**CENTRAL SECURITIES DEPOSITORY JSC**

|  |  |
| --- | --- |
|  | **Approved**  by Resolution of the Management Board of Central Securities Depository JSC  (Minutes of the Meeting No. 66 dated December 14, 2018)  **Effective from**  January 1, 2019 |

**DOCUMENT FORMS**

**for Establishment and Maintenance of Business Relations with Central Securities Depository JSC**

*(This title was changed by the resolution of the Management Board of the Central Securities Depository dated July 4, 2019)*

Almaty

2018

**AMENDMENT SHEET**

**1. Addition No. 1:**

– approved by Resolution of the Management Board of Central Securities Depository JSC (Minutes of the Meeting No. 6 dated January 23, 2019);

**2. Amendments No. 2:**

– approved by Resolution of the Management Board of Central Securities Depository JSC (Minutes of the Meeting No. 37 dated July 4, 2019);

– effective from July 22, 2019.

**3. Amendments and Additions No. 3:**

– approved by Resolution of the Management Board of Central Securities Depository JSC (Minutes of the Meeting No. 66 dated December 18, 2019);

– effective from January 8, 2020.

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These Forms were developed in compliance with the Rules for Establishment, Maintenance, and Termination of Business Relations, approved by the resolution of the Board of Directors of Central Securities Depository JSC (Minutes of Absentee Voting No. 104(z) dated December 11, 2018).

The terms and concepts used in these Forms have the meaning defined by the legislation of the Republic of Kazakhstan.

Other terms, concepts, and legends (abbreviations) used herein are identical to the terms, concepts, and legends (abbreviations) defined in other internal documents of the Central Securities Depository.

**Form 1**

*(This form was changed by the resolution of the Management Board of the Central Securities Depository dated July 4, 2019, and December 18, 2019)*

**Individual's Application for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Date |  |  | Ref. No. |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | submitted for the first time |  | to amend important data[[1]](#footnote-1) |

**Full name**

|  |  |
| --- | --- |
|  | |
| IIN | |  |

|  |  |
| --- | --- |
| Date of birth |  |
| Place of birth |  |
|  | |
| Nationality |  |
| Country of tax residence |  |
| Taxpayer ID in the country of tax residence[[2]](#footnote-2) |  |
| Place of employment, job title |  |
|  | |
|  | |
| Telephones |  |
| E-mail |  |

**Identity document details** (select one type of document)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | identity card of a Kazakhstan citizen | |  | passport of a Kazakhstan citizen |
|  |  | |  |  |
|  | residence permit of the Republic of Kazakhstan | |  | birth certificate of a Kazakhstan citizen |
|  |  | |  |  |
|  | international passport[[3]](#footnote-3) | |  | identity card of a stateless person |
|  |  | |  | |
| Document No. | |  | | |
| Document series | |  | | |
| Issue date | |  | | |
| Expiry date | |  | | |
| Issuing authority | |  | | |

**Individual's place of residence (registration)**

|  |  |
| --- | --- |
| ZIP code |  |
| Country |  |
| Region |  |
| District |  |
| Settlement |  |
| Address |  |

**Individual's postal address** (if different from the place of residence)

|  |  |
| --- | --- |
| ZIP code |  |
| Country |  |
| Region |  |
| District |  |
| Settlement |  |
| Address |  |

**Sources of financing for deals (transactions) with financial instruments** (mark as appropriate):

|  |  |  |  |
| --- | --- | --- | --- |
|  | salary |  | income from business activities |
|  |  |  |  |
|  | other | | |

**Association of the individual with foreign public officers or related persons (family members)** (mark as appropriate):

|  |  |  |  |
| --- | --- | --- | --- |
|  | person, whether appointed or elected, holding any office in a legislative, executive, administrative, judicial body, or in armed forces of a foreign state | | |
|  |  |  |  |
|  | person performing any public function for a foreign state | | |
|  |  |  |  |
|  | person holding an executive position in the organizations created by the countries under agreements of an international treaty status | | |
|  |  |  |  |
|  | no association with any of the above persons | | |

**Individual's Additional Details** (mark as appropriate):

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| an individual entrepreneur |  | yes[[4]](#footnote-4) |  | no |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| have a beneficial owner |  | yes[[5]](#footnote-5) |  | no |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| have the signs of association with the USA |  | yes[[6]](#footnote-6) |  | no |

By signing this application, the applicant:

* Acknowledges that information provided in this Application and Appendices hereto is valid, true, and accurate as of the date below, and undertakes to notify Central Securities Depository JSC of any and all changes in that information within the period of time established by the Rules for Establishment, Maintenance, and Termination of Business Relations (the "Rules")
* Gives his/her unconditional consent to Central Securities Depository JSC for collection, processing, storage and distribution, including cross-border transfer, of personal data in accordance with requirements of the Law of the Republic of Kazakhstan "On Personal Data and Their Protection" and other applicable laws of the Republic of Kazakhstan
* Confirms the receipt of an unconditional consent from the individuals mentioned in this Application and Appendices hereto for collection, processing, storage and distribution, including cross-border transfer, of their personal data by Central Securities Depository JSC in accordance with requirements of the Law of the Republic of Kazakhstan "On Personal Data and Their Protection" and other applicable laws of the Republic of Kazakhstan
* Undertakes to submit all necessary documents requested by Central Securities Depository JSC to comply with requirements of laws of the Republic of Kazakhstan on countering legalization (laundering) of proceeds from crime and financing of terrorism
* Undertakes to comply with the conditions and requirements and perform duties established by and arising out of the Code of Rules
* Undertakes to pay for the services of Central Securities Depository JSC in accordance with the Regulation on Tariffs and Charges
* Gives his/her unconditional consent to the disclosure of information about the applicant and his/her activities to the Central Securities Depository JSC in pursuance of requirements of the applicable laws on the grounds established by and in the manner stipulated by those laws
* Expresses his/her unconditional agreement with the rights of Central Securities Depository JSC established by Articles 17 and 18 of the Rules, with the limitations and exception of rights of Central Securities Depository JSC established by Article 19 of the Rules
* Expresses his/her unconditional agreement with the rights of a client of Central Securities Depository JSC established by Article 20 of the Rules, with the limitations and exception of rights of a client of Central Securities Depository JSC established by Article 21 of the Rules
* Expresses his/her unconditional agreement with the liability imposed on Central Securities Depository JSC under Article 22 of the Rules, with the limitations and exception of liability of Central Securities Depository JSC established by Article 23 of the Rules
* Expresses his/her unconditional agreement with the liability imposed on a client of Central Securities Depository JSC under Article 24 of the Rules
* Confirms that he/she has read the terms and conditions of the deed of accession (i.e., the Code of Rules), understands their meaning and unconditionally accepts them.

|  |
| --- |
|  |
| [signature] Last name and initials |

**Appendix 1**

to Individual's Application for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data

**Foreign Individual's Additional Details**

**Visa details**

|  |  |
| --- | --- |
| Number |  |
| Issue date |  |
| Expiry date |  |

**Migration card details**

|  |  |
| --- | --- |
| Number |  |
| Issue date |  |
| Expiry date |  |

|  |
| --- |
|  |
| Full name IIN date signature |

**Appendix 2**

to Individual's Application for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data

**Individual Entrepreneur's (IE) Details**

|  |  |
| --- | --- |
| IE name |  |

**IE registration document details**

|  |  |
| --- | --- |
| Number |  |
| Issue date |  |
| BIN (if any) |  |
| Type of business activity |  |
|  |

**License details (for a licensed activity)**

|  |  |
| --- | --- |
| Number |  |
| Issue date |  |
| Expiry date |  |

**Business activity address**

|  |  |
| --- | --- |
| ZIP code |  |
| Country |  |
| Region |  |
| District |  |
| Settlement |  |
| Address |  |

|  |
| --- |
|  |
| Full name IIN date signature |

**Appendix 3**

to Individual's Application for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data

*(This Appendix was changed by the resolution  
of the Management Board of the Central Securities Depository dated July 4, 2019)*

**Beneficial Owner's Details**

**Full name of a beneficial owner**

|  |
| --- |
|  |

|  |  |
| --- | --- |
| IIN |  |
| Nationality |  |
|  | |

|  |  |
| --- | --- |
| Taxpayer ID in the country of tax residence[[7]](#footnote-7) |  |
| Country of tax residence |  |
| Telephone, e-mail |  |

**Identity document details**

|  |  |
| --- | --- |
| Document type |  |
| Document No. |  |
| Document series |  |
| Issue date |  |
| Expiry date |  |
| Issuing authority |  |

