**Central Securities Depository JSC**

|  |  |  |
| --- | --- | --- |
|  |  | **Approved by** Resolution of the Management Board of Central Securities Depository JSC(minutes of the meeting No. 63 dated 29 November 2018)**Effective** from 1 January 2019 |

**FORMS**

**of applications for exchange of operational documents between Central Securities Depository JSC and its clients**

Almaty

2018

**AMENDMENT SHEET**

**1. Amendments and additions No. 1:**

 – approved by resolution of the Management Board of Central Securities Depository JSC (minutes of the meeting No. 7 dated 31 January 2019);

 – effective from 15 February 2019.

**2. Addition No. 2:**

 – approved by resolution of the Management Board of Central Securities Depository JSC (minutes of the meeting No. 43 dated 15 August 2019);

 – effective from 2 September 2019.

**3. Amendments No. 3:**

 – approved by resolution of the Management Board of Central Securities Depository JSC (minutes of the meeting No. 56 dated 25 October 2019);

 – effective from 10 November 2019.

**4. Addition No. 4:**

 – approved by resolution of the Management Board of Central Securities Depository JSC (minutes of the meeting No. 48 dated 12 October 2020);

 – effective from 01 November 2020.

**TABLE OF CONTENTS**

|  |  |  |
| --- | --- | --- |
|  | Preamble | 4 |
| Article 1. | Definitions, terms, conventional (abbreviated) designations | 4 |
| Article 2. | General provisions on the forms of applications for exchange of operational documents | 4 |
| Article 3. | Procedure for amending the forms of applications for exchange of operational documents | 4 |
|  | **Appendices** |  |
| Appendix 1. | Application for document exchange through SWIFT | 5 |
| Appendix 2. | Application for document exchange through EDMS | 7 |
| Appendix 3. | Application for electronic document exchange through the personal account | 10 |
| Appendix 4. | Information required for Central Securities Depository JSC to verify if certain operational documents are authorized | 14 |
| Appendix 5. | Guidelines for filling the forms of applications for exchange of operational documents | 15 |

These Forms have been prepared in accordance with the Rules for Receipt and Issue of Operational Documents (hereinafter, the Rules) approved by resolution of the Board of Directors of Central Securities Depository JSC (hereinafter, the Central Securities Depository) (minutes of the meeting No. 90 (z) dated 30 November 2018) and establish the forms of applications for exchange of operational documents between the Central Securities Depository and its clients.

**Article 1. Definitions, terms, conventional (abbreviated) designations**

 1. The Forms use the terms defined by the laws of the Republic of Kazakhstan.

 2. Other definitions, terms and conventional (abbreviated) designations used in these Forms are identical to the terms defined in other internal documents of the Central Securities Depository.

**Article 2. General provisions on the forms of applications for exchange of operational documents**

 1. These Forms regulate the procedure for submitting the data about electronic and hard copy method that a client of the Central Securities Depository intends to use to exchange operational documents with the Central Securities Depository.

 2. The Rules for filling the forms are set out in Appendix 5 hereto.

**Article 3. Procedure for amending the Forms**

 1. Amendments to the Forms shall be approved by the Management Board of the Central Securities Depository.

 2. Information on amendments and additions to the Forms shall be published on the website of the Central Securities Depository at least 15 days before the their introduction.

President B. Kapyshev

**Appendix 1**to the Forms of applications
for exchange of operational documents

*(This Appendix was amended by resolution of the Management Board of the Central Securities Depository dated 25 October 2019)*

**APPLICATION**

**for document exchange through SWIFT**

XX month 20XX

|  |
| --- |
|  |
| Full name of the client of the Central Securities Depository in accordance with the document confirming registration of the legal entity, BIN, SWIFT BIC |

The client of Central Securities Depository JSC (hereinafter, the Central Securities Depository), which is further referred to as **"the Client"**, hereby expresses its intention to transfer to and receive from the Central Securities Depository the operational documents, as defined by the internal document of the Central Securities Depository "Introduction to the Code of Rules of Central Securities Depository JSC", through SWIFT.

