



On approval of the Rules for the submission by entities of financial monitoring of the data and information on transactions subject to financial monitoring, and signs of determining a suspicious transaction

Unofficial translation

Decree of the Government of the Republic of Kazakhstan No. 1484 dated November 23, 2012 . Abolished by the Decree of the Government of the Republic of Kazakhstan dated 07.10.2020 No. 643 (effective from 15.11.2020).

Unofficial translation

Footnote. Abolished by the Decree of the Government of the Republic of Kazakhstan dated 07.10.2020 No. 643 (effective from 15.11.2020).

Footnote. The title of the decree as amended by Decree of the Government of the Republic of Kazakhstan No. 1435 dated 12.31.2014 (shall be enforced from 01.07.2015).

In accordance with paragraph 3 of Article 4 and paragraph 2 of Article 10 of the Law of the Republic of Kazakhstan dated August 28 , 2009 " On Counteraction of Legitimization (Laundering) of Incomes Received by Illegal Means, and Financing of Terrorism ", the Government of the Republic of Kazakhstan **HEREBY DECREES AS FOLLOWS:**

Footnote. The preamble as amended by Decree of the Government of the Republic of Kazakhstan No. 1435 dated 12.31.2014.

1. That the following attached documents shall be approved:

- 1) Rules for the submission by entities of financial monitoring of the data and information on transactions subject to financial monitoring;
- 2) the signs of determining a suspicious transaction.

Footnote. Paragraph 1 as amended by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014 (shall be enforced from July 1, 2015).

2. This Decree shall become effective upon expiry of ten calendar days after the first official publication.

Prime-Minister of the Republic of Kazakhstan

S. Akhmetov

Approved
by Decree of the Government of the
Republic of Kazakhstan
No. 1484 dated November 23, 2012

**Rules for the
submission by entities of financial monitoring of the data and information on
transactions subject to financial monitoring**

1. These Rules for the submission by entities of financial monitoring of the data and information on transactions subject to financial monitoring (hereinafter referred to as the Rules) are developed in accordance with paragraph 2 of Article 10 of the Law of the Republics and Kazakhstan of August 28, 2009 "On Counteraction of Legitimization (Laundering) of Incomes Received by Illegal Means, and Financing of Terrorism" (hereinafter referred to as the Law) and establish a unified procedure for submitting by entities of the financial monitoring of the data and information on transactions, subject to financial monitoring to the authorized body for financial monitoring (hereinafter referred to as the authorized body).

Footnote. Paragraph 1 as amended by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.

2. For transactions subject to financial monitoring, entities of financial monitoring shall document and submit to the authorized body the data and information on the operation subject to financial monitoring in the form in accordance with Appendix 1 to these Rules (hereinafter referred to as information).

3. The information provided by the entities of financial monitoring referred to in subparagraphs 1) - 6), 8) - 16) of paragraph 1 of Article 3 of the Law shall be sent to the authorized body electronically, via telecommunication networks of Kazakhstan Center of Interbank Settlements of the National Bank of the Republic of Kazakhstan Republican State Enterprise on the Right of Economic Management or the web portal of the authorized body in XML format.

The information submitted by the entity of financial monitoring specified in subparagraph 7) of paragraph 1 of Article 3 of the Law shall be sent to the authorized body electronically via telecommunications networks of Kazakhstan Center of Interbank Settlements of the National Bank of the Republic of Kazakhstan Republican State Enterprise on the Right of Economic Management, the web portal of the authorized body in XML format or on paper.

If the entity of financial monitoring submits information in a manner not provided for in parts one and two of this paragraph, the authorized body shall return this information without consideration. In case of violation of the time periods specified in paragraph 2 of article 10 and paragraph 2 of article 13 of the Law, due to technical errors in the software confirmed by the authorized body, these data and information on transactions, subject to financial monitoring shall be considered to be sent within the established period if such information is sent no later than one business day after the elimination of technical errors.

The format of XML information submitted electronically shall be approved by the authorized body.

Footnote. Paragraph 3 is in the wording of Decree of the Government of the Republic of Kazakhstan No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

4. The information presented on paper shall be sent by the entities of financial monitoring to the authorized body by post with a notification of delivery or by personal delivery, subject to measures that exclude uncontrolled access to documents during delivery. At the same time, documents shall be packed in envelopes in a way that excludes the possibility of damage or extraction of information from them without violating the integrity of the package.

5. Information submitted electronically shall be certified by the electronic digital signature of the entity of financial monitoring.

The information presented on paper shall be signed by the entity of financial monitoring or the responsible official (the person replacing him/her, appointed by the first head of the entity of financial monitoring) and certified by the seal of the entity of financial monitoring.

6. The authorized body shall not accept information for processing in case of submission by entities of financial monitoring of the information:

different from the form of information and data on the operation, subject to financial monitoring;

drawn up without taking into account the requirements set forth in paragraph 5 of these Rules.

7. In the event the entities of financial monitoring submit information electronically, the authorized body within 4 hours from the date of receipt shall send a notice of acceptance (non-acceptance) of information (hereinafter - the notification) in the form established by Appendix 2 to these Rules through the use of electronic communication channels.

In the event that financial monitoring entities provide information on paper, the authorized body shall send the notice by post within 3 business days from the moment of receipt.