**Information on association of the beneficial owner with foreign public officers or related persons (family members)** (mark as appropriate)

|  |  |  |  |
| --- | --- | --- | --- |
|  | person, whether appointed or elected, holding any office in a legislative, executive, administrative, judicial body, or in armed forces of a foreign state | | |
|  |  |  |  |
|  | person performing any public function for a foreign state | | |
|  |  |  |  |
|  | person holding an executive position in the organizations created by the countries under agreements of an international treaty status | | |
|  |  |  |  |
|  | no association with any of the above persons | | |
|  | | | | |
| Full name IIN date signature | | | | |

**Form 2**

*(This form was changed by the resolutions of the Management Board of the Central Securities Depository dated July 4, 2019, and December 18, 2019)*

**Legal Entity's Application for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Date |  |  | Ref. No. |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | submitted for the first time |  | to amend important data[[8]](#footnote-8) |

**Legal entity’s name**

|  |  |
| --- | --- |
| Full name in Kazakh[[9]](#footnote-9) |  |
|  | |
| Short name in Kazakh[[10]](#footnote-10) |  |
| Full name in Russian2 |  |
|  | |
| Short name in Russian3 |  |
| Full name in English3 |  |
|  | |
| Short name in English3 |  |
| OKED code (if any) |  |
| BIN |  |

|  |  |
| --- | --- |
| Country of tax residence |  |
| Taxpayer ID in the country of tax residence[[11]](#footnote-11) |  |
| Telephones |  |
| E-mail |  |

**Type of legal entity** (select one type)

|  |  |  |  |
| --- | --- | --- | --- |
|  | Bank |  | Broker-dealer |
|  |  |  |  |
|  | unified savings pension fund (own assets) |  | voluntary savings pension fund (own assets) |
|  |  |  |  |
|  | general insurance company |  | life insurance company |
|  |  |  |  |
|  | other licensees of the security market |  | investment fund |
|  |  |  |  |
|  | other legal entities | | |

**Legal entity registration document details**

|  |  |
| --- | --- |
| Country of registration |  |
| Document type |  |
| Document No. and issue date |  |
| Issuing authority |  |
| Original registration date |  |
| Re-registration date |  |

**Legal entity location** (according to the registration document)

|  |  |
| --- | --- |
| ZIP code |  |
| Country |  |
| Region |  |
| District |  |
| Settlement |  |
| Address |  |

**Location of the executive body** (if different from the legal entity location)

|  |  |
| --- | --- |
| ZIP code |  |
| Country |  |
| Region |  |
| District |  |
| Settlement |  |
| Address |  |

**Mailing address**

|  |  |
| --- | --- |
| ZIP code |  |
| Country |  |
| Region |  |
| District |  |
| Settlement |  |
| Address |  |

**Information about the company's officers**

|  |  |
| --- | --- |
| Chief executive officer's position |  |
| Chief executive officer's full name |  |
| Chief accountant's full name |  |

**Management structure[[12]](#footnote-12)**

|  |  |
| --- | --- |
| Superior body |  |
| Management body |  |
| Executive body |  |
| Other bodies |  |
| Date of the last revision of documents on the basis whereof the structure of bodies is approved |  |

**Sources of financing** (mark as appropriate)

|  |  |  |  |
| --- | --- | --- | --- |
|  | income from business activities |  | dividends |
|  |  |  |  |
|  | other | | |

|  |  |
| --- | --- |
| Banks / financial institutions where bank accounts are opened |  |
|  |

**Legal Entity's Additional Details** (mark as appropriate)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| license |  | yes[[13]](#footnote-13) |  | no |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| an individual holding directly or indirectly more than 25% in the authorized capital |  | yes[[14]](#footnote-14) |  | no |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| an individual controlling the legal entity on other grounds |  | yes3 |  | no |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| an individual for the benefit of whom transactions with financial instruments are made |  | yes3 |  | no |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| branch(es) and/or representative offices |  | yes[[15]](#footnote-15) |  | no |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| a foreign financial institution |  | yes[[16]](#footnote-16) |  | no |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| signs of association with the USA |  | yes[[17]](#footnote-17) |  | no |

**Additional information on establishment of business relations (contract)**[[18]](#footnote-18)

Contract period: from \_\_\_ \_\_\_ \_\_\_\_\_\_ to \_\_\_ \_\_\_ \_\_\_\_\_\_

Contract price: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

By signing this application, the applicant:

– Acknowledges that information provided in this Application and Appendices hereto is valid, true, and accurate as of the date below, and undertakes to notify Central Securities Depository JSC of any and all changes in that information within the period of time established by the Rules for Establishment, Maintenance, and Termination of Business Relations (the "Rules")

