On approval of the Rules for submitting data and information on transactions subject to financial monitoring by financial monitoring subjects and signs of identifying a suspicious transaction

Invalidated Unofficial translation

Order № 938 of the Minister of Finance of the Republic of Kazakhstan as of September 30, 2020. Registered with the Ministry of Justice of the Republic of Kazakhstan on September 30, 2020 under № 21340. Abolished by the Order of the Chairman of the Financial Monitoring Agency of the Republic of Kazakhstan dated February 22, 2022 No. 13

Unofficial translation

Footnote. Abolished by the Order of the Chairman of the Financial Monitoring Agency of the Republic of Kazakhstan dated February 22, 2022 No. 13 (effective ten calendar days after the date of its first official publication).

This order shall be enforced from November 15, 2020.

In accordance with paragraph 2 of Article 10 of the Law of the Republic of Kazakhstan "On Counteracting the Legalization (Laundering) of Criminally Obtained Incomes and Financing of Terrorism" as of August 28, 2009, **I hereby ORDER:**

1. To approve the appended:

1) Rules for submitting of data and information on transactions subject to financial monitoring by financial monitoring subjects in accordance with Appendix 1 to this order;

2) Signs of identifying a suspicious transaction in accordance with Appendix 2 to this order.

2. In accordance with the procedure established by the legislation of the Republic of Kazakhstan, the Committee for Financial Monitoring of the Ministry of Finance of the Republic of Kazakhstan shall ensure:

1) state registration of this order with the Ministry of Justice of the Republic of Kazakhstan;

2) the posting of this order on the website of the Ministry of Finance of the Republic of Kazakhstan;

3) the submission of information on the implementation of the measures provided for in subparagraphs 1) and 2) of this paragraph to the Legal Service Department of the Ministry of Finance of the Republic of Kazakhstan within ten working days of the state registration of this order.

3. This order comes into force on November 15, 2020 and is subject to official publication.

Minister of Finance of *the Republic of Kazakhstan*	*Y.Zhamaubayev*

"APPROVED"
Agency of the Republic of Kazakhstan
for the regulation and development
of the financial market
"APPROVED"
Ministry of Culture and Sport of
the Republic of Kazakhstan
"APPROVED"
National Bank of
the Republic of Kazakhstan
"APPROVED"
Ministry of National Economy of
the Republic of Kazakhstan
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Ministry of Trade and Integration of
the Republic of Kazakhstan
"APPROVED"
Ministry of Digital Development,
Innovation and Aerospace Industry of
the Republic of Kazakhstan

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Appendix 1
to Order № 938
of the Minister of Finance
of the Republic of Kazakhstan
as of September 30, 2020

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Rules for submitting data and information on transactions subject to financial monitoring by financial monitoring subjects

Chapter 1. General provisions

1. These Rules for submitting data and information on transactions subject to financial monitoring by financial monitoring subjects (hereinafter referred to as the Rules) have been developed in accordance with paragraph 2 of Article 10 of the Law of the Republic of Kazakhstan "On Counteracting the Legalization (Laundering) of Criminally Obtained Incomes and Financing of Terrorism" as of August 28, 2009 (hereinafter referred to as the Law) and establish a unified procedure for submitting data and information on transactions subject to financial monitoring by financial monitoring

subjects to the authorized body for financial monitoring (hereinafter referred to as the authorized body).

2. With regard to transactions subject to financial monitoring, financial monitoring subjects document and submit data and information on a transaction subject to financial monitoring to the authorized body in accordance with the form of data and information on a transaction subject to financial monitoring in Appendix 1 to these Rules (hereinafter referred to as information).

Chapter 2. Submission of data and information on transactions subject to financial monitoring by financial monitoring subjects

3. The information submitted by financial monitoring subjects is sent to the authorized body electronically in XML format in the form of the XML Format of information submitted electronically by financial monitoring subjects in accordance with Appendix 2 to these Rules through the telecommunications networks of the republican state enterprise with the right of economic management "Kazakhstan Center for Interbank Settlements of the National Bank of the Republic of Kazakhstan" or the web portal of the authorized body.

4. If a financial monitoring subject submits information in a manner not provided for in paragraph 3 of these Rules, the authorized body shall return this information without consideration.

5. In case of a failure to meet the deadlines specified in paragraph 2 of Article 10 and paragraph 2 of Article 13 of the Law because of technical errors in the software or communication channels confirmed by the authorized body, the data and information on transactions subject to financial monitoring are considered to be sent in due time if such information is sent within one working day of recovery of technical errors.

6. The authorized body does not accept information for processing if financial monitoring subjects submit information that is different from the established form of data and information on a transaction subject to financial monitoring and is not certified with the electronic digital signature of the financial monitoring subject.

7. Within 4 (four) hours of receipt of information from financial monitoring subjects, the authorized body shall electronically send a notice of acceptance/rejection of information (hereinafter referred to as a notice) in accordance with the form of a notice of acceptance or rejection of the FM-1 form of data and information on a transaction subject to financial monitoring established by Appendix 3 to these Rules.

8. In case of receipt of a notice of rejection of information, a financial monitoring subject, within 24 (twenty-four) hours (excluding weekends and holidays) takes measures to eliminate the reasons for rejecting information specified in the notice, and sends the corrected information to the authorized body.

9. If it is necessary to make alter the information previously submitted to and accepted by the authorized body, the financial monitoring subject, within 1 (one) working day of discovery of the information to be replaced, sends the information to the authorized body instead of the previously submitted one.

10. When filling out the information, reference information is used in accordance with Appendices 4, 5, 6 and 7 to these Rules.

Chapter 3. Submission of information, data and documents upon request

11. When analyzing information, the authorized body sends to the financial monitoring subject an electronic request for providing necessary information, data and documents in the form of a request for the provision of the necessary information, data and documents in accordance with Appendix 8 to these Rules.

12. Upon receipt of a request for the provision of the necessary information, data and documents from the authorized body, the financial monitoring subjects send a notification to the authorized body in the form of a notice of acceptance of the request for the provision of the necessary information, data and documents in accordance with Appendix 9 to these Rules.

13. The requested information, data and documents are sent by financial monitoring subjects to the authorized body electronically by the deadlines set by paragraph 3-1 of Article 10 of the Law in the form of a response to a request for the provision of necessary information, data and documents in accordance with Appendix 10 to these Rules as required by the procedure specified in paragraph 3 of these Rules.

14. When additional time is required to process the request, the financial monitoring subject shall send to the authorized body an application for extending the deadline specified in part three of paragraph 3-1 of Article 10 of the Law by no more than 10 (ten) working days in accordance with the form of an application for extending the deadline upon request for the provision of the necessary information, data and documents in accordance with Appendix 11 of these Rules through the telecommunication networks of the republican state enterprise with the right of economic management "Kazakhstan Center for Interbank Settlements of the National Bank of the Republic of Kazakhstan" or the web portal of the authorized body.

15. If it is required to obtain data and information from the operator of the money transfer system in accordance with paragraph 3-2 of Article 10 of the Law in order to process a request related to the analysis of a suspicious transaction, the financial monitoring subject shall send to the authorized body an application for extending the deadline of the request specified in part four of paragraph 3-1 of Article 10 of the Law by no more than 2 (two) working days in accordance with the form of a request for the provision of the necessary information, data and documents in Appendix 8 to these Rules.

Appendix 1
to the Rules for submitting data
and information on transactions
subject to financial monitoring
by financial monitoring subjects
Form

The form of data and information on a transaction subject to financial monitoring

Detail №	Name	Content
1	2	3
1	Data on the form of data and information on the transaction subject to financial monitoring (hereinafter – FM-1form)	
1.1	Number of FM-1form *	1. Number: 2. Relation to another FM-1 form (if any): 2.1. Number of related FM-1form: 2.2. Data of related FM-1form:
1.2	Data of FM-1form *	
1.3	Type of the document (select as required)*	1. New report 2. Correction of rejected report (with an indication of the number of the report to be corrected) 3. Request for replacing the report (with an indication of the number of the report)
1.4	Transaction stage (select as required)	1. Completed (time of the transaction's completion) 2. Not completed – rejected 3. Not completed – for making a decision
		1. Equal to or greater than the threshold amount 2. Suspicious transaction 3. Field is not active 4. Coincidence with the list of organizations and persons associated with the financing of terrorism and extremism: 4.1 Suspension of debit transactions in bank accounts 4.2 Suspension of execution of instructions for payments and transfers without using a bank account 4.3 Blackout period for securities 4.4 Refusal to conduct other transactions 4.5 Refusal to carry out a transaction to make an insurance payment, to

			return an insurance premium or a part thereof in the event of early termination of the insurance contract and remuneration in the event of the policyholder's early termination of an agreement on the provision of brokerage services

1.5	Basis for reporting (select as required)*	return an insurance premium or a part thereof in the event of early termination of the insurance contract and remuneration in the event of the policyholder's early termination of an agreement on the provision of brokerage services 5. Field is not active 6. Field is not active 7. Field is not active 8. Transactions for mandatory consideration that are recognized as suspicious by financial monitoring subjects with the recording of the results of such consideration 9. Transactions having characteristics consistent with the typologies, schemes and methods of financing terrorism 10. Transactions having characteristics consistent with typologies, schemes and methods of legalization (laundering) of criminal proceeds 11. Coincidence with the list of organizations and persons associated with the financing of the proliferation of weapons of mass destruction: 11.1 Suspension of debit transactions in bank accounts 11.2 Suspension of execution of instructions for payments and transfers without using a bank account 11.3 Blackout period for securities 11.4 Refusal to conduct other transactions 11.5 Refusal to carry out a transaction to make an insurance payment, to return an insurance premium or a part thereof in the event of early termination of the insurance contract and remuneration in the event of the policyholder's early termination of an agreement on the provision of brokerage services 11.6 Instruction to suspend transactions specified in paragraph 6 of Article 12-1 of the Law of the Republic of Kazakhstan "On Counteracting the Legalization (Laundering) of Criminally Obtained

		Incomes and Financing of Terrorism" as of August 28, 2009 (hereinafter - the Law) 12. Refusal to establish a business relationship: 12.1 If it is impossible to take the measures provided for in subparagraphs 1), 2), 2-1) and 4) of paragraph 3 of Article 5 of the Law 12.2 If there is a suspicion that the client uses business relationship for the purpose of legalizing (laundering) the proceeds of crime 12.3 If there is a suspicion that the client uses business relationship for terrorist financing purposes 13. Refusal to conduct a transaction: 13.1 If it is impossible to take the measures provided for in subparagraphs 1), 2), 2-1), 4) and 6) of paragraph 3 of Article 5 of the Law 13.2 If there is a suspicion that the client uses business relationship for the purpose of legalizing (laundering) the proceeds of crime 13.3 If there is a suspicion that the client uses business relationship for terrorist financing purposes 14. Termination of business relationship: 14.1 If there is a suspicion that the client uses business relationship for the purpose of legalizing (laundering) the proceeds of crime 14.2 If there is a suspicion that the client uses business relationship for terrorist financing purposes
2. Data on the financial monitoring subject that has sent the FM-1form		
2.1	Code of the financial monitoring subject *	
2.2	Financial monitoring subject *	1.1. Organizational form: 1.2. Name: 1.2.1. Surname: 1.2.2. Name: 1.2.3. Patronymic (if any):
2.3	The detail is not active	
2.4	Individual identification number/ business identification number (hereinafter -IIN/BIN)*	

2.5	Location	1. Area (of cities of republican significance and the capital as well): 2. District: 3. Populated locality (city/township/ village), except for cities of republican significance and the capital: 4. Name of the street/avenue/ micro-district: 5. House number: 6. Number of the apartment/office (if any): 7. Postal code:
2.6	Identity document (for individuals)*	
2.6.1	Number and series of the identity document (for individuals)*	1. Number: 2. Series (if any):
2.6.2	Identity document issued by (for individuals)*	
2.6.3	Identity document issued on (for individuals)*	
2.7	Executive official	1. Surname: 2. Name: 3. Patronymic (if any):
2.7.1	Position of the executive official	
2.8	Contact phone numbers*	
2.9	Email	
3	Information on the transaction subject to financial monitoring	
3.1	Number of the transaction*	
3.2	Code of the transaction's type*	1. Code: 2. Information on property subject to state registration: 2.1. Type of property: 2.2. Registration number of property:
3.3	Payment purpose code *	1. Payment purpose code: 2. cannot be determined
3.4	Number of transactors*	
3.5	Code of the transaction currency*	
3.6	Transaction amount in the currency it was conducted*	
3.7	Transaction amount in tenge*	
3.8	Basis for the transaction*	
3.9	Date and number of a document that is a basis for the transaction	1. Date: 2. Number of the document:
3.10	Code of the sign of a suspicious transaction	

3.11	1st additional code of the sign of a suspicious transaction (if any)	
3.12	2nd additional code of the sign of a suspicious transaction (if any)	
3.13	Description of difficulties encountered in qualifying the transaction as suspicious	
3.14	Additional information on the transaction	
4	Data on the parties to the transaction subject to financial monitoring	
4.1	Transactor (select as required)*	1. Payer under the transaction 2. Recipient under the transaction 3. Representative of the payer 4. Representative of the recipient 5. Person on behalf and instruction of 6. Beneficiary
4.2	Client of the financial monitoring subject (select as required)*	1. Is 2. Is not
4.3	Kind of the transactor*	
4.4	Residence*	
4.5	Type of the transactor (select as required)*	1. Legal entity 2. Individual 3. Individual entrepreneur
4.6	Foreign public official (select as required)	1. In not 2. Is 3. Affiliated with a foreign public official
4.7	Bank of the transactor*	1.1. Location of the branch: 1.2. Name of the bank: 1.2.1. Name of the Money Transfer system (hereinafter - MTS): 1.3. Code of the bank/branch: 1.4. Transactor's account number: 1.5. Data on correspondent accounts involved in the transaction: 1.5.1. Location of the bank: 1.5.2. Name of the bank:
4.8	Name of the transactor (for legal entities)*	1. Transactor: 1.1. Organizational form: 1.2. Name: 2. Cannot be identified
4.9	Founders of the transactor (for legal entities)*	1.1. Organizational form: 2.1. Name: 2.1.1. Surname: 2.1.2. Name: 2.1.3. Patronymic (if any): 3. Residence:

4.10	The head (for legal entities)*	1. Surname: 2. Name: 3. Patronymic (if any):
4.11	The detail is not active	
4.12	Common Classifier of Economic Activities (hereinafter - CCEA)	
4.13	IIN/BIN*	
4.14	Surname, name, patronymic (for individuals and individual entrepreneurs)*	1.1. Surname: 1.2. Name: 1.3. Patronymic (if any): 2.1. Cannot be identified
4.15	Identity document*	
4.16	Number and series of the identity document *	1. Number: 2. Series (if any):
4.17	Identity document issued by*	
4.18	Identity document issued on*	
4.19	Date of birth (for individuals and individual entrepreneurs)	
4.20	Place of birth (for individuals and individual entrepreneurs)	
4.21	Legal address (for legal entities – legal address, for individuals – registration address)	1. Area (of cities of republican significance and the capital as well): 2. District: 3. Populated locality (city/township/ village), except for cities of republican significance and the capital: 4. Name of the street/avenue/ micro-district: 5. House number: 6. Number of the apartment/office (if any): 7. Postal code:
4.22	Contact phone number	
4.23	Email	
4.24	Actual address (for legal entities – location address, for individuals – residential address)	1. Area (of cities of republican significance and the capital as well): 2. District: 3. Populated locality (city/township/ village), except for cities of republican significance and the capital: 4. Name of the street/avenue/ micro-district: 5. House number: 6. Number of the apartment/office (if any): 7. Postal code:

4.25	Additional information on the transactor	

Note:

* the detail is mandatory.

