of the interview.

31. At the final meeting, the tender committee assesses the candidates based on the submitted documents, test results, interviews and selects from their number persons for the vacant position of the employee of the Agency and enlisting in personnel reserve.

32. The decision of the tender committee shall be considered eligible if at least 2/3 of its composition is present at the meeting.

33. A candidate receives a positive opinion if the majority of those present from the tender committee voted for him. In case of equality of votes, the vote of the chairperson of the tender committee is decisive.

34. The decision of the tender committee is drawn up in the form of the minutes of the final meeting of the tender committee, which is signed by the chairperson and members of the tender committee and the secretary.

35. Lists of candidates who have received a positive conclusion of the tender committee and enlisted in the personnel reserve are posted on the information stand of the Agency in a place accessible for public inspection within seven working days after the tender.

36. Employment of candidates who have received a positive conclusion of the tender committee for the position of an employee of the Agency shall be carried out in accordance with the labor legislation of the Republic of Kazakhstan.

37. The decision of the competition commission is appealed in accordance with the procedure and terms established by the Administrative Procedural Code of the Republic of Kazakhstan.

**Footnote. Paragraph 37 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).**

#### **Chapter 4. Formation of the personnel reserve**

39. Personnel reserve is formed from the number of candidates who have received a positive conclusion of the tender committee and selected persons.

40. The announcement of the selection for enlistment in personnel reserve is posted on the official Internet resource of the Agency in the Kazakh and Russian languages.

41. Persons who have expressed a desire to take part in the selection, fill out an electronic version of the CV on the official Internet resource of the Agency.

The term for accepting a CV ends after 1 (one) month from the date of placing the announcement.

42. Within 5 (five) working days from the date of completion of the CV acceptance, the personnel service forms a list of persons who submitted a CV.

Information about the time, date and place of the interview is submitted by the personnel service via e-mail and (or) telephone communication means to the persons from the list formed by the personnel service.

**Footnote. Paragraph 42 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).**

43. The Commission for formation of the personnel reserve conducts an interview with persons from the list formed by the personnel service in order to identify persons with knowledge in the areas corresponding to the direction of the Agency's subdivision within 10 (ten) working days from the date of formation of the list.

Footnote. Paragraph 43 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

43-1. The course of the interview with each person is recorded using technical means of recording. The record carriers are kept by the secretary of the commission for the formation of the personnel reserve. A note on the use of technical means of recording by the commission for the formation of the personnel reserve is made in the protocol of the commission for the formation of the personnel reserve.

Footnote. The Rules are supplemented by paragraph 43-1 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

43-2. The Commission on the formation of the personnel reserve is approved by the Chairman of the Agency or the head of the Agency's Office.

The Commission for the formation of the personnel reserve consists of the chairman of the commission, members and the secretary of the commission (a representative of the personnel service).

The commission on the formation of the personnel reserve includes managers and employees of the personnel service.

The total number of members of the commission for the formation of the personnel reserve is an odd number, at least three people. In the absence of the chairman of the commission on the formation of the personnel reserve, his duties are assigned to one of the members of the commission on the formation of the personnel reserve.

The organizational activity of the commission on the formation of the personnel reserve is provided by the secretary of the commission on the formation of the personnel reserve. The secretary of the commission on the formation of the personnel reserve is not a member of the commission on the formation of the personnel reserve and does not have the right to vote when making decisions by the commission on the formation of the personnel reserve.

Footnote. The Rules are supplemented by paragraph 43-2 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

43-3. The decision of the commission on the formation of the personnel reserve is considered competent if at least 2/3 (two thirds) from its composition are present at the meeting.

Footnote. The Rules are supplemented by paragraph 43-3 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

43-4. A person receives a positive opinion if the majority of those present from the commission on the formation of the personnel reserve voted for him. In case of equality of votes, the vote of the chairman of the commission on the formation of the personnel reserve is decisive.

Footnote. The Rules are supplemented by paragraph 43-4 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

43-5. The decision of the commission on the formation of the personnel reserve is issued in the form of a protocol of the commission on the formation of the personnel reserve, which is signed by the chairman, members and secretary of the commission on the formation of the personnel reserve.