* Gives his/her unconditional consent to Central Securities Depository JSC for collection, processing, storage and distribution, including cross-border transfer, of personal data in accordance with requirements of the Law of the Republic of Kazakhstan "On Personal Data and Their Protection" and other applicable laws of the Republic of Kazakhstan
* Undertakes to submit all necessary documents requested by Central Securities Depository JSC to comply with requirements of laws of the Republic of Kazakhstan on countering legalization (laundering) of proceeds from crime and financing of terrorism
* Confirms the receipt of an unconditional consent from its employees and other individuals mentioned in this Application and Appendices hereto for collection, processing, storage and distribution, including cross-border transfer, of their personal data by Central Securities Depository JSC in accordance with requirements of the Law of the Republic of Kazakhstan "On Personal Data and Their Protection" and other applicable laws of the Republic of Kazakhstan
* Undertakes to comply with the conditions and requirements and perform duties established by and arising out of the Code of Rules
* Undertakes to pay for the services of Central Securities Depository JSC in accordance with the Regulation on Tariffs and Charges
* Gives his/her unconditional consent to the disclosure of information about the applicant and his/her activities to the Central Securities Depository JSC in pursuance of requirements of the applicable laws on the grounds established by and in the manner stipulated by those laws
* Expresses his/her unconditional agreement with the rights of Central Securities Depository JSC established by Articles 17 and 18 of the Rules, with the limitations and exception of rights of Central Securities Depository JSC established by Article 19 of the Rules
* Expresses his/her unconditional agreement with the rights of a client of Central Securities Depository JSC established by Article 20 of the Rules, with the limitations and exception of rights of a client of Central Securities Depository JSC established by Article 21 of the Rules
* Expresses his/her unconditional agreement with the liability imposed on Central Securities Depository JSC under Article 22 of the Rules, with the limitations and exception of liability of Central Securities Depository JSC established by Article 23 of the Rules
* Expresses his/her unconditional agreement with the liability imposed on a client of Central Securities Depository JSC under Article 24 of the Rules
* Confirms that he/she has read the terms and conditions of the deed of accession (i.e., the Code of Rules), understands their meaning and unconditionally accepts them.

|  |
| --- |
|  |
| Position [signature] Last name and initials |
|  |
| Position [signature] Last name and initials[[19]](#footnote-19) |

L.S. (if so provided for by the specimen signatures and seal impression card)

**Appendix 1**

to Legal Entity's Application  
for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data

**Ownership and Management Structure**

**1. Supreme body members[[20]](#footnote-20)**

|  |  |
| --- | --- |
| Date of the last registration of constituent documents, or date of an extract from the register of shareholders (members) or other documents on the basis whereof the supreme body composition is determined: |  |

**Individual members of the supreme body**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **No.** | **Full name, IIN[[21]](#footnote-21)** | **Date of birth** | **Nationality** | **Type of identity document, number, series, issue date, expiry date, issuing authority** |
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| ... |  |  |  |  |
| N |  |  |  |  |

**Corporate members of the supreme body**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **No.** | **Description** | **Country of registration** | **BIN[[22]](#footnote-22)** | **Type of legal entity registration document, number, series, issue date, issuing authority** |
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| ... |  |  |  |  |
| N |  |  |  |  |

**2. Composition of the management body**

**Individual members of the management body**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No.** | **Full name, IIN[[23]](#footnote-23)** | **Type, number, and date of the document on the basis whereof a person performs functions in the management body** | **Date and place of birth** | **Nationality** | **Type of identity document, number, series, issue date, expiry date, issuing authority** |
| 1. |  |  |  |  |  |
| 2. |  |  |  |  |  |
| ... |  |  |  |  |  |
| No. |  |  |  |  |  |

**3. Composition of the executive body**

**Individual members of the executive body**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Full name, IIN1** | **Type, number, and date of the document on the basis whereof a person performs functions in the executive body** | **Date and place of birth** | **Nationality** | **Residence address and phone number** | **Type of identity document, number, series, issue date, expiry date, issuing authority** |
| 1. |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |
| ... |  |  |  |  |  |  |
| No. |  |  |  |  |  |  |