Explanations of how to fill out the FM-1 form of data and information on a transaction subject to financial monitoring

The FM-1 form of data and information on the transaction subject to financial monitoring (hereinafter - FM-1) is filled out in Kazakh or Russian.

The FM-1 form contains information on one transaction, and also on maximum 2 (two) transactors (the transaction's payer and recipient).

1. Information on the FM-1 form of data and information on the transaction subject to financial monitoring

In detail 1.1 "FM-1 form number" it is necessary to indicate the ordinal numerical number of the report about the transaction subject to financial monitoring, information on which is submitted to the state body carrying out financial monitoring and taking other measures to counter the legalization (laundering) of proceeds from crime and financing of terrorism in accordance with the Law (hereinafter referred to as the authorized body). The serial number of the transaction subject to financial monitoring is formed by financial monitoring subjects in ascending order starting from number "1" in numerical format, within 1 (one) calendar year of reporting:

"1. Number" – indicate the number of the FM-1form.

"2. Relation to another FM-1 form (if any): " – indicate information in addition to the field "1. Number":

"2.1. Number of related FM-1 form " and "2.2. Data of related FM-1form " – indicate the number and date of the FM-1 form related to this transaction subject to financial monitoring. The date is indicated in numerical format day (two digits)/month (two digits)/year (four digits).

In detail 1.2 "Data of FM-1form " – indicate the date of transferring (sending) a report about the transaction with money and (or) other property. The date of the report is indicated in numerical format day (two digits)/month (two digits)/year (four digits).

Details 1.1 "Number of FM-1form *" and 1.2 "Data of FM-1form *" are unique for each report submitted by a financial monitoring subject to the authorized body and are used to identify the report by the financial monitoring subject of cases of errors and/or sending requests for the provision of information by the authorized body. The number and date of the report are determined when the report about the transaction is first sent to the authorized body.

Detail 1.3 "Type of the document" has such fields as follows:

"1. New report" is indicated in the case of sending each new report to the authorized body.

"2. Correction of rejected report" is indicated in case of receipt from the authorized body of a notice of rejection of the FM-1 form, the financial monitoring subject shall take measures to eliminate the reasons for rejecting the report specified in the notice, address the criticism in the notice, and within twenty-four hours (except for weekends and holidays) of receipt of the notice the form is sent again in a corrected form. In this case, the primary pair of values for the number and date of the report is indicated.

"3. Request for replacing the report" is indicated in the event that the financial monitoring subject's proactive alterations to the FM-1 form earlier submitted to and accepted by the authorized body, for example, the report incorrectly indicated the amount of the transaction, currency code, the basis for the transaction, addresses of transactors, etc. In this case, the financial monitoring subject sends to the authorized body a replacing report where all the details are filled out, which has the same number and date of the report like the initial report, and alterations are indicated in detail 3.14.

Detail 1.4 "Transaction stage" has such fields as follows:

"1. Completed" is indicated if the transaction is at the stage of completion;

"2. Not completed – rejected" is indicated if the financial monitoring subject made a decision to refuse to carry out the transaction. In this case, the detail 4.25 indicates the reason for rejecting the transaction;

"3. Not completed – for making a decision" is indicated if the financial monitoring subject sends to the authorized body a report about recognizing the transaction as suspicious before making it.

The time is indicated in numerical format: hours (two digits)/minutes (two digits), day (two digits)/month (two digits)/year (four digits).

Detail 1.5 "Basis for reporting" has such fields as follows:

"1. Equal to or greater than the threshold amount" is indicated if the transaction amount is equal to or exceeds the threshold value in accordance with paragraph 1 of Article 4 of the Law.

"2. Suspicious transaction" is indicated in cases where the client's transaction is recognized as suspicious in accordance with the signs of identifying a suspicious transaction.

In cases where the code for identifying suspicious transactions is № 8002, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3), for legal entities: 4.8; for individuals: 4.14. When choosing the field "2. Is" in detail 4.2, it is mandatory to fill out the following details: 4.7 (field 1.4), 4.13; for individuals: 4.15, 4.16 (field 1), 4.17, 4.18.

"3. Field is not active". The serial number of the field does not change due to the lack of technical capabilities of the software.

"4. Coincidence with the list of organizations and persons associated with the financing of terrorism and extremism" is indicated if the person or organization involved in the transaction is on the list of organizations and persons associated with the financing of terrorism and extremism, where:

"4.1 Suspension of debit transactions in bank accounts" is indicated in case of suspension of debit transactions in the bank accounts of such an organization or an individual, as well as in the client's bank accounts, the beneficial owner of which is such an individual. When this field is selected, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals persons: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"4.2 Suspension of execution of instructions for payments and transfers without using a bank account" is indicated in case of suspension of execution of instructions for payment or money transfer without using the bank account of such an individual, as well as instructions of the client, the beneficial owner of which is such an individual. When this field is selected, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 3.6, 3.7, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3), 4.13, for legal persons: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"4.3 Blackout period for securities" is indicated if an organization or an individual is on the list of organizations and persons associated with the financing of terrorism and extremism. In this case, securities (transactions) are blocked in the system of registers of securities holders and the system for recording nominal holding on the personal accounts of such an organization or an individual, as well as on the personal accounts of a client whose beneficial owner is such an individual. When this field is selected, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.13 for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"4.4 Refusal to conduct other transactions" is indicated in case of refusal to conduct other transactions with money and (or) other property performed by an organization or an individual, or in their favor, as well as by a client whose beneficial owner is such an individual, or in his/her favor. If this field is indicated, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"4.5 Refusal to carry out a transaction to make an insurance payment, to return an insurance premium or a part thereof in the event of early termination of the insurance contract and remuneration in the event of the policyholder's early termination of an agreement on the provision of brokerage services" is indicated in case of refusal to carry out transactions for making insurance payments, for the return of the insurance premium or part thereof in the event of early termination of the insurance contract and

remuneration in the event of early termination of the brokerage services contract. If this field is indicated, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"5. Field is not active", "6. Field is not active", "7. Field is not active" – the serial numbers of the fields do not change due to the lack of technical capabilities of the software.

"8. Transactions for mandatory consideration that are recognized as suspicious by financial monitoring subjects with the recording of the results of such consideration" are indicated if the client's transactions are recognized as suspicious based on the results of the study in accordance with paragraph 4 of Article 4 of the Law.

"9. Transactions having characteristics consistent with the typologies, schemes and methods of financing terrorism" are indicated if the client's transactions have characteristics that correspond to the typologies, schemes and methods of financing terrorism.

"10. Transactions having characteristics consistent with typologies, schemes and methods of legalization (laundering) of criminal proceeds" are indicated if the client's transactions have characteristics that correspond to the typologies, schemes and methods of legalization (laundering) of criminal proceeds.

"11. Coincidence with the list of organizations and persons associated with the financing of the proliferation of weapons of mass destruction" is indicated if the person or organization involved in the transaction is on the list of organizations and persons associated with financing the proliferation of weapons of mass destruction, where:

"11.1 Suspension of debit transactions in bank accounts" is indicated in case of suspension of debit transactions in the bank accounts of such an organization or an individual, as well as on the client's bank accounts, the beneficial owner of which is such an individual. When this field is selected, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals persons: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"11.2 Suspension of execution of instructions for payments and transfers without using a bank account" is indicated in case of suspension of execution of instructions for payment or money transfer without using the bank account of such an individual, as well as instructions of the client, the beneficial owner of which is such an individual. When this field is selected, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 3.6, 3.7, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3), 4.13, for legal persons: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"11.3 Blackout period for securities" is indicated if an organization or an individual is on the list of organizations and persons associated with the financing of terrorism and extremism. In this case, securities (transactions) are blocked in the system of

registers of securities holders and the system for recording nominal holding on the personal accounts of such an organization or an individual, as well as on the personal accounts of a client whose beneficial owner is such an individual. When this field is selected, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.13 for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"11.4 Refusal to conduct other transactions" is indicated in case of refusal to conduct other transactions with money and (or) other property performed by an organization or an individual, or in their favor, as well as by a client whose beneficial owner is such an individual, or in his/her favor. If this field is indicated, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"11.5 Refusal to carry out a transaction to make an insurance payment, to return an insurance premium or a part thereof in the event of early termination of the insurance contract and remuneration in the event of the policyholder's early termination of an agreement on the provision of brokerage services" is indicated in case of refusal to carry out transactions making insurance payments, for the return of the insurance premium or part thereof in the event of early termination of the insurance contract and remuneration in the event of early termination of the brokerage services contract. If this field is indicated, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"11.6 Instruction to suspend transactions specified in paragraph 6 of Article 12-1 of the Law" is indicated if at least one of the parties to the transactions is a person included in the list of organizations and persons involved in financing the proliferation of weapons of mass destruction, and transactions are carried out under agreements concluded prior to the inclusion of such persons in the list of organizations and persons associated with the financing of the proliferation of weapons of mass destruction.

"12. Refusal to establish a business relationship:" is indicated in case of the financial monitoring subject's refusal to establish a business relationship with an individual or legal entity.

"12.1 If it is impossible to take the measures provided for in subparagraphs 1), 2), 2 -1) and 4) of paragraph 3 of Article 5 of the Law" is indicated in case of the financial monitoring subject's refusal to establish business relations with an individual or legal entity in case of impossibility of taking measures provided for in subparagraphs 1), 2), 2-1) and 4) of paragraph 3 of Article 5 of the Law. If this field is indicated, the

following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"12.2 B If there is a suspicion that the client uses business relationship for the purpose of legalizing (laundering) the proceeds of crime" is indicated in case of the financial monitoring subject's refusal to establish business relations of an individual or legal entity with a client in case of suspicion that the business relationship is used by the client for the purpose of legalizing (laundering) proceeds from crime. If this item is indicated, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"12.3 If there is a suspicion that the client uses business relationship for terrorist financing purposes" is indicated in case of the financial monitoring subject's refusal to establish business relations of an individual or legal entity with a client in case of suspicion that the business relationship is used by the client for the purpose financing of terrorism. If this item is indicated, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"13. Refusal to conduct a transaction:" is indicated in case of refusal to conduct a transaction with money and (or) other property on the grounds provided for in paragraph 1 of Article 13 of the Law.

"13.1. If it is impossible to take the measures provided for in subparagraphs 1), 2), 2-1), 4) and 6) of paragraph 3 of Article 5 of the Law" is indicated in case of the financial monitoring subject's refusal to conduct transactions with money and (or) other property by an individual or legal entity in the event that it is impossible to take the measures provided for in subparagraphs 1), 2), 2-1) and 4) of paragraph 3 of Article 5 of the Law. If this item is indicated, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"13.2 If there is a suspicion that the client uses business relationship for the purpose of legalizing (laundering) the proceeds of crime" is indicated in case of the financial monitoring subject's refusal to conduct transactions with money and (or) other property by an individual or legal entity if there is a suspicion that the business relationship is used by the client for the purpose of legalizing (laundering) proceeds from crime. If this item is indicated, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"13.3. If there is a suspicion that the client uses business relationship for terrorist financing purposes" is indicated in case of the financial monitoring subject's refusal to

conduct a transaction with money and (or) other property by an individual or legal entity in case of suspicion that the business relationship is used by the client for the purpose of terrorist financing. If this item is indicated, the following details are mandatory in sections 3 and 4 of the FM-1 form: 3.4, 4.2, 4.4, 4.5, 4.7 (fields 1.1, 1.2, 1.3, 1.4), 4.13, for legal entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"14. Termination of business relationship" is indicated in case of the financial monitoring subject's termination of business relations with an individual or legal entity .

"14.1 If there is a suspicion that the client uses business relationship for the purpose of legalizing (laundering) the proceeds of crime" is indicated if the financial monitoring subject terminates business relations with the client in case of suspicion that the business relationship is used by the client for the purpose of legalization (laundering) of proceeds from crime.

"14.2 If there is a suspicion that the client uses business relationship for terrorist financing purposes" is indicated if the financial monitoring subject terminates business relations with the client in case of suspicion that the business relationship is used by the client for terrorist financing purposes.

2. Data on the financial monitoring subject that has sent the FM-1 form of data and information on the transaction subject to financial monitoring

Detail 2.1 "Code of the financial monitoring subject " indicates the code of the financial monitoring subject submitting the FM-1 form to the authorized body in accordance with the directory of codes of types of financial monitoring subjects.

Detail 2.2 "Financial monitoring subject" indicates:

"1.1. Organizational form:" indicates the organizational legal form of the financial monitoring subject (e.g., JSC (joint stock company), LLP (limited liability partnership) , IE (individual entrepreneur) or another organizational legal form). If the financial monitoring subject is an individual, this field is not filled.