8. In the event of receipt of a notice of non-acceptance of information, the entity of financial monitoring within twenty-four hours (excluding weekends and holidays) shall take measures to eliminate the reasons for the refusal to accept the information specified in the notification and shall send the corrected information to the authorized body.

Footnote. Paragraph 8 is in the wording of Decree of the Government of the Republic of Kazakhstan No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

9. If it is necessary to make amendments and (or) additions to the information previously submitted and accepted by the authorized body, not later than one business day from the date of reveal of the information to be replaced, the entity of financial monitoring shall send information to the authorized body instead of the previously submitted one.

A notice of acceptance (non-acceptance) of new information by the authorized body shall be sent to the entities of financial monitoring in accordance with the procedure specified in paragraph 7 of these Rules.

Footnote. Paragraph 9 as amended by Decree of the Government of the Republic of Kazakhstan No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

10. When filling out information, reference information shall be used in accordance with appendices 3, 4, 5 and 6 to these Rules.

11. In order to obtain the necessary information, the authorized body shall send a request to the entity of financial monitoring for the provision of necessary information, data and documents as part of the analysis of materials registered in the republican database in the field of combating the legalization (laundering) of criminally obtained incomes and the financing of terrorism, in the form in accordance with Appendix 7 to these Rules, on paper or electronically.

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

The requested information, data and documents shall be sent by the entities of financial monitoring to the authorized body within the time period established by paragraph 3-1 of Article 10 of the Law, according to the form in accordance with Appendix 8 to these Rules in accordance with the procedure specified in paragraphs 3-5 of these Rules.

In cases where additional time is required to process a request sent on the basis of the third paragraph of paragraph 3-1 of Article 10 of the Law, the entity of financial monitoring shall send an appeal to the electronic address of the authorized body posted on the official website of the authorized body to extend the request for no more than ten business days in the form pursuant to Appendix 10 to these Rules.

Footnote. The Rules have been supplemented by paragraph 11 in accordance with the Decree of the Government of the Republic of Kazakhstan No. 1435 dated 12/31/2014; as amended by Decree of the Government of the Republic of Kazakhstan No. 96 dated 02/22/2016 (shall be enforced from the date of its first official publication).

Appendix 1
to the Rules for Submission by Entities Subject to
Financial
Monitoring of Information and Data on
Transactions
Subject to Financial Monitoring

Footnote. Appendix 1 as amended by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014 (shall be enforced from July 1, 2015); No. 96 dated 02/22/2016 (shall be enforced from the date of its first official publication); No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Document form The form of information and data about the operation subject to financial monitoring (hereinafter - FM-1 form)

Detail number	Name	Content

1	2	3
1	Information about FM-1 form	
1.1	FM-1 form number*	<p>1. N u m b e r :</p> <p>2. Connection with another FM-1 form (if available) :</p> <p>2.1. The number of the associated FM-1 form:</p> <p>2.2. Date of associated FM-1 form:</p>
1.2	FM-1 form date *	
1.3	Type of document (required emphasize)*	<p>1. New message</p> <p>2. Correction of unaccepted messages (with an indication of the number of the corrected message)</p> <p>3. Message replacement request (with indicating the message number)</p>
1.4	Operation status (underline as necessary)	<p>1. Made (operation completion time)</p> <p>2. Not completed – transaction rejection</p> <p>3. Not completed - for making decision</p>
1.5	Basic for the submission of the notification (underline as necessary) *	<p>1. Equals or exceeds the threshold amount</p> <p>2. Suspicious transaction</p> <p>3. Excluded by Decree of the Government of the Republic of Kazakhstan No. 96 dated 02.22.2016 (shall be enforced from the date of its first official publication).</p> <p>4. Coincidence with the list of organizations and persons associated with the financing of terrorism and extremism:</p> <p>4.1. Suspension of bank account expenditures</p> <p>4.2. Suspension of execution of instructions on payments and transfers without using a bank account</p> <p>4.3. Blocking Securities</p> <p>4.4. Refusal to conduct other transactions</p> <p>4.5. Excluded by Decree of the Government of the Republic of Kazakhstan No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication) .</p> <p>5. Is excluded by Decree of the Government of the Republic of Kazakhstan No. 96 dated 02/22/2016 (shall be enforced from the date of its first official publication).</p> <p>6. Is excluded by Decree of the Government of the Republic of Kazakhstan No. 96 dated 02/22/2016 (shall be enforced from the date of its first official publication).</p> <p>7. Is excluded by Decree of the Government of the Republic of Kazakhstan No. 96 dated 02/22/2016 (shall be enforced from the date of its first official publication).</p> <p>8. Transactions for compulsory study, recognized as suspicious by the entities of financial monitoring, with fixing the results of such a s t u d y .</p> <p>9. Transactions having characteristics corresponding to typologies, schemes and methods of financing terrorism.</p> <p>10. Transactions having characteristics corresponding to typologies , schemes and methods of legalization (laundering) of criminal p r o c e e d s .</p>
2	Information on the entity of financial monitoring that sent FM-1 form	