Footnote. The Rules are supplemented by paragraph 43-5 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

43-6. Lists of persons enrolled in the personnel reserve are posted on the Agency's information stand in a place accessible to the public and on the Agency's official Internet resource within 7 (seven) working days from the date of the decision of the commission on the formation of the personnel reserve.

Footnote. The Rules are supplemented by paragraph 43-6 in accordance with the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

44. The decision of the commission on the formation of the personnel reserve is appealed in accordance with the procedure and terms established by the Administrative Procedural Code of the Republic of Kazakhstan.

Footnote. Paragraph 44 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).

45. Persons enlisted in personnel reserve are appointed to the position of an employee of the Agency within 1 (one) year from the date of their enlistment in personnel reserve, if there is a vacant position of an employee of the Agency.

46. Exclusion of persons from the personnel reserve shall be carried out in cases as follows:

1) submission by a person enlisted in personnel reserve, an application for exclusion from the personnel reserve;

2) holding by a person enlisted in personnel reserve, a vacant position of an employee of the Agency.

47. Work on formation and exclusion from the personnel reserve of the Agency shall be entrusted to the personnel department.

#### **Chapter 5. Termination of the employment contract**

48. Employment contracts with the Agency's employees shall be terminated on the grounds prescribed by the Law of the Republic of Kazakhstan “On State Regulation, Control and Supervision of the Financial Market and Financial Organisations” (hereinafter - the Law on State Regulation), pursuant to the procedure established by the Labour Code.

**Footnote. Paragraph 48 - as revised by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall come into effect upon expiry of ten calendar days after the day of its first official publication).**

#### **Chapter 6. Final Provisions**

49. Issues not regulated by the Rules shall be resolved in accordance with the Labour Code and the Law on the State Regulation.

Appendix 1  
to the Rules for appointment to the  
position and termination of an  
employment contract with the  
employees of the Agency  
Form  
Agency

#### **APPLICATION**

**Footnote. Appendix 1 - as amended by the resolution of the Board of the Agency of the Republic of Kazakhstan for regulation and development of the financial market dated 27.04.2023 № 20 (shall be enforced ten calendar days after the date of its first official publication).**

I ask you to allow me to participate in the competition for the vacant position of an employee of the Agency



---

---

---

(name of position, subdivision)

I express my consent to the collection and processing of my personal data.

I am responsible for the authenticity of the submitted documents.

---

signature Surname and initials

" \_\_\_\_\_ " \_\_\_\_\_ 20 \_\_\_\_ .

Appendix 2  
to the Rules for Appointment and  
Termination of Employment  
Contracts with Agency Employees

Document form

**QUESTIONNAIRE**

**(to be filled in by hand)**

Footnote. Appendix 2 - as revised by Resolution of the Board of the Agency of the Republic of Kazakhstan on Regulation and Development of Financial Market № 14 of 28.02.2024 (shall be enacted after ten calendar days from the date of its first official publication).

Surname \_\_\_\_\_

— Name \_\_\_\_\_

— Patronymic \_\_\_\_\_

— If surname, first name, patronymic were changed, please specify the reason and when \_\_\_\_\_

— Nationality \_\_\_\_\_

If you changed your nationality, please specify when

\_\_\_\_\_

— IIN \_\_\_\_\_

— Have you been convicted, when and why?  
\_\_\_\_\_

---

— Study or work abroad  
Country of stay \_\_\_\_\_

---

— Length of stay \_\_\_\_\_

---

— Place of employment or study \_\_\_\_\_

---

—

---

— Have you been deprived of the right to hold a certain position or to engage in certain activities under a court judgement that has entered into legal force, when and for what reason? \_\_\_\_\_

---

— Have you been deprived of the right to hold positions in public bodies for a certain period of time, when and for what reason?

---

— Have you been deprived of the right to hold positions in financial entities for a certain period of time, when and for what reason?

---

— Do you have any close kinship or property relations (parents, spouses, brothers, sisters, sons, daughters, as well as brothers, sisters, parents and children of spouses) with employees of the Agency and the National Bank of the Republic of Kazakhstan?

---

" \_\_\_\_\_ " \_\_\_\_\_ 20 \_\_\_\_\_  
(signature)

© 2012. «Institute of legislation and legal information of the Republic of Kazakhstan» of the Ministry of Justice of the Republic of Kazakhstan