"1.2. Name:" indicates the name of the organization without quotation marks,

"1.2.1 Surname", "1.2.2. Name", "1.2.3 Patronymic" indicate the surname, name and patronymic (if any) of the financial monitoring subject.

"Detail 2.3 – not active". The serial number of the detail does not change due to the lack of technical capabilities of the software.

Detail 2.4 "Individual identification number/business identification number (hereinafter -IIN/BIN)*" indicates the individual identification number or business identification number of the financial monitoring subject sending the FM-1 form.

Detail 2.5 "Location" indicates the legal address of the financial monitoring subject in the format: area (of cities of republican significance and the capital as well), district, populated locality (city/township/village), except for cities of republican significance

and the capital, name of the street/avenue/micro-district, house number, number of the apartment/office (if any), postal code.

Detail 2.6 "Identity document (for individuals)" indicates the digital code of the type of identity document. The detail is filled in only for individuals.

Detail 2.6.1 "Number and series of the identity document (for individuals)" indicates the number and series (if any) of the identity document. The detail is filled in only for individuals.

Detail 2.6.2 "Identity document issued by (for individuals)" indicates the name of the authority that issued the identity document. The detail is filled in only for individuals.

Detail 2.6.3 "Identity document issued on (for individuals)" indicates the date of issue of an identity document in the format: day (two digits)/month (two digits)/ year (four digits). The detail is filled in only for individuals.

Detail 2.7 "Executive official" indicates the data of the contact person responsible for compliance with the rules of internal control: surname, name, patronymic (if any).

Detail 2.7.1 "Position of the executive official" indicates the position of the person responsible for compliance with the rules of internal control.

Detail 2.8 "Contact phone numbers" indicates mobile phone numbers (in the format +7 XXX XXX XXXX) and landline city number (in the format city code/phone number/extension number (if any)) of the person responsible for compliance with the rules of internal control.

Detail 2.9 "Email" indicates the e-mail address of the person responsible for compliance with the rules of internal control.

3. Information on the transaction subject to financial monitoring

Detail 3.1 "Number of the transaction *" indicates the transaction number, which is registered in the internal register of the financial monitoring subject sending the FM-1 form.

Detail 3.2 "Code of the transaction's type*" indicates the digital code of the type of transaction in accordance with the directory of codes of the types of transactions subject to financial monitoring.

Codes 0530, 0540 are indicated when cash is given out to the client or received from the client, except for the transactions provided for by codes 0511, 0521, 0911, 1311, 1321, 1411, 1421, 1431.

In cases where codes 0623, 0633 are indicated and the transaction is performed to/ from an offshore zone, field "1.5.1 Location of the bank" of detail 4.7 "Bank of the transactor" is filled out in accordance with Resolution № 8 of the Board of the Agency of the Republic of Kazakhstan for the Regulation and Development of the Financial Market as of February 24, 2020 "On approval of the List of offshore zones for the purposes of banking and insurance activities, the activities of professional participants

in the securities market and other licensed activities in the securities market, the activities of joint-stock investment funds and the activities of organizations carrying out microfinance activities" (registered in the State Registration Register of Regulatory Legal Acts under № 20095) and Order № 142 of the Minister of Finance of the Republic of Kazakhstan as of February 8, 2018 "On approval of the list of states with preferential taxation" (registered in the State Registration Register of Regulatory Legal Acts under № 16404).

Code 0640 is indicated in the case of a client's transaction with money and (or) other property with the category of persons having registration, place of residence or location in the offshore zone, as well as an account with a bank registered in the offshore zone, except for transactions provided for by codes 0623, 0633.

If code 1811 is indicated, information on property subject to state registration is indicated in the fields "2.1. Type of property", for example, an apartment, land plot or other immovable property, and "2.2. Registration number of property".

Detail 3.3 "Payment purpose code*" indicates the payment purpose code of the transaction subject to financial monitoring in accordance with Resolution № 203 of the Board of the National Bank of the Republic of Kazakhstan as of August 31, 2016 "On approval of the Rules for using codes of economy sectors and payment purposes" (registered in the State Registration Register of Regulatory Legal Acts under № 14365). The detail is mandatory for filling in if the indicated codes of the type of the financial monitoring subject are 011, 013-016 or 101.

Field 2 "Cannot be determined" of the detail is indicated if the payment purpose code cannot be determined.

Detail 3.4 "Number of transactors*" indicates the number of transactors, not including the financial monitoring subject.

Detail 3.5 "Code of the transaction currency*" indicates the code of the currency of the transaction in accordance with Appendix 23 "Classifier of currencies" approved by Decision № 378 of the Customs Union Commission as of September 20, 2010 "On classifiers used to fill out customs declarations" (hereinafter – CUC Decision № 378).

Detail 3.6 "Transaction amount in the currency it was conducted*" indicates the transaction amount in the currency of its performance.

Detail 3.7 "Transaction amount in tenge*" indicates the transaction amount in tenge at the market exchange rate as of the date of the transaction. When specifying the currency code "Tenge (Kazakh)" in detail 3.5 "Code of the transaction currency", the specified amount of the transaction in detail 3.6 "Transaction amount in the currency it was conducted" is duplicated.

Detail 3.8 "Basis for the transaction*" indicates the code of the type of transaction, on the basis of which the transaction with money and (or) other property is performed

in accordance with the directory of codes of types of transactors and transactions with money and (or) other property.

Detail 3.9 "Date and number of a document that is a basis for the transaction" indicates the date and number of the document on the basis of which the transaction is carried out. The date of the document is indicated in the format: day (two digits)/month (two digits)/year (four digits).

Detail 3.10 "Code of the sign of a suspicious transaction" indicates the digital code of the main sign of suspicious transaction in accordance with the signs of identifying a suspicious transaction approved by this Order. The detail is mandatory for filling if detail 1.5 "Basis for reporting" has the filled field "2. Suspicious transaction".

Detail 3.11 "1st additional code of the sign of a suspicious transaction (if any)" indicates the code of the first additional sign of suspicious transaction in accordance with the signs of identifying a suspicious transaction approved by this Order. The detail is filled in if an additional sign of suspiciousness of a financial transaction is found as a result of the implementation of internal control measures.

Detail 3.12 "2nd additional code of the sign of a suspicious transaction (if any)" indicates the code of the second additional sign of suspicious transaction in accordance with the signs of identifying a suspicious transaction approved by this Order. The detail is filled in if an additional sign of suspiciousness of the transaction is found as a result of the implementation of internal control measures.

Detail 3.13 "Description of difficulties encountered in qualifying the transaction as suspicious" indicates a description of difficulties encountered in qualifying a suspicious transaction.

Detail 3.14 "Additional information on the transaction" indicates additional information on the transaction in respect of which, when implementing internal control measures, suspicions arise about its implementation with the aim of legalizing (laundering) proceeds from crime or financing terrorism, except for information to be filled out in the details of section 3 "Information on the transaction subject to financial monitoring".

In the case of submission of a replacing report, this detail shall indicate the information of the corrected details, for example, the transaction amount, the purpose of the payment have been changed, etc.

4. Data on the parties to the transaction subject to financial monitoring

Depending on the number of parties specified in detail 3.4 "Number of transactors", the same number is indicated in section 4 "Data on the parties to the transaction subject to financial monitoring" for each participant.

Detail 4.1 "Transactor" indicates the relevant value of the party to the transaction subject to financial monitoring.

Detail 4.2 "Client of the financial monitoring subject" has such fields as follows:

"1. Is" is indicated if the transactor is not a client of the financial monitoring subject sending the FM-1 form;

"2. Is not" is indicated if the transactor is a client of the financial monitoring subject sending the FM-1 form;

Detail 4.3 "Kind of the transactor" indicates the code of the kind of a transactor in accordance with the directory of codes of types of participants and transactions with money and (or) other property.

Detail 4.4 "Residence" indicates the residence of the transactor in accordance with Appendix 22 "Classifier of the world countries" approved by Decision № 378. It is mandatory to fill out the detail.

Detail 4.5 "Type of the transactor" indicates the relevant value of the type of the party to the transaction subject to financial monitoring.

Detail 4.6 "Foreign public official" indicates the relevant value if field "2. Individual" or "3. Individual entrepreneur" in detail 4.5 "Type of the transactor".

If the field "2. Is" is indicated in detail 4.6 "Foreign public official", detail 4.6 " Additional information on the transactor" sets out detailed information on the foreign public official.

If the field "3. Affiliated with a foreign public official" is indicated in detail 4.25 " Additional information on the transactor" sets out detailed information on the affiliated one with the foreign public official.

The detail is mandatory for filling in in case of indicating field "2. Is" in detail 4.2 " Client of the financial monitoring subject".

Detail 4.7 "Bank of the transactor" indicates the following information on the bank of the transaction:

"1.1. Location of the branch" is indicated if the branch is in the territory of the Republic of Kazakhstan, it is necessary to indicate the address (area (of cities of republican significance and the capital as well), district, populated locality (city/township/village), name of the street/avenue/micro-district, house number), number of the apartment/office) where the transaction is initiated/completed. If the bank is located outside the Republic of Kazakhstan, it is necessary to indicate the country in accordance with Appendix 22 "Classifier of the world countries" approved by CUC Decision № 378.

"1.2. Name of the bank" indicates the full name of the bank;

"1.2.1. Name of MTS" indicates the name of the money transfer system (hereinafter referred to as MTS) in case of making a transaction through MTS, and the field "1.4. Transactor's account number" of detail 4.7 "Bank of the transactor" indicates the control number of the transfer (MTCN or other).

"1.3. Code of the bank/branch" indicates, for example, BIC for residents and SWIFT BIC (or non-SWIFT BIC) for non-residents or other. If a transaction is carried

out by a bank branch, it is mandatory to indicate the branch code assigned by the National Bank of the Republic of Kazakhstan in accordance with Resolution № 236 of the Board of the National Bank of the Republic of Kazakhstan as of August 24, 2012 " On Approval of the Instruction on the assignment, use and cancellation of bank identification codes by the National Bank of the Republic of Kazakhstan, as well as the assignment and cancellation of codes of banks and organizations carrying out certain types of banking operations, and codes of branches of banks and organizations carrying out certain types of banking operations, their structure, the formation and maintenance of the Directory of banks and organizations carrying out certain types of banking operations" (registered in the State Registration Register of Regulatory Legal Acts under № 7960).

"1.4. Transactor's account number" indicates the transactor's account number, for example, IBAN or another.

"1.5. Data on correspondent accounts involved in the transaction" has the following values:

"1.5.1. Location of the bank" indicates the country of location of the correspondent bank in accordance with Appendix 22 "Classifier of the world countries" approved by the CUC Decision № 378;

"1.5.2. Name of the bank" indicates the full name of the correspondent bank.

If there is no account number in the field "1.4. Transactor's account number", it is necessary to indicate "without account number".

It is mandatory to fill out the detail if the codes of the types of the financial monitoring subject are 011, 013-016 or 101 in detail 2.1 " Code of the financial monitoring subject".

Detail 4.8 "Name of the transactor (for legal entities)" is indicated if the field "1. Legal entity" of detail 4.5 "Type of the transactor" and has the following values:

"1. Transactor":

field "1.1. Organizational form" indicates the organizational legal form of the transactor (for example, JSC (joint stock company), LLP (limited liability partnership), IE (individual entrepreneur) or other organizational legal form);

field "1.2. Name:" indicates the name of the transactor in accordance with the constituent documents without quotation marks.

"2. Cannot be identified" is indicated if the name of the transactor cannot be established.

It is mandatory to fill out the detail if the field "1. Legal entity" of detail 4.5 "Type of the transactor" is filled in.

Detail 4.9 "Founders of the transactor (for legal entity)" is indicated if the field "1. Legal entity" in detail 4.5 "Type of the transactor" has data on all founders of the transactors with a participatory interest of at least 10 percent:

"1.1. Organizational form:" indicates the organizational legal form of the transactor (for example, JSC (joint stock company), LLP (limited liability partnership), IE (individual entrepreneur) or other organizational legal form). If the transactor's founder is an individual, this field is not filled.

"2.1. Name:" indicates the name of the transactor's founder in accordance with the constituent documents without quotation marks if the founder of the transactor is a legal entity. If the transactor's founder is an individual or an individual entrepreneur, it is necessary to indicate the surname, name, patronymic (if any).

"3. Residence:" indicates the country of the transactor's founder in accordance with Appendix 22 "Classifier of the world countries" approved by CUC Decision № 378.

It is mandatory to fill in this detail in case of simultaneous indication of the field "2 . Suspicious transaction" of detail 1.5 "Basis for reporting" and the field "2. Is" of detail 4.2 "Client of the financial monitoring subject" is indicated.

Detail 4.10 "The head (for legal entity)" indicates the data of the first executive officer of the transactor if the field "1. Legal entity" of detail 4.5 "Type of the transactor" is filled in, namely the surname, name, patronymic (if any).

It is mandatory to fill in the detail in case of indicating the field "2. Is" of detail 4.2 "Client of the financial monitoring subject" is indicated.

Detail 4.11 "The detail is not active". The serial number of the detail does not change due to the lack of technical capabilities of the software.

Detail 4.12 "Common Classifier of Economic Activities (hereinafter - CCEA) " indicates the CCEA code of the transactor in accordance with Order № 68-od of the acting chairman of the Committee for Technical Regulation and Metrology of the Ministry of Industry and Infrastructure Development of the Republic of Kazakhstan as of February 22, 2019 "On some issues of standardization" in the case of filling in the field "1. Legal entity" of detail 4.5 "Type of the transactor". It is mandatory to fill in the detail if the field "2. Is" of detail 4.2 "Client of the financial monitoring subject" is indicated.

Detail 4.13 "IIN/BIN" indicates the individual identification number or business identification number of the transactor or the number of registration of a non-resident legal entity in a foreign state. The detail is mandatory if transactors are residents of the Republic of Kazakhstan.

Detail 4.14 "Surname, name, patronymic (for individuals and individual entrepreneurs)*" indicates the data of an individual or an individual entrepreneur of the transactor, namely the surname, name, patronymic (if any). It is mandatory to fill in the detail if the fields "2. Individual" or "3. Individual entrepreneur" of detail 4.5 "Type of the transactor".

The field "2.1. Cannot be identified" of detail 4.14 "Surname, name, patronymic (for individuals and individual entrepreneurs)" is indicated if the transactor's identity cannot be established.