2.1	Code of the entity of financial monitoring*	
2.2	The entity of financial monitoring *	1.1. Form of incorporation: 1.2. Name: 1.2.1. Surname: 1.2.2. Name: 1.2.3. Patronymic (if any):
2.3	is excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated 12/31/2014 (shall be enforced from 01.07.2015).	
2.4	IIN / BIN *	
2.5	Location address	1. Region (including cities of republican significance and the capital) : 2. District : 3. Settlement (city / town / village), with the exception of cities of republican significance and the capital: 4. Name of the street / avenue / microdistrict: 5. House number : 6. Apartment / office number (if available): 7. Postal code:
2.6	ID document identity (for individuals) *	
2.6.1	Document number and series, identity card (for individuals) *	1. Number : 2. Series (if available):
2.6.2	Who issued the document identity card (for individuals) *	
2.6.3	When a document is issued, identity card (for individuals) *	
2.7	Responsible employee	1. Last name : 2. First name : 3. Patronymic (if any):
2.7.1	Responsible employee position	
2.8	Contact phone numbers*	
2.9	Email	
3	Information on transaction subject to financial monitoring	
3.1	Transaction Number *	
3.2	Transaction Type Code *	1. Code : 2. Property Information, subject to state registration : 2.1. Type of property: 2.2. Property registration number:
3.3	Payment Details *	1. Payment Details Code: 2. Impossible to specify
3.4	Number of parties to the transaction*	
3.5	Transaction currency code *	

3.6	The amount of the transaction in the currency it was made*	
3.7	Amount of transaction in tenge *	
3.8	The basis for the transaction *	
3.9	Date and number of document, at the basis of which transaction is made	1 . Date : 2. Document number:
3.10	Suspicious sign code transaction	
3.11	1st additional code sign of suspicion transaction (if any)	
3.12	2nd additional code sign of suspicion transaction (if any)	
3.13	Description of the difficulties encountered in qualifying the transaction as suspicious	
3.14	Additional information on transactions	
4	Information on the parties to the transaction subject to financial monitoring	
4.1	Participant (underline as necessary) *	1. Payer on the transaction 2. Recipient on the transaction 3. Payer representative 4. Recipient representative 5. Person on behalf and upon authorization 6. Beneficiary
4.2	Customer of the entity subject to financial monitoring (underline as necessary) *	1 . N o 2. Yes
4.3	Type of a participant *	
4.4	Residency	
4.5	Type of a party to the transaction (underline as necessary) *	1 . Legal entity 2 . Individual 3. Self-employed entrepreneur
4.6	Foreign public official (underline as necessary)	1 . N o 2 . Y e s 3. Affiliated with a foreign public official
4.7	Party to the transaction's Bank *	1.1. Location of the branch: 1.2. Name of the bank: 1.2.1. Name of specialist subsidiary: 1.3. Bank / branch code: 1.4. Member Account Number: 1.5. Information about correspondent accounts involved in the transaction : 1.5.1. Bank Location : 1.5.2. Name of the bank:

4.8	Name of the party to the transaction (for legal entities) *	1. Participant: 1.1. Form of incorporation: 1.2. Name: 2. Impossible to specify
4.9	Founders of the participant (for legal entities)	1.1. Form of incorporation: 2.1. Name: 1.2.1. Surname: 1.2.2. Name: 1.2.3. Patronymic (if available): 2. Residency:
4.10	The first head (for the legal entities)	1. Surname: 2. Name: 3. Patronymic (if any):
4.11	is excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated 12.31.2014 (shall be enforced from 01.07.2015).	
4.12	CCEA	
4.13	IIN / BIN	
4.14	FULL NAME. (for individuals and self-employed entrepreneurs)	1.1. Surname: 1.2. Name: 1.3. Patronymic (if available): 2.1. Impossible to specify
4.15	Personal identity document	
4.16	Document number and series, identity card	1. Number: 2. Series (if available):
4.17	Issued by:	
4.18	When a document is issued	
4.19	Date of birth (for individuals and individuals entrepreneurs)	
4.20	Place of birth (for individuals and self-employed entrepreneurs)	
4.21	Legal address (for legal entities - legal address, for individuals - address of the place of registration)	1. Region (including cities of republican significance and the capital): 2. District: 3. Settlement (city / town / village, with the exception of cities of republican significance and the capital): 4. Name of street / avenue / microdistrict: 5. House number: 6. Apartment / office number (if available): 7. Postal code:
4.22	Contact telephone number	
4.23	Email	
4.24	Actual address (for legal entities - the address of the location, for	1. Region (including cities of republican significance and the capital): 2. District: 3. Settlement (city / town / village, with the exception of cities of republican significance and the capital): 4. Name of street / avenue / microdistrict:

	individuals - the address of the place of residence)	5 . N u m b e r h o u s e s : 6. Apartment / office number (if available): 7. Postal code:
4.25	Additional information on party to the transaction	

– detail is required

Explanations for filling out the FM-1 form

FM-1 form shall be filled out in Kazakh or Russian.

When drawing up on paper, the FM-1 form shall be filled with a ballpoint pen, black or blue ink, uppercase digits or using a printing device.

When using a printing device, the FM-1 form shall be filled with the font "Times New Roman" with a size of at least number 10.

FM-1 form, which has erasures, blots, and corrections shall not be accepted for processing

1. "Information about the FM-1 form"

The detail 1.1 “Form number FM-1” shall indicate the serial number of the message about the transaction subject to financial monitoring, information about which shall be submitted to the authorized body. The sequence number of the transaction subject to financial monitoring shall be formed with the structural unit of the entity of financial monitoring, carrying out the internal control procedure, in ascending order, starting from number "1" in a numerical format , within one calendar year of submission of messages:

"1. Number" - the number of the FM-1 form shall be indicated .