The receipt and issue of operational documents by the Central Securities Depository through SWIFT will be used during interaction between the Client and the Central Securities Depository when the latter provides the following services:

|  |  |
| --- | --- |
|  | maintaining the nominee holder's personal account |
|  |
|  | maintaining the current account |
|  |
|  | maintaining the correspondent account |

The Client declares that it has read, agrees with and undertakes to comply with the Rules for receipt and issue of operational documents (hereinafter, the Rules) (as regards the receipt and issue of operational documents by the Central Securities Depository through SWIFT). The obligation assumed by the Client also includes the obligation to comply with conditions of subsequent amendments to the Rules or new editions of the Rules provided that such amendments (detailed wording of such amendments), the Rules updated in accordance with such amendments or new editions of the Rules are published on the website of the Central Securities Depository (www.kacd.kz) at least 15 days before such amendments (new editions of the Rules) are put into effect.

Moreover, when the Client transfers to and receives from the Central Securities Depository the operational documents through SWIFT, the Client also undertakes to follow the formats of SWIFT messages (hereinafter, the formats) approved by the Management Board of the Central Securities Depository. The obligation assumed by the Client also includes the obligation to follow the subsequent amendments to the formats or new editions of the formats provided that such amendments (detailed wording of such amendments), the formats updated in accordance with such amendments or new editions of the formats are published on the website of the Central Securities Depository (www.kacd.kz) at least 15 days before such amendments (new editions of the formats) are put into effect.

The Client additionally undertakes, after receiving from the Central Securities Depository a notice of satisfying this application, to authorize data in the SWIFT system, which is required for the Central Securities Depository to receive from and issue to the Client the operational documents in electronic form through SWIFT.

The Client undertakes to maintain up-to-date the data contained in this application and assumes full responsibility for any consequences of such data being outdated.

The Client assumes responsibility for violation of the obligations contained herein. This responsibility also includes responsibility for actions (inaction) of the Client's employees involved in transfer to and receipt from the Central Securities Depository of operational documents through SWIFT, for violation of (noncompliance with) the Rules, formats and consequences of such actions (such inaction).

**On behalf of the Client**

Position [signature] Name

Stamp here (if provided by the card containing the client's specimen signatures and seal)

**Appendix 2**
to the Forms of applications
for exchange of operational documents

**APPLICATION**

**for document exchange through EDMS**

XX month 20XX

|  |
| --- |
|  |
| Full name of the client of the Central Securities Depository in accordance with the document confirming registration of the legal entity, BIN |

|  |  |  |  |
| --- | --- | --- | --- |
|  | first submission |  | amending previous submission |

The client of Central Securities Depository JSC (hereinafter, the Central Securities Depository), which details are given below and which is further referred to as **"the Client"**, hereby expresses its intention to transfer to and receive from the Central Securities Depository the documents, as defined by the internal document of the Central Securities Depository "Introduction to the Code of Rules of Central Securities Depository JSC", through EDMS.

The Client declares that it has read, agrees with and undertakes to comply with the Rules for receipt and issue of operational documents (hereinafter, the Rules) (as regards the receipt and issue of operational documents by the Central Securities Depository through EDMS). The obligation assumed by the Client also includes the obligation to comply with conditions of subsequent amendments to the Rules or new editions of the Rules provided that such amendments (detailed wording of such amendments), the Rules updated in accordance with such amendments or new editions of the Rules are published on the website of the Central Securities Depository (www.kacd.kz) at least 15 days before such amendments (new editions of the Rules) are put into effect.

Moreover, when the Client transfers to and receives from the Central Securities Depository the operational documents through EDMS, the Client also undertakes to follow the formats of EDMS messages (hereinafter, the formats) approved by the Management Board of the Central Securities Depository. The obligation assumed by the Client also includes the obligation to follow the subsequent amendments to the formats or new editions of the formats provided that such amendments (detailed wording of such amendments), the formats updated in accordance with such amendments or new editions of the formats are published on the website of the Central Securities Depository (www.kacd.kz) at least 15 days before such amendments (new editions of the formats) are put into effect.

The Client undertakes to maintain up-to-date the data contained in this application and assumes full responsibility for any consequences of such data being outdated.

The Client assumes responsibility for violation of the obligations contained herein. This responsibility also includes responsibility for actions (inaction) of the Client's employees involved in transfer to and receipt from the Central Securities Depository of operational documents in electronic form through EDMS, for violation of (noncompliance with) the Rules, formats and consequences of such actions (such inaction).