Detail 4.15 "Identity document" indicates the digital code of the type of identity document in accordance with the directory of codes of types of documents if the field "2. Individual" or "3. Individual entrepreneur" of detail 4.5 "Type of the transactor" is indicated. It is mandatory to fill in the detail if the field "2. Is" of detail 4.2 "Client of the financial monitoring subject" is indicated.

Detail 4.16 "Number and series of the identity document" indicates the series and number of the identity document of the transactor if the field "2. Individual" or "3. Individual entrepreneur" of detail 4.5 "Type of the transactor" is filled in. It is mandatory to fill in the detail if the field "2. Is" of detail 4.2 "Client of the financial monitoring subject" is indicated.

Detail 4.17 "Identity document issued by" indicates the name of the authority that issued the identity document of the transactor if the field "2. Individual" or "3. Individual entrepreneur" of detail 4.5 "Type of the transactor" is filled in. It is mandatory to fill in the detail if the field "2. Is" of detail 4.2 "Client of the financial monitoring subject" is indicated.

Detail 4.18 "Identity document issued on" indicates the date of issue of the identity document of the transactor in the format: day (two digits)/month (two digits)/year (four digits) if the field "2. Individual" or "3. Individual entrepreneur" of detail 4.5 "Type of the transactor" is filled in. It is mandatory to fill in the detail if the field "2. Is" of detail 4.2 "Client of the financial monitoring subject" is indicated.

Detail 4.19 "Date of birth" indicates the date of birth of the transactor in the format: day (two digits)/month (two digits)/year (four digits) if the field "2. Individual" or "3. Individual entrepreneur" of detail 4.5 "Type of the transactor" is filled in. It is mandatory to fill in the detail if the field "2. Is" of detail 4.2 "Client of the financial monitoring subject" is indicated.

Detail 4.20 "Place of birth" indicates the place of birth of the transactor in accordance with Appendix 22 " Classifier of the world countries" approved by CUC decision № 378 if the field "2. Individual" or "3. Individual entrepreneur" of detail 4.5 "Type of the transactor" is filled in. It is mandatory to fill in the detail if the field "2. Is " of detail 4.2 "Client of the financial monitoring subject" is indicated.

Detail 4.21 "Legal address" indicates the legal address for legal entities or the address of the place of registration of the transactor for individuals in the format: area (of cities of republican significance and the capital as well), district, populated locality (city/township/village, excluding cities of republican significance and the capital), name of the street/avenue/micro-district, house number, number of apartment/office (if any).

Detail 4.22 "Contact phone number" indicates the phone number of the transactor either a mobile number (in the format +7 XXX XXX XXXX) or landline city number (in the format: city code/phone number/internal phone number if any).

Detail 4.23 "Email" indicates the transactor's e-mail address registered on the Internet.

Detail 4.24 "Actual address" indicates the address of the location for legal entities or the address of the residence of the transactor for individuals in the format: area (of cities of republican significance and the capital as well), district, populated locality (city/township/village, excluding cities of republican significance and the capital), name of the street/avenue/micro-district, house number, number of the apartment/office (if any), postal code.

Detail 4.25 "Additional information on the transactor" indicates additional information on the transactor in whose respect suspicions arise during the implementation of internal control measures about his/her/its involvement in legalization (laundering) of proceeds from crime and (or) financing of terrorism, except for information to be filled out in the details of section 4 " Data on the parties to the transaction subject to financial monitoring".

Appendix 2
to the Rules for submitting data
and information on transactions
subject to financial monitoring
by financial monitoring subjects

XML format of information provided electronically by financial monitoring subjects

1. Types of messages in the system

Item №	Type of the message in the system	Name of xml file
1	Information message in the FM-1 form	doc
2	FM-1 form acceptance notice	Ack1
3	FM-1 form rejection notice	Ack2
4	Request for registration of financial monitoring subjects	Registration
5	Receipt for the delivery of the FMS registration request	Ack12
6	Notification of a positive result of consideration of the request for FMS registration	Ack14
7	Notification of a negative result of consideration of the request for FMS registration	Ack13
8	Request for additional information	DocInfo
9	Notification of acceptance of a request for additional information	Ack1

10	Notification of rejection of a request for additional information	Ack2
11	Response to a request for additional information	UponDocInfo
12	Notification of acceptance of a response to a request for additional information	Ack1
13	Notification of rejection of a response to a request for additional information	Ack2

To provide data, UTF-16 character encoding is used, special characters & (ampersand), <> (opening closing brackets), `(apostrophe) are excluded from the set of valid characters.

2. Tags that must be present in messages of various purposes

Location of the tag in the document	Type of the element	Description of the element
/ExportData/SignedData/ Sender	Text string up to 32 characters: characters from A to Z, digits from 0 to 9	Sender. 1) A string with the name of the FMS organization that sent the message to the FMC. To be indicated if the sender of the message is FMS. 2) The string "FMC". To be indicated if the sender of the message is FMC.
/ExportData/SignedData/ Receiver	Text string up to 32 characters: characters from A to Z, digits from 0 to 9	Recipient. 1) The string "FMC". To be indicated if the recipient of the message is FMC. 2) A string with the name of the FMS organization. To be indicated if the recipient of the message is FMS.
/ExportData/SignedData/ TieStamp	DateType (provided as dd.mm.yyyy hh24: mm: ss)	Time of sending the document
/ExportData/SignedData/Data/Root/ Version	Text string up to 36 characters: characters from A to F, digits from 0 to 9	GUID of the document version in the format XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX (hexadecimal number in upper case with hyphens)
/ExportData/SignedData/Data/Root/ DocumentUniqueIdentifier	Text string up to 36 characters: characters from A to F, digits from 0 to 9	GUID of the document in the format XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX (hexadecimal number in upper case with hyphens)
/ExportData/SignedData/Signature	base64 string, formed using the Tumar cryptographic provider in a W3C-compliant format	EDS of the document
/ExportData/TransportType	Number	Transport type

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1. The Check tag is used in notifications of acceptance instead of the Root tag.

3. Tags used to generate an information message of the FM-1 form of data and information on a transaction subject to financial monitoring

Location of the tag in the document	Type of the element	Description of the element*
/ExportData/SignedData/Data/Root/PersonalData		[2] Information on the financial monitoring subject that sent the FM-1 form
/ExportData/SignedData/Data/Root/PersonalData/FirstName	Text string of 100 characters	[2.7 (1)] Surname
/ExportData/SignedData/Data/Root/PersonalData/SecondName	Text string of 100 characters	[2.7 (2)] Name
/ExportData/SignedData/Data/Root/PersonalData/MiddleName	Text string of 100 characters	[2.7 (3)] Patronymic (if any)
/ExportData/SignedData/Data/Root/PersonalData/JobName	Text string of 300 characters	[2.7.1] Position of the executive official
/ExportData/SignedData/Data/Root/PersonalData/Phone	in the format city code/phone number/extension phone number separated by commas	[2.8] Contact phone numbers
/ExportData/SignedData/Data/Root/PersonalData/Email	Text string of 100 characters	[2.9] Email
/ExportData/SignedData/Data/Root/PersonalData/OrganisationCode	Number	[2.1] Code of the financial monitoring subject Numbering and descriptions are in accordance with Appendix 3 to the Rules **.
/ExportData/SignedData/Data/Root/PersonalData/OrganisationOPF	Number	[2.2 (1.1)] Organizational form of the financial monitoring subject
/ExportData/SignedData/Data/Root/PersonalData/Organisatio	Text string of 300 characters	[2.2 (1.2)] Name of the financial monitoring subject
/ExportData/SignedData/Data/Root/PersonalData/OrganisationArea/@Code	Number	[2.5 (1)] Area code (according to the CATO directory)
/ExportData/SignedData/Data/Root/PersonalData/OrganisationCity/@Code	Number	[2.5 (3)] Code of a populated locality (city/township/village) (according to the CATO directory)
/ExportData/SignedData/Data/Root/PersonalData/OrganisationDistrict/@Code	Number	[2.5 (2)] District code (according to the CATO directory)
/ExportData/SignedData/Data/Root/PrsonalData/OrganisationStreet	Text string of 100 characters	[2.5 (4)] Name of the street/avenue/micro-district
/ExportData/SignedData/Data/Root/PersonalData/OrganisationHouse	Text string of 100 characters	[2.5 (5)] Hose number
/ExportData/SignedData/Data/Root/PersonalData/OrganisationOffice	Text string of 100 characters	[2.5 (6)] Number of the apartment/office (if any)
/ExportData/SignedData/Data/Root/PersonalData/OrganisationPostalIndex	Number	[2.5 (7)] Postal code

/ExportData/SignedData/Data/Root/ PesonalData/IINBIN	12 digits	[2.4] IIN/BIN
/ExportData/SignedData/Data/Root/ PersonalData/AdditionalAcData		[2.6 – 2.6.3] Data of the identity document (for CFM that is an individual)
/ExportData/SignedData/Data /Root/ PersonalData/AdditionalAcData/ FirstName	Text string	[2.2 (1.2.2)] Name of CFM that is an individual or individual entrepreneur
/ExportData/SignedData/Data /Root/ PersonalData/AdditionalAcData/ LastName	Text string	[2.2 (1.2.1)] Surname of CFM that is an individual or individual entrepreneur
/ExportData/SignedData/Data /Root/ PersonalData/AdditionalAcData/ MiddleName	Text string	[2.2 (1.2.3)] Patronymic of CFM that is an individual or individual entrepreneur
/ExportData/SignedData/Data/Root/ PersonalData/AdditionalAcData/ @IsAc	True or False	Attribute indicating whether the reporting FMS is an individual. If not, the tags corresponding to pp. [2.6 - 2.6.3] of the Rules are not indicated.
/ExportData/SignedData/Data/Root/ PersonalData/AdditionalAcData /DocumentIdentity	Number	[2.6] Type code of the identity document (for individuals). Numbering and descriptions are in accordance with Appendix 4 to the Rules **.
/ExportData/SignedData/Data/Root/ PersonalData/AdditionalAcData/ SeriesDocIdentity	Text string up to 50 characters	[2.6.1 (1)] Number of the identity document (for individuals)
/ExportData/SignedData/Data/Root/ PersonalData/AdditionalAcData/ NumberDocIdentity	Text string up to 50 characters	[2.6.1 (2)] Series of the identity document (for individuals)
/ExportData/SignedData/Data/Root/ PersonalData/AdditionalAcData/ DateIssuance	Data (as dd.mm.yyyy)	[2.6.3] Identity document issued on (for individuals)
/ExportData/SignedData/Data/Root/ PersonalData/AdditionalAcData/ DocumentIssued	Text string up to 300 characters	[2.6.2] Identity document issued by (for individuals)
/ExportData/SignedData/Data/Root/ MessageInformation		[1] Data of the message and [3] Information on the transaction subject to financial monitoring
/ExportData/SignedData/Data/Root/ MessageInformation/DocumentType	Number	[1.3] Type of document – Numbering and descriptions are in accordance with p.1.3 of Appendix 1 to the Rules **.
/ExportData/SignedData/Data/Root/ Messagenformation/MessageNumbe	Number	[1.1(1)] Number of the FM-1 form
/ExportData/SignedData/Data/Root/ MessageInformation/ LastModifyDate	Date as dd.mm.yyyy	[1.2] Date of the FM-1 form

/ExportData/SignedData/Data/Root/ MessageInformation/ TransactionDate	Date as dd.mm.yyyy hh24:m:ss	Time of completion/start/pause of the FMS's transaction. Absent if the number 4 is indicated in p.[1.4] of the Rules**.
/ExportData/SignedData/Data/Root/ MessageInformation/ ViewOperationId	Number	[3.2 (1)] Code of transaction type - Numbering and descriptions are in accordance with Appendix 5 to the Rules**.
/ExportData/SignedData/Data/Root/ MessageInformation/EknpId	Number	[3.3 (1)] SPPC code. The identifier of the SPPC code is indicated.
/ExportData/SignedData/Data/Root/ MessageInformation/EknpId/ @IsEknpNotSetup	True or False	[3.3 (2)] Unable to set SPPC code - if set to True
/ExportData/SignedData/Data/Root/ MessageInformation/ OperationNumber	Text string of 30 characters	[3.1] Transaction number
/ExportData/SignedParticipant/ IndividualIssueData/Data/Root/ MessageInformation/ DocOperationReason	Number	[3.8] Basis for the transaction. Numbering and descriptions are in accordance with Appendix 6 to the Rules**.
/ExportData/SignedData/Data/Root/ MessageInformation/ DocOperationDate	Text string as dd.mm.yyyy	[3.9 (1)] Date of a document that is a basis for the transaction
/ExportData/SignedData/Data/Root/ MessageInformation/ DocOperationNumber	Text string of 30 characters	[3.9 (2)] Number of a document that is a basis for the transaction
/ExportData/SignedData/Data/Root/ MessageInforation/ CurrencyCodeId	Number	[3.5] Transaction currency code in accordance with Appendix 23 " Currency Classifier" approved by CUC Decision № 378.
/ExportData/SignedData/Data/Root/ MessageInformation/ AmountCurrency	Number	[3.6] The transaction amount in the currency it was conducted. Currency format - 99999999999999999999.99 (dot notation)
/ExportData/SignedData/Data/Root/ MessageInformation/ AmountCurrencyTenge	Number	[3.7] Transaction amount in tenge. Currency format - 99999999999999999999.99 (dot notation).
/ExportData/SignedData/Data/Root/ MessageInformation/ OperationStatusId	Number	[1.4] Stage of transaction. Numbering and description are in accordance with p.1.4 of Appendix 1 to the Rules**.
/ExportData/SignedData/Data/Root/ MessageInformation/ReasonFilingId	Number	[1.5] Basis for reporting. Numbering and descriptions are in accordance with level one of p.1.5 of Appendix 1 to the Rules**.
/ExportData/SignedData/Data/Root/ MessageInformaton/CounterMeasure		[1.5] Countermeasure when matching the list of organizations and individuals. Numbering and descriptions are in accordance with