**4. Composition of other body (if any)**

**Individual members of any other body**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No.** | **Full name, IIN1** | **Type, number, and date of the document on the basis whereof a person performs functions in any other body** | **Date and place of birth** | **Nationality** | **Type of identity document, number, series, issue date, expiry date, issuing authority** |
| 1. |  |  |  |  |  |
| 2. |  |  |  |  |  |
| 3. |  |  |  |  |  |
| 4. |  |  |  |  |  |

|  |
| --- |
|  |
| Position [signature] Last name and initials |
|  |
| Position [signature] Last name and initials[[24]](#footnote-24) |

L.S. (if so provided for by the specimen signatures and seal impression card)

**Appendix 2**

to Legal Entity's Application  
for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data

**Licenses of the Legal Entity**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No.** | **License name** | **Number** | **Issue date** | **Expiry date** | **Licensing authority** |
| 1. |  |  |  |  |  |
| 2. |  |  |  |  |  |
| 3. |  |  |  |  |  |
| 4. |  |  |  |  |  |

|  |
| --- |
|  |
| Position [signature] Last name and initials |
|  |
| Position [signature] Last name and initials[[25]](#footnote-25) |

L.S. (if so provided for by the specimen signatures and seal impression card)

**Appendix 3**

to Legal Entity's Application  
for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data

*(This Appendix was changed by the resolution  
of the Management Board of the Central Securities Depository dated July 4, 2019)*

**Beneficial Owner's Details**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Date |  |  | / |  |  | / |  |  |  |  |

**Full name of a beneficial owner**

|  |
| --- |
|  |

|  |  |
| --- | --- |
| IIN |  |
| Nationality |  |
| Country of tax residence |  |
| Taxpayer ID in the country of tax residence[[26]](#footnote-26) |  |
| Telephone, e-mail |  |

**Identity document details**

|  |  |
| --- | --- |
| Document type |  |
| Document No. |  |
| Document series |  |
| Issue date |  |
| Expiry date |  |
| Issuing authority |  |

**Information on association of the beneficial owner with foreign public officers or related persons (family members)** (mark as appropriate)

|  |  |  |  |
| --- | --- | --- | --- |
|  | person, whether appointed or elected, holding any office in a legislative, executive, administrative, judicial body, or in armed forces of a foreign state | | |
|  |  |  |  |
|  | person performing any public function for a foreign state | | |
|  |  |  |  |
|  | person holding an executive position in the organizations created by the countries under agreements of an international treaty status | | |
|  |  |  |  |
|  | no association with any of the above persons | | |
|  | | | | |
| Position [signature] Last name and initials | | | | |
|  | | | | |
| Position [signature] Last name and initials[[27]](#footnote-27) | | | | |

L.S. (if so provided for by the specimen signatures and seal impression card)

**Appendix 4**

to Legal Entity's Application  
for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data

**Branches (Representative Offices) of the Legal Entity**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  | Date |  |  | / |  |  | / |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **No.** | **Branch (representative office), BIN[[28]](#footnote-28) (if any), OKED code (if any)** | **Country of registration** | **Location address, phone number, e-mail** | **Type of branch (representative office) registration document, number, series, issue date, issuing authority** |
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| 3. |  |  |  |  |
| 4. |  |  |  |  |
| 5. |  |  |  |  |

|  |
| --- |
|  |
| Position [signature] Last name and initials |
|  |
| Position [signature] Last name and initials[[29]](#footnote-29) |

L.S. (if so provided for by the specimen signatures and seal impression card)

**Appendix 5**

to Legal Entity's Application  
for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data

**Additional Information on the Foreign Financial Institution**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Date |  |  | / |  |  | / |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Business account No.[[30]](#footnote-30) |  |  |  |  |  |  |  |  |  |  |

**General**

|  |
| --- |
| Online resource (website) where the history of your company, business reputation, as well as the rating assigned by the international rating agency (Moody’s Investors Service, Standard&Poor's, or Fitch Ratings) may be verified |
|  |
|  |

|  |
| --- |
| Audit company that conducted an audit for the last financial year |
|  |

|  |
| --- |
| Last audit end date |
|  |

|  |
| --- |
| Key partners |
|  |
|  |
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|  |
| --- |
| Names and locations of subsidiaries and affiliates (if any) |
|  |
|  |
|  |
|  |
|  |
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|  |
| --- |
| Name and location of the financial group / holding your company belongs to |
|  |
|  |
|  |
|  |

**Measures taken to combat legalization (laundering) of proceeds from crime and financing of terrorism (AML/CFT):**

Are there any binding AML/CFT regulations in the country of registration of your company?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |
| Name of the supervisory body and date of the last AML/CFT check | | | | |
|  | | | | |
|  | | | | |