**Data**

**on the Client's details in electronic document management systems**

|  |
| --- |
| **Electronic documentation management system 1** |
| Name of the electronic document management system |  |
| Name of service under which the electronic documents are managed |  |
| System's certification center |  |
| Name of the registration certificate holder in the DN (Distinguished Name) format according to the registration certificate issued by the system's certification center |  |
| Client's identifier in the system |  |
| **Electronic documentation management system 2** |
| Name of the electronic document management system |  |
| Name of service under which the electronic documents are managed |  |
| System's certification center |  |
| Name of the registration certificate holder in the DN (Distinguished Name) format according to the registration certificate issued by the system's certification center |  |
| Client's identifier in the system |  |
| **Electronic documentation management system 3** |
| Name of the electronic document management system |  |
| Name of service under which the electronic documents are managed |  |
| System's certification center |  |
| Name of the registration certificate holder in the DN (Distinguished Name) format according to the registration certificate issued by the system's certification center |  |
| Client's identifier in the system |  |

The Client confirms that the above registration certificates issued by the EDMS certification centers are issued to the Client's employees and that in accordance with the above services, under which the electronic documents are managed, such employees are entitled to sign documents sent to the Central Securities Depository through the EDMS.

**On behalf of the Client**

Position [signature] Name

Stamp here (if provided by the card containing the depositor's specimen signatures and seal)

**Appendix 3**
to the Forms of applications
for exchange of operational documents

*(This appendix was revised by resolutions of the Management Board of
the Central Securities Depository dated 31 January 2019,
15 August 2019, 25 October 2019, and supplemented by resolution
of the Central Securities Depository's Management Board dated 12 October 2020)*

**APPLICATION**

**for electronic document exchange through the personal account**

XX month 20XX

|  |
| --- |
|  |
| Full name of the client of the Central Securities Depository in accordance with the document confirming registration of the legal entity, BIN  |

The client of Central Securities Depository JSC (hereinafter, the Central Securities Depository), which is further referred to as **"the Client"**, hereby expresses its intention to transfer to and receive from the Central Securities Depository the operational documents, as defined by the internal document of the Central Securities Depository "Introduction to the Code of Rules of Central Securities Depository JSC", through the personal account.

The Client declares that it has read, agrees with and undertakes to comply with the Rules for receipt and issue of operational documents (hereinafter, the Rules) (as regards the receipt and issue of operational documents by the Central Securities Depository through the personal account). The obligation assumed by the Client also includes the obligation to comply with conditions of subsequent amendments to the Rules or new editions of the Rules provided that such amendments (detailed wording of such amendments), the Rules updated in accordance with such amendments or new editions of the Rules are published on the website of the Central Securities Depository (www.kacd.kz) at least 15 days before such amendments (new editions of the Rules) are put into effect.

Moreover, when the Client transfers to and receives from the Central Securities Depository the operational documents through the personal account, the Client also undertakes to follow the formats of EDMS messages (hereinafter, the formats) approved by the Management Board of the Central Securities Depository. The obligation assumed by the Client also includes the obligation to follow the subsequent amendments to the formats or new editions of the formats provided that such amendments (detailed wording of such amendments), the formats updated in accordance with such amendments or new editions of the formats are published on the website of the Central Securities Depository (www.kacd.kz) at least 15 days before such amendments (new editions of the formats) are put into effect.

The Client indicates data on persons authorized by the Client to administer user accounts and on persons authorized by the Client to exchange operational documents with the Central Securities Depository separately for each Personal Account.

The Client undertakes to maintain up-to-date the data contained in this application and assumes full responsibility for any consequences of such data being outdated.

The Client assumes responsibility for violation of the obligations contained herein. This responsibility also includes responsibility for actions (inaction) of the Client's authorized persons involved in transfer to and receipt from the Central Securities Depository of operational documents in electronic form through the personal account, for violation of (noncompliance with) the Rules, formats and consequences of such actions (such inaction).