		level two of sp. 4. of p.1.5 of Appendix 1 to the Rules**.
/ExportData/SignedData/Data/Root/ MessageInformation/SuspicionFirst	Number	[3.10] Code of the sign of a suspicious transaction Numbering and descriptions are in accordance with Appendix 7 to the Rules**. It is mandatory to fill in the detail if item 2 is indicated in detail 1.5 of Appendix 1 to the Rules**.
/ExportData/SignedData/Data/Root/ MessageInormation/ SuspicionSecond	Number	[3.11] 1st additional sign of a suspicious transaction. Numbering and descriptions are in accordance with Appendix 7 to the Rules**.
/ExportData/SignedData/Data/Root/ MessageInformation/SuspicionThird	Number	[3.12] 2nd additional sign of a suspicious transaction. Numbering and descriptions are in accordance with Appendix 7 to the Rules**.
/ExportData/SignedData/Data/Root/ MessageInformation/ DescriptionDifficulties	Text string of 1000 characters	[3.13] Description of difficulties encountered in qualifying the transaction as suspicious
/ExportData/SignedData/Data/Root/ MessageInformation/ MoreInformation	Text string of 1000 characters	[3.14] Additional information on the transaction
/ExportData/SignedData/Data/Root/ MessageInformation/ ParticipantCount	Number	[3.4] Number of transactors
/ExportData/SignedData/Data/Root/ MessageInformation/MerchTypes	Number	[3.2 (2.1)] Type of property. Code of property type: 1 – Car 2 – Apartment 3 – Land lot 4 - Other
/ExportData/SignedData/Data/Root/ MessageInformation/MerchRegnfo	Text string of 50 characters	[3.2 (2.2)] Registration number of property
/ExportData/SignedData/Data/Root/ MessageInformation/ReferCount		Number of relations with other FM-1 forms
/ExportData/SignedData/Data/Root/ References		[1.1 (2)] Data on relations with other FM-1 forms (if any)
/ExportData/SignedData/Data/Root/ References/Reference		[1.1 (2)] Relation to another FM-1 form
/ExportData/SignedData/Data/Root/ References/Reference/ReferenceId	Number	Serial number of relation with another form
/ExportData/SignedData/Data/Root/ References/ Reference / ReferenceOperationNumber	Text string of 50 characters	[1.1 (2.1)] Number of the related FM -1 form
/ExportData/SignedData/Data/Root/ References/Reference / ReferenceDocOperationDate	Text string as dd.mm.yyyy	[1.1 (2.2)] Data of the related FM-1 form
/ExportData/SignedData/Data/Root/		

References/Reference / ReferenceDocOperationNumber	Text string of 50 characters	Number of the transaction in the related form
/ExportData/SignedData/Data/Root/ Participants		[4] Data on parties to the transaction subject to financial monitoring
/ExportData/SignedData/Data/Root/ Participants/Participant		[4] Data on the parties to the transaction subject to financial monitoring
/ExportData/SignedData/Data/Root/ Participants/Participant/MemberId	Number	[4.1] Transactor. Numbering and descriptions are in accordance with p . 4. of Appendix 1 to the Rules**.
/ExportData/SignedData/Data/Root/ Participants/Participant/ ParticipantsView	Number	[4.3] Kind of the transactor. Numbering and descriptions are in accordance with Appendix 6 to the Rules**.
/ExportData/SignedData/Data/Root/ Participants/Participant/ ParticipantsType	Number	[4.5] Type of the transactor. Numbering and descriptions are in accordance with p. 4.5 of Appendix 1 to the Rules for submitting CFM data. Depending on the transactor's type, one of the threads is filled in: - AdditionalInformationUr – for legal entities; - AdditionalInformationAc – for individuals; - AdditionalInformationIp – for individual entrepreneurs.
/ExportData/SignedData/Data/Root/ Participants/Participant/ IsClientSubject	Number	[4.2] Client of the financial monitoring subject. Numbering and descriptions are in accordance with p .4.2 of Appendix 1 to the Rules **. Indicate the number "1" if it is not a client of FMS, the number "2" if it is a client
/ExportData/SignedData/Data/Root/ Participants/Participant/Residence	String of 2 characters (country character code)	[4.4] Residence. Numbering and descriptions are in accordance with Appendix 22 "Classifier of the world countries" approved by CUC decision № 378.
/ExportData/SignedData/Data/Root/ Participants/Participant/ ForeignPerson	Number	[4.6] Foreign public official. Numbering and descriptions are in accordance with p.4.6 of Appendix 1 to the Rules**.
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank		[4.7] Bank of the transactor
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/ AccountNumber	Text string of 300 characters	[4.7 (1.4)] Transactor's account number

/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/Name	Text string of 300 characters	[4.7 (1.2)] Name of the bank/branch
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/Code	Text string of 50 characters	[4.7 (1.3)] Code of the bank/branch
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/BankAddress		
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/BankCountry	String of 2 characters (country character code)	[4.7 (1.1)] Location of the bank. Numbering and descriptions are in accordance with Appendix 22 " Classifier of the world countries" approved by CUC decision № 378.
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/BankCity	Text string of 50 characters	[4.7 (1.1)] Location of the branch if it is located in the Republic of Kazakhstan. The populated locality where the transaction is initiated/ completed is indicated
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/ BankOffshoreAddr	String of 2 characters (country character code)	[4.7 (1.1)] Country of offshore detail 3.2 "Code of the transaction's type" has the value 611-634. It is necessary to indicate the identifier of the offshore zone in accordance with Order № 52 of the acting Minister of Finance of the Republic of Kazakhstan as of February 10, 2010 "On approval of the List of offshore zones for the purposes of the Law of the Republic of Kazakhstan "On Counteracting the Legalization (Laundering) of Criminally Obtained Incomes and Financing of Terrorism " registered in the State Registration Register of Regulatory Legal Acts under № 6058.
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/@IsOffshore	True or False	Auxiliary sign of the location of a branch in an offshore zone
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/ CorrespondentsInformations		[4.7 (1.5)] Information on the correspondent accounts involved in the transaction
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/ CorrespondentsInformations/ CorrespondentInformation		[4.7 (1.5)] Data on the correspondent account involved in the transaction
/ExportData/SignedData/Data/Root/ Participants/Participant/		

CorrespondentBank/ CorrespondentsInformations/ CorrespondentInformation/ BankName	Text string of 300 characters	[4.7 (1.5.2)] Name of the bank
/ExportData/SignedData/Data/Root/ Participants/Participant/ CorrespondentBank/ CorrespondentsInformations/ CorrespondentInformation/ BankCountry	String of 2 characters (country character code)	[4.7 (1.5.1)] Location of the bank. Numbering and description are in accordance with Appendix 22 " Classifier of the world countries" approved by CUC decision № 378.
/ExportData/SignedData/Data/Root/ Participants/Participant/ IndividualIssue	Text string of 32 characters	[4.13] IIN/BIN
/ExportData/SignedData/Data/Root/ Participants/Participant/OKED	Text string of 5 characters	[4.12] CCEA. CCEA code is indicated in accordance with the " Common Classifier of Economic Activities (CCEA 5-digit)" approved by Order № 67 of the Chairman of the Statistics Agency of the Republic of Kazakhstan as of May 20, 2008, posted on the official website of the Statistics Committee of the Ministry of National Economy of the Republic of Kazakhstan.
/ExportData/SignedData/Data/Root/ Participants/Participant/ PhoneNumber	in the format: city code/phone number/extension phone number separated by commas	[4.22] Contact phone number
/ExportData/SignedData/Data/Root/ Participants/Participant/Email	Text string of 100 characters	[4.23] Email
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalInformation	Text string of 1000 characters	[4.25] Additional information on the transactor
/ExportData/SignedData/Data/Root/ Participants/Participant/ MoneyTransSys	Number	[4.7 (1.2.1)] Name of the money transfer system
/ExportData/SignedData/Data/Root/ Participants/Participant/Founders		[4.9] Founders of the transactor (for legal)
/ExportData/SignedData/Data/Root/ Participants/Participant/Founders/ Founder		[4.9] Founder of the transactor (for legal)
/ExportData/SignedData/Data/Root/ Participants/ Participant/Founders/Founder/ FounderType	Number	Auxiliary sign of the founder's type: 1 – Legal entity 2 – Individual 3 – Individual entrepreneur
/ExportData/SignedData/Data/Root/ Participants/Participant/Founders/ Founder/FounderOPF	Text string of 1000 characters	[4.9 (1.1)] Organizational form of the transactor's founder (to be filled in for a legal entity)
/ExportData/SignedData/Data/Root/		

Participants/Participant/Founders/ Founder/Name	Text string of 1000 characters	[4.9 (2.1)] Name of the transactor's founder (to be filled in for a legal entity)
/ExportData/SignedData/Data/Root/ Participants/Participant/Founders/ Founder/FirstName	Text string of 300 characters	[4.9 (1.2.2)] Name of the transactor's founder (to be filled in for the founder of an individual)
/ExportData/SignedData/Data/Root/ Participants/Participant/ Founders/Founder/SecondName	Text string of 300 characters	[4.9 (1.2.1)] Surname of the transactor's founder (to be filled in for the founder of an individual)
/ExportData/SignedData/Data/Root/ Participants/Participant/ Founders/Founder/MiddleName	Text string of 300 characters	[4.9 (1.2.3)] Patronymic of the transactor's founder (to be filled in for the founder of an individual)
/ExportData/SignedData/Data/Root/ Participants/Participant/ Founders/Founder/Residence	String of 2 characters (country character code)	[4.9 (2)] Residence of the transactor's founder. Numbering and description are in accordance with Appendix 22 "Classifier of the world countries" approved by Decision № 378
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo		Additional information on transactors. Division into legal entities, individuals and individual entrepreneurs
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr		Additional information on the transactor that is a legal entity
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr/ URAddress	Composite type Address	[4.21] Legal address. The description is given below in the description of composite element types.
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr/ ACAddress	Composite type Address	[4.24] Actual address. The description is given below in the description of composite element types.
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr/FullName	Text string of 300 characters	[4.8 (1.2)] Name of the transactor (for transactors – legal entities)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr/FullName/ @IsFullNameSetup	True or False	[4.8 (2)] Impossible to identify the name of the transactor if the value is True (for transactors - legal entities)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr/FirstHead		[4.10] The head (for transactors - legal entities)
/ExportData/SignedData/Data/Root/		

Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr/ FirstHead/FirstName	Text string of 300 characters	[4.10 (2)] The head's name
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr/FirstHead/ SecondName	Text string of 300 characters	[4.10 (1)] The head's surname
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr/FirstHead/ MiddleName	Text string of 300 characters	[4.10 (3)] The head's patronymic (if any)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationUr/ ParticipantOPF	Number	[4.8 (1.1)] Transactor's organizational form (for transactors - legal entities)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc		Additional information on the transactor that is an individual
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ URAddress	Composite type Address	[4.21] Legal address. Description is given below.
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ ACAddress	Composite type Address	[4.24] Actual address. Description is given below.
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc /FIO		[4.14] FIO (for individuals)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ FIO/FirstName	Text string of 1000 characters	[4.14 (1.2)] Name
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/FIO/ SecondName	Text string of 1000 characters	[4.14 (1.1)] Surname

/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ FIO/MiddleName	Text string of 1000 characters	[4.14 (1.3)] Patronymic (if any)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/FIO @IsFioNotSetup	True or False	[4.14 (2.1)] Impossible to identify in case of the True value
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ PlaceBirth	Text string of 300 characters	[4.20] Place of birth (for individuals)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ DateBirth	Text string as dd.mm.yyyy	[4.19] Date of birth (for individuals)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ DocumentIdentity	Number	[4.15] Identity document. Numbering and descriptions are in accordance with Appendix 4 to the Rules**.
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ SeriesDocIdentity	Text string of 10 characters	[4.16 (2)] Series of the identity document
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ NumberDocIdentity	Text string of 20 characters	[4.16 (1)] Number of the identity document
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ DocumentIssued	Text string of 300 characters	[4.17] The identity document is issued by
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationAc/ DateIssuance	Text string as dd.mm.yyyy	[4.18] The identity document is issued on
/ExportData/SignedData/Data/Root/ Participants/Participant/		Additional information on an individual entrepreneur - the composition of the tags is the same as that for an individual, except for the "ParticipantOPF" tag below.

AdditionalPersonInfo/ AdditionalInformationIp		This tag is located between the "FIO" and "PlaceBirth" tags.
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/URAddress	Composite type Address	[4.21] Legal address. The description is given below.
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ACAddress	Composite type Address	[4.24] Actual address. The description is given below.
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/FIO		[4.14] FIO (for individual entrepreneurs)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ FIO/FirstName	Text string of 1000 characters	[4.14 (1.2)] Name
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/FIO/ SecondName	Text string of 1000 characters	[4.14 (1.1)] Surname
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ FIO/MiddleName	Text string of 1000 characters	[4.14 (1.3)] Patronymic (if any)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/FIO/ @IsFioNotSetup	True or False	[4.14 (2.1)] Impossible to identify in case of the True value
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ PlaceBirth	Text string of 300 characters	[4.20] Place of birth for individual entrepreneurs)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ DateBirth	Text string as dd.mm.yyyy	[4.19] Date of birth (for individual entrepreneurs)
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ DocumentIdentity	Number	[4.15] Identity document. Numbering and descriptions are in accordance with Appendix 4 to the Rules**.