Are there any registered facts of investigations against your company or any criminal or administrative penalties (sanctions, enforcement actions) applied to your company and/or executives over the last five years for the breach of AML/CFT laws?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company have any internal AML/CFT documents?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No | If Yes, indicate the date of their adoption |  |

Do internal AML/CFT documents cover your foreign subsidiaries and affiliates, branches (representative offices) (if any)?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company implement any procedures to evaluate efficiency of internal AML/CFT documents by the internal audit division and an external audit company?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company have a division performing AML/CFT functions?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

|  |
| --- |
| Full name, position, telephone, e-mail of the employee responsible for AML/CFT at the level of a manager or a member of a management body |
|  |
|  |

Does your company implement the risk management procedures for the risks of legalization (laundering) of proceeds from crime and financing of terrorism with due regard to the risk factors?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company identify and assess risks and determine the source of origin of clients' funds?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company implement any procedures governing the establishment of business relations with foreign public officers?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Are there any anonymous accounts in your company?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company implement any procedures aimed at preventing the opening of anonymous accounts?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company monitor transactions and identify suspicious activities (transactions) of clients, including any special software (automated information systems)?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company implement any procedures to prevent access of terrorists and persons engaged in the financing of terrorism to the financial and other resources (freezing of transactions with money and/or other assets)?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company implement any procedures to train and teach employees in AML/CFT (including the frequency of training and the date of the last training)?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company have any branches (representative offices) in the states (territories) that fail to comply with the recommendations of the Financial Action Task Force on Money Laundering (FATF)?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

|  |
| --- |
| If Yes, indicate their names and locations |
|  |
|  |

Does your company have any current correspondent relations with banks or other financial institutions registered in the states (territories) that fail to comply with the recommendations of the Financial Action Task Force on Money Laundering (FATF)?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

|  |
| --- |
| If Yes, indicate names of those banks and financial institutions |
|  |
|  |
|  |
|  |

Does your company have any current correspondent relations with banks or other financial institutions registered in the states with preferential taxation and/or in the states that do not provide for disclosure and provision of information during financial transactions?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company have any current correspondent relations with shell banks or other financial institutions without the physical presence in the state of their registration?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

|  |
| --- |
| If Yes, indicate names of those banks and financial institutions |
|  |
|  |
|  |

Does your company implement any procedures hindering the establishment of correspondent relations with shell banks and other financial institutions without the physical presence in the state of their registration?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

Does your company implement any procedures enabling provision of information on the due diligence of clients of a foreign financial institution upon request of a professional participant?

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes |  | No |

|  |
| --- |
|  |
| Position [signature] Last name and initials |
|  |
| Position [signature] Last name and initials[[31]](#footnote-31) |

L.S. (if so provided for by the specimen signatures and seal impression card)

**Form 3**

**Representative's Details**

(to be filled out by the Client's representative)

**Client's details**

Full name / full corporate name of the Client

|  |
| --- |
|  |

|  |  |
| --- | --- |
| Client’s IIN/BIN |  |

**Representative's details**

Full name

|  |
| --- |
|  |

|  |  |
| --- | --- |
| IIN |  |

|  |  |
| --- | --- |
| Date and place of birth |  |
| Nationality |  | |
| Telephones |  | |

**Identity document details**

|  |  |  |  |
| --- | --- | --- | --- |
| Document type | |  | |
|  |  | |  |
| Document No./series | |  | |
| Issue date | |  | |
| Issuing authority | |  | |

**Address of residence (registration) or place of stay**

|  |  |
| --- | --- |
| ZIP code |  |
| Country |  |
| Region |  |
| District |  |
| Settlement |  |
| Address |  |

**Migration card / visa details (if any)**

|  |  |
| --- | --- |
| Number |  |
| Issue date |  |
| Expiry date |  |

I hereby acknowledge that the above information is true and current as of the date written below, and undertake to notify Central Securities Depository JSC without delay of any and all changes in the above details.