**Personal Account "Informing Person"**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | first submission |  | replaces previous submission |  | refusing to use |

|  |
| --- |
| **Data on persons authorized by the Client to administer user accounts in the PA "Informing Person"[[1]](#footnote-1)** |
| Full name | IIN | E-mail address, telephone number |
|  |  |  |
|  |  |  |
|  |  |  |

|  |
| --- |
| **Data on persons authorized by the Client to exchange operational documents with the Central Securities Depository through the PA "Informing Person"** |
| Full name | IIN | E-mail address, telephone number |
|  |  |  |
|  |  |  |
|  |  |  |

**ersonal Account "DOC.KACD"**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | first submission |  | replaces previous submission |  | refusing to use |

|  |
| --- |
| **Data on persons authorized by the Client to exchange operational documents with the Central Securities Depository through the PA "DOC.KACD"** |
| Full name | IIN | E-mail address, telephone number |
|  |  |  |
|  |  |  |
|  |  |  |

**Personal Account "Issuer"**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | first submission |  | replaces previous submission |  | refusing to use |

|  |
| --- |
| **Data on persons authorized by the Client to exchange operational documents with the Central Securities Depository through the PA "Issuer"** |
| Full name | IIN | E-mail address, telephone number |
|  |  |  |
|  |  |  |
|  |  |  |

**Personal Account "Holder"**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | first submission |  | replaces previous submission |  | refusing to use |

|  |
| --- |
| **Data on persons authorized by the Client to exchange operational documents with the Central Securities Depository through the PA "Holder"** |
| Full name | IIN | E-mail address, telephone number |
|  |  |  |
|  |  |  |
|  |  |  |

**Personal Account "Nominee Holder"**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | first submission |  | replaces previous submission |  | refusing to use |

**Indication of the activity type[[2]](#footnote-2)**

|  |  |  |  |
| --- | --- | --- | --- |
|  | as part of custody activities |  | as part of broker activities |

|  |
| --- |
| **Data on persons authorized by the Client to exchange operational documents with the Central Securities Depository through the PA "Nominee Holder"** |
| Full name | IIN | E-mail address, telephone number |
|  |  |  |
|  |  |  |
|  |  |  |

The Client confirms that the abovementioned employees are entitled to sign documents sent to the Central Securities Depository through the personal account.

**On behalf of the Client**

Position [signature] Name

Stamp here (if provided by the card containing the depositor's specimen signatures and seal)

**Appendix 4**to the Forms of applications
for exchange of operational documents

For official use

|  |
| --- |
|  |
| Full name of the client of the Central Securities Depository in accordance with the document confirming registration of the legal entity, BIN |

**INFORMATION**

**required for Central Securities Depository JSC to verify if certain operational documents are authorized**

|  |  |  |  |
| --- | --- | --- | --- |
|  | first submission |  | replaces previous submission |

The client of Central Securities Depository JSC (hereinafter, the Central Securities Depository), hereinafter referred to as **"the Client"**, has included in this Information the data about its employees whose job duties include confirmation that operational documents, as defined by the internal document of the Central Securities Depository "Introduction to the Code of Rules of Central Securities Depository JSC", received by the Central Securities Depository are authorized, for which documents the need for such verification is:

1) described by the internal documents of the Central Securities Depository included in the Code of Rules;

2) established by resolution of the Management Board or the Board of Directors of the Central Securities Depository.

|  |  |  |
| --- | --- | --- |
| Full name[[3]](#footnote-3) | E-mail address, telephone number | Name of service[[4]](#footnote-4) |
|  |  |  |
|  |  |  |
|  |  |  |

The above persons are authorized to confirm authorization of operational documents received by the Central Securities Depository.

**On behalf of the Client**

Position [signature] Name

Stamp here (if provided by the card containing the depositor's specimen signatures and seal)

**Appendix 5**to the Forms of applications
for exchange of operational documents

**GUIDELINES**

**for filling the forms of applications for exchange of operational documents**

**Part 1. Appendix 1. Application for document exchange through SWIFT**

1.1. *(This paragraph was deleted by resolution of the Central Securities Depository's Management Board dated 31 January 2019)*.

1.2. Mark the choice in empty boxes with "✓" or "🗶".

1.3. Each page of the application must be numbered and signed by the person who signed the application.

1.4. The application must be signed by the person with the right of first signature in accordance with the notarized card containing specimen signatures and seal of the Central Securities Depository's client, which was submitted to the Central Securities Depository, and sealed (if provided by the said card).