/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ SeriesDocIdentity	Text string of 10 characters	[4.16 (2)] Series of the identity document
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ NumberDocIdentity	Text string of 20 characters	[4.16 (1)] Number of the identity document
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ DocumentIssued	Text string of 300 characters	[4.17] The identity document is issued by
/ExportData/SignedData/Data/Root/ Participants/Participant/ AdditionalPersonInfo/ AdditionalInformationIp/ DateIssuance	Text string as dd.mm.yyyy	[4.18] The identity document is issued on

4. Description of composite element types

Type identifier	Simple element identifier	Element type	Description of the element
Address	Country	2-character string (country character code)	Country code. Numbering and descriptions are in accordance with Appendix 22 "Classifier of the world countries" approved by CUC Decision № 378.
	Area	Text string of 100 characters	Area
	Area/@Code	Number	CATO code of the area
	District	Text string of 100 characters	District
	District/@Code	Number	CATO code of the district
	Town	Text string of 100 characters	Populated locality
	Town/@Code	Number	CATO code of the populated locality
	Street	Text string of 100 characters	Street
	HomeNumber	Text string of 10 characters	House number
	OfficeNumber	Text string of 10 characters	Office number
	PostalCode	Text string containing digits	Postal code

2. The Root tag is used in notifications of rejection instead of the Check tag.

5. Tags used to generate a notification of acceptance/rejection of the FM-1 form of data and information on a transaction subject to financial monitoring

Location of the tag in the document	Element type	Description of the element
/ExportData/SignedData/Data/Check / Description	Text string of 3000 characters	Explanations (applied when sending a notification again)
/ExportData/SignedData/Data/Check / OriginalDocumentGuid	Text string of 36 characters: characters from A to Z, digits from 0 to 9	GUID of the parent message in the f o r m a t XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX (hexadecimal number in the upper case with hyphens)
/ExportData/SignedData/Data/Check / ErrorCode	Number	Error code. In case of notification with refusal, it is different from 0
/ExportData/SignedData/Data/Check / ErrorName	Text string of 3000 characters	Name of error\encountered difficulties
/ExportData/SignedData/Data/Check / AcceptanceDateTime	Date as dd.mm.yyyy hh24:mi:ss	Date and time of acceptance (rejection) of FM-1 form

6. Tags used to generate a FMS registration request

Location of the tag in the document	Element type	Description of the element
/ExportData/SignedData/Data/Root/ OrganisationData		Information on FMS, its founders and responsible persons
/ExportData/SignedData/Data/Root/ OrganisationData/SystemId	Number	Identifier of registered FMS. It is indicated only when correcting or changing registration information. The value must match the / ExportData/SignedData/Data/Root/ SystemId / tag from the notification of FMC registration request approval .
/ExportData/SignedData/Data/Root/ OrganisationData/FMSCode	Number	Code of the financial monitoring subject. Numbering and descriptions are in accordance with Appendix 3 to the Rules**. (If registration is successful, this value is indicated in field [2.1] of FM-1Form.)
/ExportData/SignedData/Data/Root/ OrganisationData/OpfCode	Number	OLF code of the financial monitoring subject. Numbering and descriptions are in accordance with the classifier of organizational and legal forms. If registration is successful, this value is indicated in the field [2.2 (1.1)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/OrgName	Text string of 300 characters	Name of the financial monitoring subject. If registration is successful, this value is indicated in the field [2.2 (1.2)] of FM-1 form.
/ExportData/SignedData/Data/Root/	12 digits	IIN/BIN of the financial monitoring subject (If registration is successful,

OrganisationData/IINBIN		this value is indicated in the field [2.4] of FM-1 form.)
/ExportData/SignedData/Data/Root/ OrganisationData/PostalIndex	Text string of 30 characters	Postal code of the financial monitoring subject. If registration is successful, this value is indicated in the field [2.5 (7)] of FM-1 form
/ExportData/SignedData/Data/Root/ OrganisationData/Area/@code	Number	Area code according to the CATO directory. If registration is successful, this value is indicated in the field [2.5 (1)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/District/@code	Number	District code according to the CATO directory. If registration is successful, this value is indicated in the field [2.5 (2)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/City/@code	Number	Code of the populated locality (city/township/village) according to the CATO directory. If registration is successful, this value is indicated in the field [2.5 (3)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/Street	Text string of 100 characters	Name of the street/avenue/m-district. If registration is successful, this value is indicated in the field [2.5 (4)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/House	Text string of 100 characters	House №. If registration is successful, this value is indicated in the field [2.5 (5)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/Office	Text string of 100 characters	Apartment/office №. If registration is successful, this value is indicated in the field [2.5 (6)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/ AdditionalAcData		Additional information on the individual that is a financial monitoring subject
/ExportData/SignedData/Data/Root/ OrganisationData/AdditionalAcData/ @IsAc	True or False	Attribute indicating whether the financial monitoring subject is an individual. If not, then tags in /ExportData/SignedData/Data/Root/ OrganisationData/AdditionalAcData are not specified.
/ExportData/SignedData/Data/Root/ OrganisationData/ AdditionalAcData/FirstName	Text string of 100 characters	Name of the individual that is a financial monitoring subject. If registration is successful, this value is indicated in the field [2.2 (1.2.2)] of FM-1 form
/ExportData/SignedData/Data/Root/ OrganisationData/AdditionalAcData/ LastName	Text string of 100 characters	Surname of the individual that is a financial monitoring subject. If registration is successful, this value is indicated in the field [2.2 (1.2.1)] of FM-1 form
		Patronymic of the individual that is a financial monitoring subject. If

/ExportData/SignedData/Data/Root/ OrganisationData/AdditionalAcData/ MiddleName	Text string of 100 characters	registration is successful, this value is indicated in the field [2.2 (1.2.3)] of FM-1 form
/ExportData/SignedData/Data/Root/ OrganisationData/AdditionalAcData/ DocumentIdentity	Number	Code of the identity document type (for individuals). Numbering and descriptions are in accordance with Appendix 4 to the Rules**. If registration is successful, this value is indicated in the field [2.6] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/AdditionalAcData/ SeriesDocIdentity	Text string of 50 characters	Identity document number (for individuals). If registration is successful, this value is indicated in the field [2.6.1 (1)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/AdditionalAcData/ NumberDocIdentity	Text string of 50 characters	Series of the identity document (for individuals). If registration is successful, this value is indicated in the field [2.6.1 (2)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/AdditionalAcData/ DateIssuance	Date (as dd.mm.yyyy)	Identity document issued on (for individuals). If registration is successful, this value is indicated in the field [2.6.3] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/AdditionalAcData/ DocumentIssued	Text string of 300 characters	Identity document issued by (for individuals). If registration is successful, this value is indicated in the field [2.6.2] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/Persons		Information on responsible persons of the financial monitoring subject
/ExportData/SignedData/Data/Root/ OrganisationData/Persons/Person		Information on the responsible person of the financial monitoring subject
/ExportData/SignedData/Data/Root/ OrganisationData/Persons/Person/ FirstName	Text string of 100 characters	Name of the responsible person of the financial monitoring subject. If registration is successful, this value is indicated in the field [2.7(2)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/Persons/Person/ LastName	Text string of 100 characters	Surname of the responsible person of the financial monitoring subject. If registration is successful, this value is indicated in the field [2.7(1)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/Persons/Person/ MiddleName	Text string of 100 characters	Patronymic of the responsible person of the financial monitoring subject. If registration is successful, this value is indicated in the field [2.7(3)] of FM-1 form.
/ExportData/SignedData/Data/Root/ OrganisationData/Persons/Person/ JobName	Text string of 300 characters	Position of the responsible person of the financial monitoring subject. If registration is successful, this value is indicated in the field [2.7.1] of FM -1 form.

Location of the tag in the document	Element type	Description of the element
/ExportData/SignedData/Data/Root/OrganisationData/Persons/Person/Phone	Text string of 300 characters in the format: city/phone number/extension phone number separated by commas	Phone number of the responsible person of the financial monitoring subject. If registration is successful, this value is indicated in the field [2.8] of FM-1 form.
/ExportData/SignedData/Data/Root/OrganisationData/Persons/Person/Email	Text string of 100 characters	Email address of the responsible person of the financial monitoring subject. If registration is successful, this value is indicated in the field [2.9] of FM-1 form.
/ExportData/SignedData/Data/Root/OrganisationData/Persons/Person/Certificate	Up to 32Kb	Public-key certificate of the responsible person of the financial monitoring subject
/ExportData/SignedData/Data/Root/OrganisationData/Persons/Person/Certificate/@Name	Text string of 50 characters	Name of the public-key certificate of the responsible person of the financial monitoring subject
/ExportData/SignedData/Data/Root/OrganisationData/Persons/Person/Certificate/@Size	Number	Size of the public-key certificate of the responsible person of the financial monitoring subject

7. Tags used to generate a receipt for the delivery of a registration request in FMC

Location of the tag in the document	Element type	Description of the element
/ExportData/SignedData/Data/Check/Description	Text string of 3000 characters	Explanations (applied when re-sending the receipt)
/ExportData/SignedData/Data/Check/OriginalDocumentGuid	Text string of 36 characters: characters from A to F, digits from 0 to 9	GUID of the parent message in the format XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX (hexadecimal number in upper case with hyphens)
/ExportData/SignedData/Data/Check/MessDate	Date (as dd.mm.yyyy hh:mm:ss)	Date of sending the registration request for which the receipt was generated
/ExportData/SignedData/Data/Check/MessOwn	Text string	Sender of the registration request, for which the receipt was generated
/ExportData/SignedData/Data/Check/ErrorCode	Number	Error code. In the case of a refusal receipt, it is different from 0.
/ExportData/SignedData/Data/Check/ErrorName	Text string of 3000 characters	Name of error\encountered difficulties

8. Tags used to generate a notification of a positive result of consideration of a FMS registration request

Location of the tag in the document	Element type	Description of the element
/ExportData/SignedData/Data/Root/Description	Text string of 3000 characters	Explanations (applied when sending a notification again)
/ExportData/SignedData/Data/Root/OriginalDocumentGuid		GUID of the parent message in the format XXXXXXXX-XXXX-XXXX-XXX

	Text string of 36 characters: characters from A to F, digits from 0 to 9	X-XXXXXXXXXXX (hexadecimal number in upper case with hyphens)
/ExportData/SignedData/Data/Root/ MessDate	Date (as dd.mm.yyyy hh:mm:ss)	Date of sending the registration request for which the notification was generated
/ExportData/SignedData/Data/Root/ MessOwn		Sender of the registration request, for which the notification was generated
/ExportData/SignedData/Data/Root/ SystemId	Number	FMS identifier assigned during registration

9. Tags used to generate a notification of a negative result of consideration of a FMS registration request

Location of the tag in the document	Element type	Description of the element
/ExportData/SignedData/Data/Root/ Description	Text string of 3000 characters	Explanations (applied when sending a notification again)
/ExportData/SignedData/Data/Root/ OriginalDocumentGuid	Text string of 36 characters: characters from A to F, digits from 0 to 9	GUID of the parent message in the f o r m a t XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX (hexadecimal number in upper case with hyphens)
/ExportData/SignedData/Data/Root/ MessDate	Date (as dd.mm.yyyy hh:mm:ss)	Date of sending the registration request for which the notification was generated
/ExportData/SignedData/Data/Root/ MessOwn	Text string	Sender of the registration request, for which the notification was generated
/ExportData/SignedData/Data/Root/ ErrorCode	Number	Error code. Different from 0
/ExportData/SignedData/Data/Root/ ErrorName	Text string of 3000 characters	Name of error\encountered difficulties

10. Tags used to generate a request for receipt of additional information from FMS

Location of the tag in the document	Element type	Description of the element
/ExportData/SignedData/ FormNumber	Number	Message number
/ExportData/SignedData/Data/Root/ OriginalDocumentGuid	Text string of 36 characters: characters from A to F, digits from 0 to 9	GUID of the parent message in the f o r m a t XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX (hexadecimal number in upper case with hyphens)
/ExportData/SignedData/Data/Root/ CountDays	Number	Number of days to respond to a request
/ExportData/SignedData/Data/Root/ Description	Text string of 3000 characters	Text of request for additional information from FMS
/ExportData/SignedData/Data/Root/ RequestDateTime	Date as dd.mm.yyyy hh24:mi:ss	Date and time of sending the request

11. Tags used to generate a notification about acceptance of a request for additional information

Location of the tag in the document	Element type	Description of the element
/ExportData/SignedData/ FormNumber	Number	Message number
/ExportData/SignedData/Data/Check / OriginalDocumentGuid	Text string of 32 or 36 characters: characters from A to F a-f, digits from 0 to 9	GUID of the parent message in the f o r m a t XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX (hexadecimal number in upper case with hyphens)
/ExportData/SignedData/Data/Check / ErrorCode	Number	Error code. In case of notification with refusal, it is different from 0
/ExportData/SignedData/Data/Check / ErrorName	Text string of 3000 characters	Name of error\encountered difficulties
/ExportData/SignedData/Data/Check / AcceptanceDateTime	Date as dd.mm.yyyy hh24:mi:ss	Date and time of accepting the request

12. Tags used to generate a response to a request for the receipt of additional information from FMS

Location of the tag in the document	Element type	Description of the element
/ExportData/SignedData/Data/Root/ OriginalDocumentGuid	Text string up to 36 characters: characters from A to Z, digits from 0 to 9	GUID of the parent message in the f o r m a t XXXXXXXX-XXXX-XXXX-XXXX-XXXXXXXXXXXX (hexadecimal number in upper case with hyphens)
/ExportData/SignedData/Data/Root/ Comment	Text string of 3000 characters	Text of the response to the request for additional information from FMS
/ExportData/SignedData/Data/Root/ ResponseDateTime	Date as dd.mm.yyyy hh24:mi:ss	Date and time of sending then response
/ExportData/SignedData/Data/Root/ Attachments/Attachment/FileName	Text string of 255 characters	Name of the attached file
/ExportData/SignedData/Data/Root/ Attachments/Attachment/Length	Number	File size
/ExportData/SignedData/Data/Root/ Attachments/Attachment/ BrokenFilesInfo/BrokenFileInfo/ Name	Text string of 255 characters	Name of a portion of the attached file
/ExportData/SignedData/Data/Root/ Attachments/Attachment/ BrokenFilesInfo/BrokenFileInfo/ Length	Number	Size of a portion of the attached file
/ExportData/SignedData/Data/Root/ Attachments/Attachment/	Base64 encoded string	

BrokenFilesInfo/BrokenFileInfo/ Buffer		Content of a portion of the attached file

Note:

* the numbering corresponds to the details of the FM-1 form of Appendix 1 to these Rules;

** these Rules.

Explanation of abbreviations:

CATO - classifier of administrative - territorial objects;

FMC - Financial Monitoring Committee of the Ministry of Finance of the Republic of Kazakhstan;

FMS - financial monitoring subjects;

SPPC – single payment purpose classifier;

OLF - organizational and legal form;

CCEA - common classifier of economic activity;

EDS - electronic digital signature.

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Appendix 3
to the Rules for submitting data
and information on transactions
subject to financial monitoring
by financial monitoring subjects
Form

</div>

Notification about acceptance or rejection of the FM-1 form of data and information on a transaction subject to financial monitoring

_____

_

(authorized body)

notifies_____

_

(name of the financial monitoring subject)

of_____ FM-1 form № _____ as of _____

.