"2. Connexity with another FM-1 form (if available)" - information shall be indicated in addition to the field "1. Number":

"2.1. Number of the associated FM-1 form" and "2.2. Date of the associated FM-1 form" - the number and date of the FM-1 form associated with the other transaction subject to financial monitoring shall be specified. The date shall be indicated in digital format day (two digits) / month (two digits) / year (four digits).

The detail 1.2 "Date of FM-1 form" the date of transmission (sending) of a message about a transaction with money and (or) other property shall be specified. The date of the message shall be indicated in digital format day (two digits) / month (two digits) / year (four digits).

Details 1.1 and 1.2 shall be unique for each message submitted by the entity of financial monitoring to the authorized body, and shall be used to identify the message by the entity of financial monitoring in cases of detection of errors and sending requests of the authorized body for information. The number and date of message shall be determined upon the initial submission of the transaction message to the authorized body.

In detail 1.3 “Document Type”, the following values shall be available:

"1. New message" – shall be indicated in the case of sending each new message to the authorized body.

"2. Correction of the message not received" – shall be indicated in case of receipt from the authorized body of the notice of non-acceptance of the FM-1 form, the entity of financial monitoring shall take measures to eliminate the reasons for the rejection of the message indicated in the notification, the comments indicated in the notification shall be corrected, and within 1 business day from the day of receipt of the notice, the form shall be sent again in amended form. In this case, the primary pair of values of the details of the number and date of the message shall be indicated.

"3. Request for replacing the message" – shall be indicated in case of an initiative of the entity of financial monitoring to make changes or additions to the FM-1 form previously submitted and accepted by the authorized body, for example, the transaction amount, currency code, the basis for the transaction, addresses of the parties to the transaction are incorrectly indicated in the message or other. In this case, the entity of financial monitoring shall send to the authorized body a replacement message with all the details filled in, which shall have the same number and date of the message as the original message, and details 3.14 shall indicate the changes and additions made.

The detail 1.4 "Operation Status" shall have the following values:

"1. Done" – shall be indicated if the state of the operation is completed;

"2. Not completed - refusal to conduct" - shall be indicated if the entity of financial monitoring has decided to refuse to conduct the operation. At the same time, details under number 4.25 shall indicate the reason for the refusal to make a transaction. ";

"3. Not completed - for making a decision" - shall be indicated if the entity of financial monitoring sends a message on the recognition of the transaction as suspicious to the authorized body before it is carried out.

The time shall be indicated in digital format: hours (two digits) / minutes (two digits), day (two digits) / month (two digits) / year (four digits).

In detail 1.5 "Ground for the submission of a message" there shall be the following values :

"1. Equal to or exceeds the threshold amount" – shall be indicated if the transaction amount is equal to or exceeds the threshold value in accordance with paragraph 1 of Article 4 of the Law of the Republic of Kazakhstan dated August 28, 2009 " On Counteraction of Legitimization (Laundering) of Incomes Received by Illegal Means, and Financing of Terrorism. "

"2. Suspicious transaction" - shall be indicated in cases where the customer's transactions are recognized as suspicious in accordance with the signs of determining a suspicious transaction.

In cases where indication codes for identifying suspicious transactions No. 8002 - 8011 are indicated, the following details shall be mandatory in sections 3 and 4 of FM-1: 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. At the same time, the value "2. Yes" specified in detail 4.2 is mandatory to fill in the details: 4.7 (field 1.4), 4.13; for individuals: 4.15, 4.16 (field 1), 4.17, 4.18.

"4. Coincidence with the list of organizations and persons associated with the financing of terrorism and extremism" – shall be indicated if the person or organization participating in the operation is a member of the list of organizations and persons associated with the financing of terrorism and extremism, where:

"4.1. Suspension of expenditure transactions" - shall be indicated in the event of suspension of expenditure transactions on the bank accounts of such an organization or individual, as well as on the bank accounts of the client whose beneficial owner is such an individual. When choosing this paragraph, the following details shall be 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 the execution of instructions on payments and transfers without using a bank account" – shall be indicated in case of suspension of the execution of instructions on payment or transfer of money without using the bank account of such an individual, as well as instructions from a client whose beneficial owner is such an individual. When choosing this paragraph, the following details shall be required to be filled in sections 3 and 4 of 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 entities: 4.8, for individuals: 4.14, 4.15, 4.16 (field 1), 4.17, 4.18.

"4.3. Blocking of securities" - shall be indicated if the organization or individual is included in the list of organizations and persons associated with the financing of terrorism and extremism. At the same time, securities (transactions) shall be blocked in the system of registers of securities holders and the system for recording nominal holdings in the personal accounts of such an organization or individual, as well as in the personal accounts of a client whose beneficial owner is such an individual. When choosing this paragraph, the following details shall be 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 make other transactions" - shall be indicated in case of refusal to make other transactions with money and (or) other property made by such an organization or individual, or in their favor, as well as by the client whose beneficial owner is such an individual , or in his favor. If this paragraph is indicated, the following details shall be mandatory in sections 3 and 4 of 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. "

"8. Transactions for compulsory investigation, recognized as suspicious by the entities of financial monitoring, with fixing the results of such studies" - shall be indicated if the client's transactions are considered suspicious according to the results of the study in accordance with paragraph 4 of Article 4 of the Law.