By signing this information, I hereby give my unconditional consent to Central Securities Depository JSC for collection, processing, storage and distribution of personal data in accordance with requirements of the Law of the Republic of Kazakhstan "On Personal Data and Their Protection" and other applicable laws of the Republic of Kazakhstan.

|  |
| --- |
|  |
| Signature Last name and initials Date |

**Appendix**

**Establishment of Business Relations**

**List of Documents Submitted by the Clients to Establish and Maintain Business Relations with the Central Securities Depository**

| No. | Document title | | Note |
| --- | --- | --- | --- |
| А | 1 | | 2 |
| **I** | **INDIVIDUALS** | | |
| 1. | Individual's Application for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data | as per Form 1 hereof | |
| 2. | Individual's identity document | * original document – upon a personal visit; * a notarized copy – upon presentation of documents by an authorized person, by post, or via a courier; * a copy certified with a signature and a seal of the management company – when documents are transferred by the management company on behalf of an individual who submitted an application for the acquisition of equity units | |
| 3. | Document attesting the individual's registration as an individual entrepreneur | for an individual entrepreneur, including a head of a peasant holding / farm | |
| 4. | Notarized copy of the document attesting the appointment of a guardian by a guardianship body, as well as the guardian's written consent to the establishment of business relations with Central Securities Depository JSC | for an incapable person | |
| 5. | Notarized power of attorney | upon presentation of documents by an authorized person   * a power of attorney issued in the Republic of Kazakhstan shall be issued in compliance with the legislation of the Republic of Kazakhstan; * a power of attorney issued in a foreign state shall be duly apostilled / legalized (unless otherwise provided for by a treaty between the Republic of Kazakhstan and that foreign state) | |
| 6. | Representative's details | upon presentation of documents by an authorized person  as per Form 3 hereof | |
| 7. | Identity document of the individual's representative | upon presentation of documents by an authorized person   * original document – upon a personal visit; * a notarized copy – upon presentation of documents by post, or via a courier | |
| 8. | Copy of a visa | for foreign individuals, except citizens of states with visa-free entry to the Republic of Kazakhstan | |
| 9. | Copy of a migration card | for foreign individuals who enter the Republic of Kazakhstan without a visa | |
| 10. | A statement of the choice of a common representative from the members | for a common representative of joint tenants   * original document – upon a personal visit; * a notarized copy – upon presentation of documents by post, or via a courier | |
| 11. | Copies of identity documents of joint tenants | for a common representative of joint tenants | |
| 12. | A copy of the identity document of a beneficial owner | in case the applicant has a beneficial owner | |
| **II** | **LEGAL ENTITIES** | | |
| 1. | Legal Entity's Application for Establishment of Business Relations with Central Securities Depository JSC / Notice of Changes in Important Data | as per Form 2 hereof | |
| 2. | Legal entity registration document | * a document from the ‘e-Government’ web portal – for legal entities registered in the Republic of Kazakhstan * an apostilled / legalized document (unless otherwise provided for by a treaty between the Republic of Kazakhstan and that foreign state) – for legal entities registered outside the Republic of Kazakhstan | |
| 3. | A notarized specimen signatures and seal impression card | as per form published on the website of the Central Securities Depository  A notarized specimen signatures and seal impression card issued in the territory of a foreign state shall be duly apostilled/legalized (unless otherwise provided for by a treaty between the Republic of Kazakhstan and that foreign state) *(this paragraph is included by the resolution of the Management Board of the Central Securities Depository dated December 18, 2019)* | |
| 4. | Copies of identity documents of the persons specified in the specimen signatures and seal impression card |  | |
| 5. | A copy of the Articles of Association of a legal entity | * certified with the signature of the chief executive officer and a seal of the legal entity (if so provided for by the specimen signatures and seal impression card) – for legal entities registered in the Republic of Kazakhstan * an apostilled / legalized copy (unless otherwise provided for by a treaty between the Republic of Kazakhstan and that foreign state) – for legal entities registered outside the Republic of Kazakhstan | |
| 6. | A copy of a license | for legal entities engaged in a licensed activity | |
| 7. | A power of attorney authorizing the representative to take legally binding actions on behalf of the legal entity | * a power of attorney issued in the Republic of Kazakhstan shall be issued in compliance with the legislation of the Republic of Kazakhstan; * a power of attorney issued in a foreign state shall be duly apostilled / legalized (unless otherwise provided for by a treaty between the Republic of Kazakhstan and that foreign state) | |
| 8. | Identity document of the legal entity's representative | * original document – upon a personal visit; * a notarized copy – upon presentation of documents by post, or via a courier | |
| 9. | Representative's details | as per Form 3 hereof | |
| 10. | Copy of a visa | for foreign representatives of a legal entity, except citizens of states with visa-free entry to the Republic of Kazakhstan | |
| 11. | Copy of a migration card | for foreign representatives of a legal entity who enter the Republic of Kazakhstan without a visa | |
| 12. | Document(s) attesting registration of a branch (branches) (a representative office (representative offices)) | for legal entities with branches (representative offices) | |
| 13. | Copies of identity documents of individual members of the supreme body |  | |
| 14. | Copy of the document on the basis whereof the composition of the supreme body is established |  | |
| 15. | Copies of identity documents of individual members of the executive body |  | |
| 16. | Written agreement of all joint tenants on the choice of a common representative | a common representative of joint tenants – for a legal entity   * original document – upon a personal visit; * a notarized copy – upon presentation of documents by post, or via a courier | |
| 17. | Copy of a letter of Kazakhstan Stock Exchange JSC with the list of categories an applicant is a member of *(this is included by the resolution of the Management Board of the Central Securities Depository dated December 18, 2019)* | for a legal entity being a member of Kazakhstan Stock Exchange JSC | |
| 18. | Copy of an applicant's letter to Kazakhstan Interbank Settlement Center of the National Bank of the Republic of Kazakhstan, according to which the applicant allows the Central Securities Depository to issue payment orders on behalf of the applicant to transfer funds from its position to the Interbank Funds Transfer System *(this is included by the resolution of the Management Board of the Central Securities Depository dated December 18, 2019)* | for a legal entity holding a correspondent account in tenge opened with the National Bank of the Republic of Kazakhstan | |