(acceptance/rejection)

Reason for rejection (indicated only in case of rejection of FM-1 form)

_____

__.

In connection therewith,_____ shall:

(name of the financial monitoring subject)

1. Eliminate the reasons for sending to _____

(authorized body)

of distorted or incomplete information.

2. Within 1 working day of receipt by _____

(name of the financial monitoring subject)

of this notification, it shall correct rejected by _____

(authorized body)

message about the transaction subject to financial monitoring, submit it again in accordance with the provisions of the Procedure for submitting data and information on transactions subject to financial monitoring by financial monitoring subjects.

_____ (Surname, name, patronymic (if any) of the authorized person of the authorized body)	_____ (signature)	_____ (full name)

Date and time of acceptance or rejection of the FM-1 form:_____

Directory of codes of types of financial monitoring subjects

Code	Name
1	2
011	Banks
013	Exchange offices
014	Subsidiaries of the national management holding in the field of the agro-industrial complex
015	Mortgage organizations
016	Other organizations carrying out certain types of banking operations
022	Stock exchanges
023	Commodity exchanges
031	Insurance (reinsurance) companies
032	Insurance brokers
033	Mutual insurance society
042	Unified accumulative pension fund
043	Voluntary pension savings funds
051	Professional participants in the securities market
052	Central securities depository
061	Notaries performing notarial activities with money and (or) other property
071	Lawyers
072	Independent legal experts
073	Legal advisers
081	Auditing organizations

082	Accounting organizations and professional accountants carrying out business activities in the field of accounting
092	Lottery organizers
093	Casino
094	Slot machine halls
095	Bookmaker offices
096	Betting houses
101	Postal operators providing money transfer services
110	Microfinance organizations
111	Credit partnerships
130	Individual entrepreneurs and legal entities carrying out leasing activities as a lessor without a license
140	Pawnshops
150	Individual entrepreneurs and legal entities carrying out operations with precious metals and precious stones, jewelry made of them
160	Individual entrepreneurs and legal entities that provide intermediary services in the implementation of real estate purchase and sale transactions
171	Social Health Insurance Fund
172	Payment institutions
173	Participants of the Astana International Financial Center
174	Branches of non-resident banks of the Republic of Kazakhstan
175	Branches of insurance (reinsurance) companies that are non-residents of the Republic of Kazakhstan
176	Branches of insurance brokers that are non-residents of the Republic of Kazakhstan

Directory of codes of identity documents

Code	Name of identity documents
1	2
01	Identity card of a citizen of the Republic of Kazakhstan
02	Passport of a citizen of the Republic of Kazakhstan
03	International passport
04	Residence permit of a foreigner in the Republic of Kazakhstan
05	Stateless person certificate
06	Diplomatic passport of the Republic of Kazakhstan

07	Service passport of the Republic of Kazakhstan
08	Refugee certificate
09	Seafarer identity card of the Republic of Kazakhstan
010	Birth certificate
011	Certificate of return

Directory of codes of types of transactions subject to financial monitoring

Code	Name
1	2
0111	Receipt of a winning in cash based on the results of a bet
0112	Receipt of a winning in electronic form based on the results of a bet
0121	Receipt of a winning in cash based on the results of gambling in gambling facilities
0122	Receipt of a winning in electronic form based on the results of gambling in gambling facilities
0131	Receipt of a winning in cash based on the results of the lottery
0132	Receipt of a winning in electronic form based on the results of the lottery
0211	Purchase of foreign currency through exchange offices in cash
0221	Sale of foreign currency in cash through exchange offices in cash
0311	Cashing of a check
0321	Cashing of a bill
0511	Withdrawing money from a client's bank account
0521	Crediting money to a client's bank account
0530	Cash withdrawal by a client
0540	Acceptance of cash from a client
0623	Crediting or transferring money to a client's bank account by an individual or legal entity with registration, place of residence or location in an offshore zone, respectively, and also holding an account with a bank registered in an offshore zone
0633	Crediting or transferring money by a client in favor of individuals or legal entities with registration, place of residence or location in an offshore zone, and also holding an account with a bank registered in an offshore zone

0640	Client's transactions with money and (or) other property with individuals or legal entities with registration, place of residence or location in an offshore zone, and also holding an account with a bank registered in an offshore zone
0711	Money transfers abroad to accounts (deposits) opened for an anonymous owner in cash or non-cash form
0721	Receipt of money from abroad from an account (deposit) opened for an anonymous owner in cash or non-cash form
0911	Payments and money transfers made by a client in favor of another person on a gratuitous basis, in cash or non-cash form
1011	Purchase of cultural valuables in cash
1012	Sale of cultural valuables in cash
1021	Importation of cultural valuables into the Republic of Kazakhstan
1022	Exportation of cultural valuables from the Republic of Kazakhstan
1111	Transactions in cash or non-cash form performed by legal entities whose state registration was less than three months ago
1211	Importation of cash currency into the Republic of Kazakhstan, except for the importation carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1212	Importation of certified securities into the Republic of Kazakhstan, except for the importation carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1213	Importation of bills into the Republic of Kazakhstan, except for the importation carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1214	Importation of checks into the Republic of Kazakhstan, except for the importation carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1221	Exportation of cash currency from the Republic of Kazakhstan, except for the exportation carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1222	Exportation of certified securities into the Republic of Kazakhstan, except for the exportation carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1223	Exportation of bills into the Republic of Kazakhstan, except for the exportation carried out by the National

	Bank of the Republic of Kazakhstan, banks and the national postal operator
1224	Exportation of checks into the Republic of Kazakhstan, except for the exportation carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1311	Making insurance payments in cash
1321	Collecting insurance premiums in cash
1411	Payment of voluntary pension contributions in cash to accumulative pension funds
1421	Transfer of voluntary pension contributions in cash to accumulative pension funds
1431	Pension payments in cash from accumulative pension funds at the expense of voluntary pension contributions
1511	Receiving property under a financial lease agreement in cash
1521	Provision of property under a financial lease agreement in cash
1611	Transactions for contracting services in cash
1621	Transactions for the provision of transportation services in cash
1631	Transactions for freight forwarding in cash
1641	Transactions for storage service in cash
1651	Transactions for commission service in cash
1661	Transactions for the provision of asset trust management services in cash
1671	Transactions for the provision of other services, except for services of contracting, transportation, freight forwarding, storage, commission and asset trust, in cash
1711	Purchase of precious metals and precious stones, jewelry made of them in cash
1721	Sale of precious metals and precious stones, jewelry made of them in cash
1811	Real estate transactions, the result of which is the transfer of ownership
1911	Transactions with bonds and government securities, except for repo transactions on the organized market through open auction in cash or non-cash form
2020	Transactions with shares and units of mutual investment funds, except for repo transactions on the organized market through open auction in cash or non-cash form
2110	Pawnshops' transactions with money, securities, precious metals and precious stones, jewelry made of them and other valuables (except for national currency coins made of precious metals) in cash or non-cash form

2200	Transactions of clients who received loans under the programs for financing business entities at the expense of the National Fund of the Republic of Kazakhstan within the framework of bonded loans of quasi-public entities in cash or non-cash form
2300	Transactions related, due to their nature, to a cross-border payment of money in non-cash form from or to a client's bank account
2301	Transactions related, due to their nature, to a cross-border transfer of money in non-cash form from or to a client's bank account
6010	Receipt of money in the form of payment for labor leave and wages by an individual on the list of organizations and persons associated with the financing of terrorism and extremism
6020	Receipt of money in the form of a pension, business travel expenses, scholarship, allowance and another social benefit by an individual on the list of organizations and persons associated with the financing of terrorism and extremism
6030	Payments and transfers of an individual entered in the list of organizations and persons associated with the financing of terrorism and extremism for the payment of taxes, utility and social payments, other mandatory payments to the budget, penalties and fines
6040	Crediting money to the bank account of an organization or an individual entered in the list of organizations and persons associated with the financing of terrorism and extremism
6055	Crediting money to the bank account of an organization whose beneficial owner is a person on the list of organizations and persons associated with the financing of terrorism and extremism
6060	Transactions with money and (or) other property of organizations and individuals entered in the list of organizations and persons associated with the financing of terrorism and extremism on the basis of a court decision
6061	Transactions with money and (or) other property of organizations and individuals entered in the list of organizations and persons associated with financing the proliferation of weapons of mass destruction on the basis of a court decision

Appendix 7
to the Rules for submitting data
and information on transactions
subject to financial monitoring
by financial monitoring subjects

Directory of codes of types of transactors and transactions with money and (or) other property

Code of transactor's type	Name of transactor's type	Code of transaction's type	Name of transaction's type
1	2	3	4
01	Seller	01	Contract of purchase and sale of real estate
		02	Contract of purchase and sale of a product or service
02	Purchaser	03	Contract of purchase and sale of other property
03	Donor	04	Donation agreement
04	Done		
05	Rent recipient	05	Contract for hiring (lease of) property
06	Rent payer		
07	Landlord		
08	Tenant		
09	Lessor	06	Lease agreement
10	Lessee		
11	Loan holder	07	Contract for gratuitous use of property
12	Loan recipient		
13	Customer	08	Contractor agreement
14	Contractor		
15	Designer		
16	Prospector		
17	Executor		
18	Sender (transport activity)	09	Contract of carriage, freight forwarding
19	Carrier		
20	Recipient (transport activity)		
21	Freight forwarder		
22	Lender		
23	Borrower	10	Loan agreement
24	Creditor		
25	Financial agent	11	Credit contract
26	Client (factoring)		
27	Beneficiary	12	Factoring contract
28	Principal		
29	Depositor		
30	Issuer	13	Bank account agreement
		14	Money transfer agreement
31	Owner	15	Bank deposit agreement
			Another banking service agreement

32	Pledger	16	
33	Pledgee	17	Pledge agreement
34	Bailee		
35	Bailor	18	Contract of bailment
36	Insurer		
37	Policyholder	19	Insurance contract
38	Insured person		
39	Appointer		
40	Attorney	20	Contract of agency
41	Consignor	21	Surety agreement
42	Commission agent	22	Commission agreement
43	Trustor		
44	Trust manager	23	Contract for asset trust management
45	Titleholder		
46	User	24	Agreement on transfer of patent rights
		25	Agreement on creation and use of intellectual creative property
47	Licensee	26	License or sublicense agreement on the use of an invention, utility model and /or industrial sample
48	Patentee	27	Franchise agreement
49	Organizer of lottery, betting		
50	Participant of lottery, betting	28	Another agreement, deal or contract
51	Supplier		
52	Manufacturer		
53	Landlord	29	Deal without an underlying document
54	Employer		
55	Other transactor		

Request for necessary information, data and documents

In accordance with subparagraph 1) of paragraph 1 of Article 17 and paragraphs 3-1 of Article 10 of the Law of the Republic of Kazakhstan "On Counteracting the

Legalization (Laundering) of Criminally Obtained Incomes and Financing of Terrorism ” as of August 28, 2009,

_____

__

(authorized body)

requests the following information, data and documents on transactions of clients and beneficial owners of clients/on international money transfers made through the money transfer system:

1. _____;

2._____.

_____ (Surname, name, patronymic (if any) of the authorized person of the authorized body)	_____ (signature)	_____ (full name)

Contact phone number:

_____

Date and time of sending the request:

_____

Notification of acceptance of the request for necessary information, data and documents

_____

_____

(name of the financial monitoring subject)

hereby notifies _____

_____

(authorized body)

of the acceptance of your request for the provision of the necessary information, data

and documents on transactions subject to financial monitoring № _____

as of _____.

_____ (Surname, name, patronymic (if any) of the authorized executive of the financial monitoring subject)	_____ (signature)	_____ (full name)

Date and time of acceptance of the request _____

to the Rules for submitting data
and information on transactions
subject to financial monitoring
by financial monitoring subjects
Form

Response to the request for necessary information, data and documents

In accordance with paragraphs 3-1 and 3-2 of Article 10 of the Law of the Republic of Kazakhstan "On Counteracting the Legalization (Laundering) of Criminally Obtained Incomes and Financing of Terrorism" as of August 28, 2009,

_____

__

(name of the financial monitoring subject)

sends the following information, data* and documents in response to your request № _____ as of_____:

1. _____;
2. _____.

The appendix has _____ sheets.

_____ _ (Surname, name, patronymic (if any) of the authorized executive of the financial monitoring subject)	_____ (signature)	_____ (full name)

Contact phone number: _____

Date and time of responding: _____

* statements of the client's bank account are provided in accordance with the appendix to this form in Microsoft Excel format, other information is provided in the form determined by the financial monitoring subject independently.

Appendix to the form
"Responding to a request
to provide the necessary
information, data and documents"

Information provided by financial monitoring subjects in response to the request of the authorized body

Date and time of the transaction	Transaction currency	Transaction types (category of the document)	Name of MTS (if any)	Amount in the transaction currency	Amount in tenge	Name/FIO of the payer	IIN/BIN of the payer	Residence of the payer
1	2	3		4	5	6	7	8

continuation of the table

Payer's bank	Payer's account number	Name/FIO of the recipient	IIN/BIN of the recipient	Residence of the recipient	Recipient's bank	Recipient's account number	Payment purpose code
9	10	11	12	13	14	15	16

Explanation of abbreviations:

IIN/BIN - individual identification number/business identification number

MTS - money transfer system

FIO - surname, name, patronymic

Application for extending the deadline for the provision of necessary information, data and documents

_____

——

(name of the financial monitoring subject)

applies to _____

(authorized body)

for the extension of the deadline specified in the request for the provision of the necessary

information, data and documents № _____ as of _____ by _____ working days.