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

"10. Transactions having characteristics corresponding to typologies, schemes and methods of legalization (laundering) of criminal proceeds" - shall be indicated if the client's transactions have characteristics corresponding to typologies, schemes and methods of legalizing (laundering) proceeds of crime.

2. "Information on the entity of financial monitoring that sent the FM-1 form"

Detail 2.1 "Code of the entity of financial monitoring" shall indicate the code of the entity of financial monitoring, representing FM-1 form to an authorized body, in accordance with the directory of codes of types of entities of financial monitoring.

Detail 2.2 "Entity of financial monitoring" shall indicate:

"1.1. The form of incorporation:" – shall indicate, for example, JSC (joint-stock company), LLP (limited liability partnership), SE (self-employed entrepreneur) or other organizational legal form of the entity of financial monitoring. If the entity of financial monitoring is an individual, then this field shall not be filled.

"1.2. Name:" – shall indicate the name or full name (surname, name, patronymic (if any)) of the entity of financial monitoring without quotes.

Detail 2.4 "IIN / BIN" shall indicate the individual identification number or business identification number of the entity of financial monitoring sending the FM-1 form.

Detail 2.5 "Location address" shall indicate the legal address of the entity of financial monitoring in the format: oblast (including cities of republican significance and the capital), district, settlement (city / town / village), with the exception of cities of republican significance and the capital, name of the street/avenue/microdistrict, house number, apartment /office number (if available), postal code.

Detail 2.6. "Identity document" shall indicate the digital code of the type of document proving identity in accordance with the directory of codes of the types of documents proving identity. The detail shall be filled out only for individuals.

Detail 2.6.1 "Number and series of an identity document" shall indicate the number and series (if any) of an identity document. The detail shall be filled out only for individuals.

Detail 2.6.2 "Who issued the identity document" shall indicate the name of the authority that issued the identity document. The detail shall be filled out only for individuals.

Detail 2.6.3 "When an identity document is issued" shall indicate the date of issue of the identity document in the format day (two digits) / month (two digits) / year (four digits). The detail shall be filled out only for individuals.

Detail 2.7 "Responsible employee" shall indicate the data of the contact person responsible for compliance with the internal control rules:

"A. Surname:" - last name,

"b. Name:" - name,

"c. Patronymic:" - patronymic (if any).

Detail 2.7.1 "Position of the responsible employee" shall indicate the position held by the person responsible for compliance with the internal control rules.

Detail 2.8 "Contact Phones" shall indicate the telephone numbers of the person responsible for complying with the internal control rules, separated by a comma in the format city code / telephone number / internal telephone number (if any).

Detail 2.9 "Email" shall indicate the email address of the person responsible for complying with the internal control rules.

3. "Information on transactions subject to financial monitoring"

Detail 3.1 "Transaction number" shall indicate the transaction number that is registered in the internal register of the entity of financial monitoring sending the FM-1 form.

In detail 3.2 "Transaction type code", the digital code of the transaction type shall be indicated in accordance with the directory of transaction type codes subject to financial monitoring.

Codes 05 30, 0540 shall be indicated in case of cash withdrawal from the client or receipt of money from the client, with the exception of transactions provided for by codes 0511, 0521, 0911, 1311, 1321, 1411, 1421, 1431.

In cases where codes 0623, 0633 are indicated and the operation is carried out to / from the offshore zone, paragraph 4 "Country of location of the bank / branch" of detail 4.7 "Bank of the party to the transaction" shall be filled in accordance with Order of the Minister of Finance of the Republic of Kazakhstan No. 52 dated February 10, 2010" On approval of the List of offshore zones for the purposes of the Law of the Republic of Kazakhstan " On Counteraction of Legitimization (Laundering) of Incomes Received by Illegal Means, and Financing of Terrorism."

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

If the code 1811 or 1821 is indicated, information about the property subject to state registration shall be indicated in the fields "2.1. Type of property", for example, apartment, land, car or other, and "2.2. Registration number of property".

Detail 3.3 "Payment destination code" shall indicate the payment destination code of the transaction subject to financial monitoring, in accordance with Resolution of the National Bank of the Republic of Kazakhstan No. 203 dated August 31, 2016 "On Approval of the Rules for the Application of Codes of Economic Sectors and the Purpose of Payments" (

registered in the register of state registration of regulatory legal acts under No. 14365). The detail shall be required to fill in if such codes of the type of the entity of financial monitoring as 011, 012 or 101 are specified in detail 2.1 “Impossible to specify” – shall be indicated if the payment destination code cannot be specified.

Detail 3.4 “Number of parties to the transaction” shall indicate the number of participants in the transaction, not including the entity of financial monitoring. Depending on the number of participants indicated in this attribute, the same number of sections 4 for each participant shall be filled out.

Detail 3.5 “Transaction currency code” shall indicate the currency code of the transaction in accordance with Appendix 23 “Currency Classifier”, approved by decision of the Customs Union Commission No. 378 dated September 20, 2010 “On Classifiers Used to Complete Customs Declarations”.

Detail 3.6 “Transaction amount in the currency it was made” shall indicate the amount of the transaction in the currency it was made. When filled in on paper, the amount shall be indicated in words in brackets.

