

**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.

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| *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

      "APPROVED"

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 |

**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.

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|  | 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**

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| --- | --- | --- |
| 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 |
| 1.5 | Basis for reporting (select as required)\* | 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  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 В 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".

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| --- | --- |
|  | 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 ХХХХХХХХ-ХХХХ-ХХХХ-ХХХХ-ХХХХХХХХХХХХ (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 ХХХХХХХХ-ХХХХ-ХХХХ-ХХХХ-ХХХХХХХХХХХХ (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 СFM that is an individual) |
| /ExportData/SignedData/Data /Root/PersonalData/AdditionalAcData/ FirstName | Text string | [2.2 (1.2.2)] Name of СFM that is an individual or individual entrepreneur |
| /ExportData/SignedData/Data /Root/PersonalData/AdditionalAcData/ LastName | Text string | [2.2 (1.2.1)] Surname of СFM that is an individual or individual entrepreneur |
| /ExportData/SignedData/Data /Root/PersonalData/AdditionalAcData/ MiddleName | Text string | [2.2 (1.2.3)] Patronymic of СFM 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 СFM 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/AdditionalPersonInfo/AdditionalInformationIp |  | 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. 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/Сheck/  Description | Text string of 3000 characters | Explanations (applied when sending a notification again) |
| /ExportData/SignedData/Data/Сheck/  OriginalDocumentGuid | Text string of 36 characters: characters from A to Z, digits from 0 to 9 | GUID of the parent message in the format ХХХХХХХХ-ХХХХ-ХХХХ-ХХХХ-ХХХХХХХХХХХХ (hexadecimal number in the upper case with hyphens) |
| /ExportData/SignedData/Data/Сheck/ ErrorCode | Number | Error code. In case of notification with refusal, it is different from 0 |
| /ExportData/SignedData/Data/Сheck/  ErrorName | Text string of 3000 characters | Name of error\encountered difficulties |
| /ExportData/SignedData/Data/Сheck/  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/  OrganisationData/IINBIN | 12 digits | IIN/BIN of the financial monitoring subject (If registration is successful, 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 |
| /ExportData/SignedData/Data/Root/OrganisationData/AdditionalAcData/MiddleName | Text string of 100 characters | Patronymic of the individual that is a financial monitoring subject. If 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. |
| /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/Сheck/Description | Text string of 3000 characters | Explanations (applied when re-sending the receipt) |
| /ExportData/SignedData/Data/Сheck/OriginalDocumentGuid | Text string of 36 characters: characters from A to F, digits from 0 to 9 | GUID of the parent message in the format ХХХХХХХХ-ХХХХ-ХХХХ-ХХХХ-ХХХХХХХХХХХХ (hexadecimal number in upper case with hyphens) |
| /ExportData/SignedData/Data/Сheck/MessDate | Date (as dd.mm.yyyy hh:mm:ss) | Date of sending the registration request for which the receipt was generated |
| /ExportData/SignedData/Data/Сheck/MessOwn | Text string | Sender of the registration request, for which the receipt was generated |
| /ExportData/SignedData/Data/Сheck/ErrorCode | Number | Error code. In the case of a refusal receipt, it is different from 0. |
| /ExportData/SignedData/Data/Сheck/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 | Text string of 36 characters: characters from A to F, digits from 0 to 9 | GUID of the parent message in the format ХХХХХХХХ-ХХХХ-ХХХХ-ХХХХ-ХХХХХХХХХХХХ (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 format ХХХХХХХХ-ХХХХ-ХХХХ-ХХХХ-ХХХХХХХХХХХХ (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 format ХХХХХХХХ-ХХХХ-ХХХХ-ХХХХ-ХХХХХХХХХХХХ (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/Сheck/  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 format ХХХХХХХХ-ХХХХ-ХХХХ-ХХХХ-ХХХХХХХХХХХХ (hexadecimal number in upper case with hyphens) |
| /ExportData/SignedData/Data/Сheck/  ErrorCode | Number | Error code. In case of notification with refusal, it is different from 0 |
| /ExportData/SignedData/Data/Сheck/  ErrorName | Text string of 3000 characters | Name of error\encountered difficulties |
| /ExportData/SignedData/Data/Сheck/  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 format ХХХХХХХХ-ХХХХ-ХХХХ-ХХХХ-ХХХХХХХХХХХХ (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/BrokenFilesInfo/BrokenFileInfo/Buffer | Base64 encoded string | 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.

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

**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:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |
| --- | --- |
|  | Appendix 4  to the Rules for submitting data  and information on transactions  subject to financial monitoring  by financial monitoring subjects |

**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 |

|  |  |
| --- | --- |
|  | Appendix 5  to the Rules for submitting data  and information on transactions  subject to financial monitoring  by financial monitoring subjects |

**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 |

|  |  |
| --- | --- |
|  | Appendix 6  to the Rules for submitting data  and information on transactions  subject to financial monitoring  by financial monitoring subjects |

**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 |

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|  | 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 |
| 15 | Bank deposit agreement |
| 31 | Owner |
| 16 | Another banking service agreement |
| 32 | Pledger |
| 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 |
| 26 | License or sublicense agreement on the use of an invention, utility model and/or industrial sample |
| 47 | Licensee |
| 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 |

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| --- | --- |
|  | Appendix 8  to the Rules for submitting data  and information on transactions  subject to financial monitoring  by financial monitoring subjects |
|  | Form |

**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:

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

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| --- | --- |
|  | Appendix 9  to the Rules for submitting data  and information on transactions  subject to financial monitoring  by financial monitoring subjects |
|  | Form |

**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 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |
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|  | Appendix 10  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 |
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      continuation of the table

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| --- | --- | --- | --- | --- | --- | --- | --- |
| 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 |
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      Explanation of abbreviations:

      IIN/BIN - individual identification number/business identification number

      MTS - money transfer system

      FIO - surname, name, patronymic

|  |  |
| --- | --- |
|  | Appendix 11  to the Rules for submitting data  and information on transactions  subject to financial monitoring  by financial monitoring subjects |
|  | Form |

**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) |

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|  | Appendix 2  to Order № 938 of the Minister of Finance  of the Republic of Kazakhstan  as of September 30, 2020 |

**Signs of identifying a suspicious transaction**

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| --- | --- | --- |
|  | 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. |
| 22 | 7004 | Transactions with money and other property associated with the sale and purchase of substances that include 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. |
| 29 | 1061 | 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 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.. |
| 43 | 1065 | Transfer of own funds to a bank account of an authorized organization opened with a foreign bank registered (residing) in a state (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. |

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