_____

——

(justification for the extension of the deadline)

_____ (Surname, name, patronymic (if any) of the authorized executive of the financial monitoring subject)	_____ (signature)	_____ (full name)

Signs of identifying a suspicious transaction

	Code №	Signs of identifying a suspicious transaction

	1	2
1. Common signs		
1	1035	The client is registered (resides) or systematically performs transactions involving persons registered (residing) in a state (in the territory) that does not comply with the recommendations of the Financial Action Task Force on Money Laundering (FATF), and also using a bank account registered in such a state (territory).
2	1040	Conducting transactions with money and/or other property with the participation of non-profit organizations related to charitable activities and/or other donations (except for transactions specified in code 3003).
3	1041	Crediting of money from abroad to the accounts of non-profit organizations.
4	1046	A transaction involving a non-profit organization (excluding transactions related to the payment of taxes, other mandatory payments to the budget, penalties and fines, pension and social contributions, membership fees, utility bills, insurance premiums under compulsory insurance contracts, as well as transactions specified in the codes of signs of suspicious transactions 1040 , 3002, 3003, 3004 and 1041).
5	1048	The client's regular transfers of his/ her own funds in large amounts to a bank account opened in an offshore zone.
6	1049	The foreign exchange agreement provides for the export of goods (works, services) by a resident, or payments for the import of goods (works, services) in favor of a non-resident registered in a state or territory with a preferential tax regime and (or) without disclosure and provision of information during financial transactions (in an offshore zone).
7	1050	Making a transaction (deal) by a client under the guidance of a third

		party and/or persons present during the transaction (deal).
8	1051	The performance of transactions (deals) by a person entered in the list of organizations and persons associated with the financing of terrorism and extremism by a court decision (except for transactions in individual pension accounts for recording compulsory pension contributions and compulsory professional pension contributions).
9	1052	The client's performance of a transaction (transactions), which gives (give) a reason to believe it (them) to be performed for the purpose of financing the proliferation of weapons of mass destruction.
10	1053	Transfers related to the payment by a resident to a non-resident of a forfeit (penalty, fine) for a failure to perform the contract for the supply of goods (performance of works, provision of services) or for violation of the terms of the contract if the forfeit amount exceeds ten percent of the amount of undelivered goods (outstanding works, not rendered services).
11	1054	Crediting of a large amount of money to the client's account, while the recipient has insignificant turnovers on transactions, and less than a year has passed since the date of its state registration.
12	1055	Crediting of large sums of money to the client's account, while the recipient does not pay taxes or other obligatory payments to the budget or pays them in insignificant amounts, or has debts on loans from second-tier banks.
13	1056	Regular crediting to the client's account and debiting from his/her/its account of approximately the same amount of money, while the financial monitoring subject has reasons to believe this (these) transaction and/or transactions are related to the activities of a pyramid scheme.

14	1057	Regular transfer of large amounts of money as dividends or profits from the accounts of legal entities and/or individual entrepreneurs in favor of individuals.
15	1058	Transfer of money in large amounts as grants, financial aid, loans or gratuitous aid, also with the involvement of non-residents not connected with business relationship.
16	3001	Transaction with money and (or) other property to (from) a country with a high risk of terrorist financing .
17	3002	Transactions with money and (or) other property related to charitable activities and (or) other donations, except for the involvement of non-profit organizations.
18	3003	Transactions with money and (or) other property with the involvement of religious non-profit organizations (except for transactions related to the payment of taxes, other mandatory payments to the budget, penalties and fines, pension and social contributions, membership fees, utility payments, insurance premiums under compulsory insurance contracts).
19	3004	The client's performance of a transaction (transactions), which gives (give) a reason to believe it (them) to be performed for the purpose of financing terrorism and (or) extremism.
20	7002	Transactions with money and other property that are associated with the purchase and sale, transportation, manufacture, storage and sale of items related to chemical, biological and nuclear weapons and their components unless it is common for the client's activities.
21	7003	Transactions with money and other property associated with the sale and purchase of military items, medicines unless it is common for the client's activities.
		Transactions with money and other property associated with the sale and purchase of substances that include

22	7004	not only drugs, but also other synthetic and natural substances that are poisonous and potent unless it is common for the client's activities.
23	7006	Clients, their activities, transactions or attempts to commit them that are recognized as suspicious in accordance with the internal procedures of the financial monitoring subject.
24	8002	An attempt to commit a suspicious transaction, in respect of which the financial monitoring subject has suspicions that the transaction is aimed at financing terrorism.
2. When providing services for payments and money transfers		
25	1011	The resident's indication of a repatriation period over 360 (three hundred and sixty) days under contracts for export or import (except for contracts providing for the supply of services and/or performance of construction and installation works in the territory of the Republic of Kazakhstan).
26	1017	The presence of non-standard or unusually complex instructions for the procedure for making settlements that differ from the established business practice.
27	1059	The client's regular transfer (receipt) of money within the framework of transactions for the provision of consulting, marketing, advising, research or other intangible services, including those with the involvement of non-residents of the Republic of Kazakhstan.
28	1060	The client's regular transfer of money to the accounts of non-residents under contracts for the import of works, services and intellectual property (marketing, consulting, advertising, research or software services), for which settlements are carried out without paying tax.
		Payments and money transfers in favor of non-residents of the Republic of Kazakhstan under an agreement for the import of goods that does not provide for the actual

29	1061	receipt of goods in the Republic of Kazakhstan or does not provide for the movement of goods across the territory of the Republic of Kazakhstan.
30	1062	Regular receipt of money transfers without opening bank accounts, including those with the use of electronic means of payment, to an individual client-recipient of funds from a significant number of other individuals with subsequent withdrawal of cash by their recipient.
31	7001	Payments and transfers related to raising money and (or) other property from individuals, when the client has no license to carry out activities in the financial sector and (or) activities related to the concentration of financial resources.
32	7008	Regular transfers of money abroad without opening a bank account, which give a reason to believe them to be made for the purpose of carrying out business activities.
33	7011	Receipt in the client's favor of payments using electronic money in a large amount or repeated receipt of payments using electronic money in the absence of information on the client's activities in the field of online commerce.
34	7012	Frequent receipt in the client's favor of payments using electronic money from unidentified owners of electronic money (except for payments for taxes and other obligatory payments to the budget, payments for utilities, communication services, television and radio broadcasting services).
3. In case of bank servicing		
35	1019	A significant increase in the share of cash credited to the account of a client that is a legal entity if non-cash settlements are usual for the client's main activities.
36	1063	Early repayment of a large loan by a client who is a civil servant if the available information does not allow identifying the source of funds.

37	1064	Regular withdrawal from a bank account (accounts) of money and/or a significant part of money in a short period of time after it is credited, which is received for the provision of a wide range of services and (or) different types of goods, and also transferred from the client's account in another bank.
38	4013	Regular crediting of cash to the client's bank account from third parties with the client's subsequent withdrawal of such money or transfer of all or most of the amount to the bank accounts of the client or third parties within one working day or the next day.
39	7013	Regular crediting of cash by the client to deposits (to be) opened in favor of third parties in the absence of an obvious connection between the activities of the client and such persons.
40	3006	The refusal of the money sender to go through the procedure for establishing sources of income, which has external signs of religiosity, regardless of sex.
41	8012	Application of an individual entered in the list of organizations and persons related to the financing of terrorism and extremism for a transaction for receiving wages in accordance with subparagraph 1) of paragraph 8 of Article 12 of the Law of the Republic of Kazakhstan "On Counteracting the Legalization (Laundering) of Criminally Obtained Incomes and Financing of Terrorism" as of August 28, 2009 (hereinafter - the Law)
42	8013	Crediting money to a bank account of a person entered in the list of organizations and persons associated with the financing of terrorism and extremism in accordance with part five of paragraph 1-1 of Article 13 of the Law..
		Transfer of own funds to a bank account of an authorized organization opened with a foreign bank registered (residing) in a state (

43	1065	territory) which is subject to international sanctions (embargo) adopted by resolutions of the United Nations Security Council.
44	1073	Transfer of own funds to a bank account of an authorized organization opened with a foreign bank registered (residing) in a state (territory) that does not comply and (or) insufficiently implements the recommendations of the Financial Action Task Force on Money Laundering (FATF).
45	1066	Providing a financial loan to a non-resident for a period exceeding seven hundred and twenty days without payment of remuneration.
46	1067	The client's repeated execution of similar transactions in a short period of time, the amount of which individually does not exceed the threshold amounts of transactions subject to financial monitoring, but as a result of addition exceeds the trading amount (provided that the client's activities are not related to serving the public, collecting mandatory or voluntary payments).
47	1068	Money transfers by a political civil servant (his/her family member and close relative) to his/her bank account opened abroad, or the purchase of real estate abroad (Register of positions of political and administrative civil servants approved by Decree № 150 of the President of the Republic of Kazakhstan as of December 29, 2015).
48	1069	Carrying out settlements under foreign economic contracts (export-import ones) on a prepayment basis, under which the delivery of goods within the terms established in such contracts (extension of the currency repatriation period) did not take place, or given information from open sources on a failure of a non-resident to fulfill his/her/its obligations under other foreign economic contracts.

49	1070	The correspondent bank refused to execute the client's payment or sent a request for information, clarifications or documents to complete the transaction.
50	1071	Significant amounts of transfers abroad related to the "temporary export" of goods from the territory of the Republic of Kazakhstan (for repair works and maintenance).
51	1072	Money is withdrawn on a regular basis by means of corporate cards within a short period of time of its receipt.
4. When providing services on the securities market, services of pension funds		
52	1099	Execution by the client or by his/her/its order of transactions with securities (financial instruments), as a result of which the owner and/or beneficial owner of these securities (financial instruments) does not change.
53	1074	Transactions for the purchase and sale of securities (financial instruments) concluded at prices that have a significant deviation from the current market prices for these securities (financial instruments). In the absence of market prices - deviation from the price of the last purchase and sale of this security (financial instrument) or from the par value of the security (financial instrument), except for the par value of shares.
54	1075	One-time sale (purchase) by a client of a large number of securities (financial instruments) (10% or more of the amount placed) that are not traded on the organized market of securities (financial instruments), provided that the client is not a professional participant in the securities market, and (or) the securities are not transferred to the client to repay the counterparty's debt to the client.
55	7037	Opening an individual retirement account with subsequent transfer of significant amounts to it in the form of voluntary pension contributions in the name of a foreigner or stateless

		person or a person who has reached the age limit by the time of the conclusion of the contract or has approached it.
56	1076	Regular performance of financial transactions for the purchase and subsequent sale of securities that are not quoted and are not traded on the organized securities market, provided that the income from the sale of securities is used to purchase highly liquid assets traded on the organized securities market.
5. When providing services in the field of insurance		
57	1077	Performing transactions to replace the policyholder, the insured or the beneficiary under the universal life insurance agreement, given a suspicion of the absence of (family, kinship, business or other) ties between them.
58	7026	The client's early termination of a voluntary insurance contract for a large amount shortly after its conclusion with the return of the insurance premium, including in favor of third parties.
59	1078	Change in the amount of the insured amount with a corresponding increase in the amount of the insurance premium under the concluded endowment insurance agreement, when the amount of paid insurance premiums obviously exceeds the solvency of the insured person.
60	1098	The client enters into insurance contracts with organizations registered outside the Republic of Kazakhstan.
6. When providing notarial, auditing services		
61	1079	Conclusion of a financial lease (leasing) agreement on unfavorable, economically inexpedient terms of the agreement (notaries).
62	1080	Conclusion of a lease (sublease) agreement, when the seller of the leased asset and the lessee (sublease holder) is the same person.

63	1081	Obvious discrepancy between the contractual and market value of the subject of the transaction.
7. When providing services in the field of gambling business		
64	1082	Receipt (payment) of funds in a large amount from a gambling facility as winnings in a gambling game and/or for gambling bets, given suspicions or information that the client's activities are related to the performance of state functions.
65	1083	Receipt (payment) of large funds from a gambling facility as a prize in a gambling game and/or for gambling bets, given a suspicion of collusion between employees of the gambling facility and a gambling participant, as well as between gambling participants.
8. When providing leasing services		
66	1038	Early repayment of the principal debt under a lease agreement by a client who has earlier delayed the fulfillment of obligations, provided that the source of financing the debt cannot be identified using available information.
67	1084	Early termination of the lease agreement or redemption of the leased asset earlier than one year from the date of its transfer to the lessee for temporary possession and use without a ground.
68	1085	Payment of lease payments on behalf of the lessee by a third party.
9. When carrying out the activities of microfinance organizations, including credit partnerships, pawnshops		
69	1086	Delivery of jewelry made of precious metals and precious stones without impressions of assay marks or with signs of false impressions of assay marks to pawnshops or buying-up centers.
70	1087	Pawning a vehicle by power of attorney without subsequent redemption.
71	1088	Regular pawning of jewelry or other valuables by the same person without subsequent redemption.
10. When buying up, buying and selling precious metals and precious stones, jewelry made of them		

72	1089	Regular purchase by an individual of expensive jewelry or other household items made of precious metals and (or) precious stones (of the same type) and/or certified precious stones in a short period of time.
73	1090	Sale or purchase of precious metals and precious stones, jewelry made of them at prices significantly deviating from current market prices.
74	1091	The absence of an assay mark, as well as an imprint of a nameplate, an expert opinion, an act of state control provided for by the Law of the Republic of Kazakhstan "On Precious Metals and Precious Stones" as of January 14, 2016, when purchasing precious metals and precious stones, jewelry made of them by a person engaged in retail sale of jewelry from persons producing or importing them into the territory of the Republic of Kazakhstan.
11. When carrying out transactions of purchase and sale of real estate		
75	9014	Conclusion of a transaction with real estate at a price significantly deviating from the market value.
76	1092	Multiple (three or more times) purchase and (or) sale of real estate by an individual during a calendar year.
77	1093	Execution of a transaction for the sale and purchase of real estate that is state property, the acquirer of which is a private entrepreneur and the cost of which significantly differs from the usual market value of such an item.
12. When carrying out the activities of payment institutions		
78	1094	Regular transactions with money and (or) other property, in respect of which the nature, frequency, amount of the transaction, information on the payer (recipient) and other data give reason to believe that they may be associated with illegal circulation of narcotic drugs, psychotropic substances or their analogs and (or) precursors.

13. When providing postal services		
79	1095	Repeated (two or more times) postal money transfers by one or more legal entities to one or several individuals on a large scale, while the nature of the transfers is not characteristic of the commercial activity of a legal entity.
80	1096	Repeated (two or more times) transactions for sending postal money orders in large amounts from several senders (individuals) to the address of one recipient in the absence of obvious signs of family ties between the senders and the recipient.
81	1097	Repeated (two or more times) payments within a short period of time of postal money orders addressed to several recipients (individuals) under a power of attorney issued to one person, while the amount of transfers does not correspond to business customs and (or) the purpose of payment.