Detail 3.7 "Transaction amount in tenge" shall indicate the amount of the transaction in tenge equivalent at the market currency exchange rate on the date of transaction. When specifying in detail 3.5 the currency code "Tenge (Kazakh)", the transaction amount specified in the detail 3.6 shall be duplicated. When filling out on paper, the amount shall be indicated in words in brackets.

Detail 3.8 “Grounds for the transaction” shall indicate 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 participants and transactions with money and (or) other property.

Detail 3.9 "Date and number of the document on the basis of which the operation is carried out" shall indicate the date and number of the document on the basis of which the operation is carried out. The date of the message shall be indicated in the format day (two digits) / month (two digits) / year (four digits).

Detail 3.10 “Code of a sign of suspiciousness of a transaction”, a digital code of the main sign of suspiciousness of a financial transaction shall be indicated in accordance with the signs of determining a suspicious transaction approved by this resolution. The detail shall be required if paragraph 2 is indicated in detail 1.5.

Detail 3.11 “1st additional sign of a transaction suspiciousness sign” shall indicate the code of the first additional sign of suspiciousness of a financial transaction in accordance with the signs of determining a suspicious transaction approved by this resolution. The detail shall be filled in if an additional sign of suspiciousness of a financial transaction is revealed as a result of the implementation of internal control measures.

Detail 3.12, “2nd Additional Suspicious Transaction Suspension Code”, shall indicate the code of the second additional suspicious transaction financial sign in accordance with the

signs of determining a suspicious transaction approved by this resolution. The detail shall be filled in if an additional sign of suspiciousness of a financial transaction is revealed as a result of the implementation of internal control measures.

Detail 3.13 “Description of the difficulties encountered in qualifying the operation as suspicious” shall indicate only a description of the difficulties in qualifying the suspicious operation.

Detail 3.14 “Additional information on the operation” shall indicate only additional information on the operation, in respect of which, when implementing internal control measures, it is suspected of its implementation with the aim of legalizing (laundering) the proceeds of crime or financing of terrorism, with the exception of information to be completed in the details of section 3.

If a replacement message is submitted, this detail shall indicate the information of the adjusted details, for example, the transaction amount, the purpose of the payment, or other changes.

4. "Information on the parties to the transaction subject to financial monitoring"

Footnote. Section 4 as amended by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.

In detail 4.1 "Party" shall indicate the corresponding value of the party to the transaction, subject to financial monitoring.

Detail 4.2 “Client of the entity of financial monitoring” shall have the following values:

“1. No” – shall be indicated in case if the participant in the transaction is not a client of the entity of financial monitoring sending the FM-1 form;

“2. Yes” – shall be indicated if the party to the transaction is a client of the entity of financial monitoring sending the FM-1 form.

In detail 4.3 “Type of participant”, the code of the type of the party to the transaction shall be indicated in accordance with the directory of codes of types of participants and transactions with money and (or) other property.

Detail 4.4 “Residency” shall indicate the residency of the party to the transaction in accordance with Appendix 22 “Classifier of countries of the world”, approved by decision of the Customs Union Commission No. 378 dated September 20, 2010 “On Classifiers Used to Fill Out Customs Declarations”.

The detail shall be required if paragraph 2 is indicated in detail 4.2.

In detail 4.5 “Type of the party to the transaction”, the corresponding value of the type of the party to the transaction subject to financial monitoring shall be indicated.

In detail 4.6 “Foreign public official”, the corresponding value shall be indicated in case of filling out points 2 or 3 in detail 4.5 and the following values shall be available:

"1. No";

"2. Yes" – shall indicate a detailed description additionally in detail 4.25;

"3. A person affiliated with a foreign public official" - a detailed description shall be indicated additionally in detail 4.25.

The detail shall be required if paragraph 2 is indicated in detail 4.2.

Detail 4.7 “Bank of the party to the transaction” shall contain the following information about the bank of the transaction:

"1.1. Location of the branch" - in the case of the location of the bank outside the Republic of Kazakhstan, the country shall be indicated in accordance with the directory specified in detail 4.4. If branch is located on the territory of the Republic of Kazakhstan, the locality where the transaction is initiated/completed shall be indicated.

"1.2. Name of the bank" - the full name of the bank shall be indicated;

"1.2.1. Name of the MTS" - the name of the money transfer system (hereinafter referred to as the MTS) shall be indicated in the case of a transaction through the MTS and the control number of the transfer (MTCN or another) shall be indicated in the field "1.4. Account number of the party to the transaction”.

"1.3. Bank/branch code" – shall indicate, for example, BIC for residents and SWIFT BIC (or non - SWIFT BIC) for non-residents or otherwise. In the case of a transaction in a bank branch, the code of the branch assigned by the National Bank of the Republic of Kazakhstan shall be indicated in accordance with resolution of the National Bank of the Republic of Kazakhstan No. 236 dated August 24, 2012;

"1.4. Account number of the party to the transaction" – shall indicate the account number of the participant, for example, IBAN or another;

"1.5. Information on correspondent accounts involved in the operation" shall have the following meanings:

"1.5.1. Bank location" - the country of location of the correspondent bank shall be indicated in accordance with the directory indicated in detail 4.4;

"1.5.2. Name of the bank" - the full name of the correspondent bank shall be indicated.

If there is no account number in field "1.4. Account number of the party to the transaction " shall be indicated "without account number".

The detail shall be required, in case of indication of the codes of the types of the entity of financial monitoring 011, 012 or 101 in detail 2.1.