**Part 2. Appendix 2. Application for document exchange through EDMS**

2.1. *(This paragraph was deleted by resolution of the Central Securities Depository's Management Board dated 31 January 2019)*.

2.2. Mark the choice in empty boxes with "✓" or "🗶".

2.3. Indicate in the line "Name of service under which the electronic documents are managed" one of the following services:

 2.3.1. maintaining the nominee holder's personal account;

 2.3.2. maintaining the current account;

 2.3.3. maintaining the correspondent account;

2.3. Each page of the application must be numbered and signed by the person who signed the application.

2.4. The application must be signed by the person with the right of first signature in accordance with the notarized card containing specimen signatures and seal of the Central Securities Depository's client, which was submitted to the Central Securities Depository, and sealed (if provided by the said card).

**Part 3. Appendix 3. Application for electronic document exchange through the personal account**

3.1. It is allowed to fill in tables in the application for one or several personal accounts through which the Client intends to exchange or exchanges operational documents with the Central Securities Depository.

If exchange of operational documents through the personal account is intended, the mark "first submission" is required.

When changing the data on persons authorized to administer user accounts in the personal account or to exchange operational documents through the personal account, the mark "replaces previous submission" is required.

When intending to refuse using the personal account, the mark "refusing to use" is required, and the table is not filled in.

*(This paragraph was amended by resolutions of the Central Securities Depository's Management Board dated 31 January 2019 and 25 October 2019)*.

3.2. Mark the choice in empty boxes with "✓" or "🗶".

3.3. The column "Full name" must indicate the first name, patronymic (if any) and last name of the employee whose EDS is used to log into the personal account *(this paragraph was amended by resolution of the Central Securities Depository’s Management Board dated 31 January 2019)*.

3.4. The e-mail address must be indicated in lowercase letters, unless use of uppercase letters is required due to sensitivity of the email software to the letter case.

3.5. The telephone numbers must be indicated in the following format: + [country code] [locality code] [telephone number as ХХХ ХХХХ].

3.6. Each page of the application must be numbered and signed by the person who signed the application.

3.7. The application must be signed by the person with the right of first signature in accordance with the notarized card containing specimen signatures and seal of the Central Securities Depository's client, which was submitted to the Central Securities Depository, and sealed (if provided by the said card).

**Part 4. Appendix 4. Information required for Central Securities Depository JSC to verify if certain operational documents are authorized**

4.1. *(This paragraph was deleted by resolution of the Central Securities Depository's Management Board dated 31 January 2019)*.

4.2. Mark the choice in empty boxes with "✓" or "🗶".

4.3. The column "Full name" must indicate the first name, patronymic (if any) and last name of the employee authorized to confirm authorization of the reporting documents received by the Central Securities Depository *(this paragraph was amended by resolution of the Central Securities Depository’s Management Board dated 31 January 2019)*.

4.4. The telephone numbers must be indicated in the following format: + [country code] [locality code] [telephone number as ХХХ ХХХХ].

4.5. The number of the confirmation telephone must be the number of a landline telephone to call to receive confirmation that the operational document was sent as the original hard copy by the employee of the Central Securities Depository's client whose name is included in the information.

4.6. Indicate in the column "Name of service" one of the following services:

 4.6.1. maintaining the nominee holder's personal account;

 4.6.2. maintaining the current account;

 4.6.3. maintaining the correspondent account;

4.7. Each page of the information must be numbered and signed by the person who signed the information.

4.8. The information must be signed by the person with the right of first signature in accordance with the notarized card containing specimen signatures and seal of the Central Securities Depository's client, which was submitted to the Central Securities Depository, and sealed (if provided by the said card).

1. Persons authorized to administer user accounts may not be indicated as persons authorized to exchange operational documents [↑](#footnote-ref-1)
2. The field is to be filled only by the depositors that conduct both custody and broker activities [↑](#footnote-ref-2)
3. Indicate the name of an employee entitled by the client to confirm authorization of operational documents. [↑](#footnote-ref-3)
4. Indicate the name of a service the client applied for. [↑](#footnote-ref-4)