1. When important data are amended, only amended details shall be filled out [↑](#footnote-ref-1)
2. This field shall be filled out if the country of tax residence is other than the Republic of Kazakhstan [↑](#footnote-ref-2)
3. Submit a completed Appendix 1 to the Application [↑](#footnote-ref-3)
4. Submit a completed Appendix 2 to the Application. [↑](#footnote-ref-4)
5. Submit a completed Appendix 3 to the Application. [↑](#footnote-ref-5)
6. Submit completed FATCA forms. [↑](#footnote-ref-6)
7. To be filled out if the country of tax residence is other than the Republic of Kazakhstan. [↑](#footnote-ref-7)
8. When important data are amended, only amended details shall be filled out [↑](#footnote-ref-8)
9. According to the document attesting registration of a legal entity [↑](#footnote-ref-9)
10. According to the Articles of Association [↑](#footnote-ref-10)
11. This field shall be filled out if the country of tax residence is other than the Republic of Kazakhstan [↑](#footnote-ref-11)
12. Submit a completed Appendix 1 to the Application [↑](#footnote-ref-12)
13. Submit a completed Appendix 2 to the Application. [↑](#footnote-ref-13)
14. Submit a completed Appendix 3 to the Application. [↑](#footnote-ref-14)
15. Submit a completed Appendix 4 to the Application. [↑](#footnote-ref-15)
16. Submit a completed Appendix 5 to the Application. [↑](#footnote-ref-16)
17. Submit completed FATCA forms. [↑](#footnote-ref-17)
18. To be filled out by clients who are not entitled to conclude contracts for an indefinite period pursuant to the legislation of the Republic of Kazakhstan [↑](#footnote-ref-18)
19. If there is a second signature in the sample signatures card submitted to the Central Securities Depository [↑](#footnote-ref-19)
20. Not to be filled out by joint-stock companies and limited liability partnerships whose registers of shareholders and members are maintained by the Central Securities Depository. [↑](#footnote-ref-20)
21. Or taxpayer ID in the country of tax residence. [↑](#footnote-ref-21)
22. Or taxpayer ID in the country of tax residence. [↑](#footnote-ref-22)
23. Or taxpayer ID in the country of tax residence [↑](#footnote-ref-23)
24. If there is a second signature in the sample signatures card submitted to the Central Securities Depository [↑](#footnote-ref-24)
25. If there is a second signature in the sample signatures card submitted to the Central Securities Depository [↑](#footnote-ref-25)
26. To be filled out if the country of tax residence is other than the Republic of Kazakhstan. [↑](#footnote-ref-26)
27. If there is a second signature in the sample signatures card submitted to the Central Securities Depository. [↑](#footnote-ref-27)
28. Or taxpayer ID in the country of tax residence [↑](#footnote-ref-28)
29. If there is a second signature in the sample signatures card submitted to the Central Securities Depository [↑](#footnote-ref-29)
30. If applicable [↑](#footnote-ref-30)
31. If there is a second signature in the sample signatures card submitted to the Central Securities Depository [↑](#footnote-ref-31)