In detail 4.8 “Name of the participant of the operation (for legal entities)” shall be indicated in the case when paragraph 1 is specified in detail 4.5 and the following values shall be available:

"1. Party/participant":

field "1.1. Form of incorporation" – shall indicate JSC (joint-stock company), LLP (limited liability partnership) or other form of incorporation of the party to the transaction;

field "1.2. Name:" – shall indicate the name of the party to the transaction in accordance with the constituent documents without quotes.

"2. Impossible to specify" – shall indicate if the name of the party to the transaction cannot be established.

The detail shall be required if paragraph 1 is indicated in detail 4.5.

In detail 4.9 “Founders of a participant (for legal entities)”, if paragraph 1 is indicated in detail 4.5, data shall be specified for all founders of a party to the transaction with a participation interest of at least 10 percent:

"1.1. Form of incorporation:" – shall indicate JSC (joint-stock company), LLP (limited liability partnership) or other form of incorporation of the founder of the party to the transaction. If the founder of the participant is an individual, then this field shall not be filled;

"2.1. Name:" - the name of the founder of the party to the transaction shall be indicated in accordance with the constituent documents without quotes if the founder of the party to the transaction is a legal entity. If the founder of the party to the transaction is an individual or a self-employed entrepreneur, then the following shall be completed:

"1.2.1. Last name:" - last name,

"1.2.2. Name:" - name,

"1.2.3. Patronymic:" – patronymic (if any);

"3. Residency:" - the country of the founder of the party to the transaction shall be indicated in accordance with the directory specified in detail 4.4.

The detail shall be required to fill in if point 2 in detail 1.5 and point 2 in detail 4.2 are indicated at the same time.

In detail 4.10 "The first head (for legal entities)" the data of the first head of the party to the transaction shall be indicated if paragraph 1 is filled in detail 4.5:

"1. Last name:" - last name,

"2. Name:" - name,

"3. Patronymic:" - patronymic (if any).

The detail shall be required if paragraph 2 is indicated in detail 4.2.

In detail 4.12 "CCEA" the CCEA code of the party to the transaction shall be indicated in accordance with Order of the chairman of the Agency of the Republic of Kazakhstan on Statistics No. 67 dated May 20, 2008 "Nomenclature of Types of Economic Activity (5-digit CCEA)" if paragraph 1 is filled in detail 4.5. The detail shall be required if paragraph 2 is indicated in detail 4.2.

Detail 4.13 "IIN / BIN" shall indicate the individual identification number or business identification number of the party to the transaction or the number under which the non-resident legal entity is registered in a foreign state. The detail shall be required to fill in if point 2 in detail 4.2 is indicated (unless an individual identification number is not assigned to an individual in accordance with the legislation of the Republic of Kazakhstan). When choosing detail 4.15 “Passport of a citizen of a foreign state” as an identification document, filling in the detail 4.13 shall not be required.

In detail 4.14 "Full name" the data of the individual or self-employed entrepreneur of the trader shall be indicated and the following values shall be available:

"1.1. Surname:" - surname,

"1.2. Name:" - name,

"1.3. Patronymic:" - patronymic (if any).

"2.1. Impossible to establish" – shall be indicated if the identity of the party to the transaction cannot be established.

In detail 4.15 "Identity document of the party to the transaction" the digital code of the type of the document of identification shall be indicated in accordance with the reference code of the types of documents in case of filling in paragraphs 2 or 3 in detail 4.5. The detail shall be required if paragraph 2 is indicated in detail 4.2.

In detail 4.16 "Number and series of an identity document" shall indicate the series and number of an identity document of the party to the transaction, if paragraphs 2 or 3 in detail 4.5 are filled in. The detail shall be required if paragraph 2 is indicated in detail 4.2.

In detail 4.17 "Who issued the identity document", the name of the authority issuing the identity document for the party to the transaction shall be indicated if paragraphs 2 or 3 in detail 4.5 are filled out. The detail shall be required if paragraph 2 is indicated in detail 4.2.

In detail 4.18 "When an identity document is issued" the date of issue of the identity document of the party to the transaction shall be indicated in the format day (two digits) / month (two digits) / year (four digits) if paragraphs 2 or 3 in detail 4.5 are completed. The detail shall be required if paragraph 2 is indicated in detail 4.2.

Detail 4.19 "Date of birth" shall indicate the date of birth of the party to the transaction in the format day (two digits) / month (two digits) / year (four digits) if paragraphs 2 or 3 are filled in detail 4.5. The detail shall be required if paragraph 2 is specified in detail 4.2.

In detail 4.20 "Place of birth" the place of birth shall be indicated in accordance with the directory indicated in detail 4.4 of the party to the transaction, if paragraphs 2 or 3 in detail 4.5 are filled in. The detail shall be required if paragraph 2 is indicated in detail 4.2.

Detail 4.21 "Legal address" shall indicate the legal address for legal entities or the address of the place of registration of the party to the transaction for individuals in the format: oblast (including cities of republican significance and the capital), district, settlement (city / town / village, except cities of republican significance and the capital), street / avenue / microdistrict name, house number, apartment / office number (if any).

In detail 4.22 "Phone number of the telephone" the telephone number of the operation participant shall be indicated in the format: city code / telephone number / internal telephone number (if available).

In detail 4.23 "E-mail" the e-mail address of the party to the transaction registered on the Internet shall be indicated .

In detail 4.24 "Actual address", the address of the location for legal entities or the address of the party to the transaction for individuals in the format: oblast (including cities of

republican significance and the capital), district, settlement (city / town / village, except cities republican significance and the capital), the name of the street / avenue /microdistrict, house number, apartment / office number (if any).

In detail 4.25 “Additional information on the party to the transaction ”, additional information shall be indicated to the party to the transaction with respect to whom suspicions of involvement in the legalization (laundering) of proceeds from crime and / or the financing of terrorism arise , with the exception of information to be filled in details of section 4.

Appendix 2
to the Rules for Submission by Entities
of Financial Monitoring of the Data and
Information on Transactions
Subject to Financial Monitoring
The form

Footnote. Appendix 2 as amended by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.

Notice of acceptance (non-acceptance) of the FM-1 form

(authorized body)

Hereby notifies

(name of the entity of financial monitoring)

on _____ FM-1 form No. ____ of _____.

(acceptance/non-acceptance)

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

In this regard, _____ shall:

(name of the entity of financial monitoring)

1. Eliminate the reasons for referral to _____

(authorized body)

information presented in a distorted or incomplete volume.

2. Within 1 business day from the date of receipt of this notice _____

(entity of financial monitoring)

shall correct the unaccepted by

(authorized body)

report on the transaction subject to financial monitoring, shall submit

it repeatedly in accordance with the provisions of the Rules for the Submission by Entities of Financial Monitoring of the Data and Information on Transactions Subject to Financial Monitoring..

(full name of the authorized person of the authorized body (signature)

(printed name)

)

Date and time of acceptance (non-acceptance) of the FM-1 form:

Appendix 3
to the Rules for Submission by Entities
of Financial Monitoring of the Data and
Information on Transactions
Subject to Financial Monitoring

Handbook of codes of types of entities of financial monitoring

Footnote. Appendix 3 as amended by Decrees of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014; No. 96 dated 02.22.2016 (shall be enforced from 01.01.2017); No. 455 dated 11.08.2016 (shall be enforced upon expiry of ten calendar days after the day of its first official publication); No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Code	Name
1	2
011	Banks
012	Organizations engaged in certain types of banking transactions
021	Exchanges
031	Insurance (reinsurance) companies
032	Insurance brokers
041	Accumulative pension funds
051	Professional securities market participants
052	Central Securities Depository
061	Notaries making notarial acts with money and (or) other property
071	Lawyers, in cases where they, for or on behalf of a client, participate in transactions with money and (or) other property in relation to the following activities:
	sale of real estate;
	management of money, securities or other property of the client;
	management of bank accounts or securities accounts;
	accumulation of funds for the creation, maintenance, operation or management of a company;
	creation, sale, operation of a legal entity or its management
072	Independent legal experts, in cases where they for or on behalf of a client, participate in transactions with money and (or) other property in relation to the following activities:
	sale of real estate;
	management of money, securities or other property of the client;
	management of bank accounts or securities accounts;
	accumulation of funds for the creation, maintenance, operation or management of a company;
	creation, sale, operation of a legal entity or its management

081	Audit organizations
082	Accounting organizations and professional accountants engaged in entrepreneurial activities in the field of accounting
091	Gambling Organizers
092	Lottery operator
101	Money transfer service providers
110	Microfinance Organizations
120	Excluded by Decree of the Government of the Republic of Kazakhstan No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).
130	Self-employed entrepreneurs and legal entities engaged in leasing activities as a lessor without a license
140	Pawnshops
150	Self-employed entrepreneurs and legal entities engaged in transactions with precious metals and precious stones, jewelry from them
160	Self-employed entrepreneurs and legal entities providing intermediary services in the implementation of real estate purchase and sale transactions
170	Excluded by Decree of the Government of the Republic of Kazakhstan No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).
171	1) Social Health Insurance Fund
172	Payment organizations

Appendix 4
to the Rules for Submission by Entities
of Financial Monitoring of the Data and
Information on Transactions
Subject to Financial Monitoring

Code directory of identity documents

Footnote. Appendix 4 as amended by Decree of the Government of the Republic of Kazakhstan No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Code	Name ID documents
1	2
01	Identity document
02	Passport of a citizen of the Republic of Kazakhstan
03	Passport of a citizen of a foreign state
04	Residence permit of a foreigner in the Republic of Kazakhstan
05	Stateless person certificate
06	Diplomatic passport of the Republic of Kazakhstan
07	Official passport of the Republic of Kazakhstan
08	Refugee certificate
09	Identity card of the seaman of the Republic of Kazakhstan
010	Birth certificate

Appendix 5
to the Rules for Submission by Entities
of Financial Monitoring of the Data and
Information on Transactions
Subject to Financial Monitoring

Handbook of codes of types of transactions subject to financial monitoring

Footnote. Appendix 5 as amended by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014; No. 96 dated 02.22.2016 (shall be enforced from the date of its first official publication); No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Code	Name
1	2
0111	Winning a bet
0112	Receiving electronic winnings based on betting results
0121	Gain on the results of gambling in gambling establishments
0122	Obtaining electronic winnings based on the results of gambling in gambling establishments
0131	Getting a prize according to the results of the lottery
0132	Winning in electronic form according to the results of the lottery
0211	Customer purchases cash foreign currency through exchange offices
0221	Sale by a client of cash foreign currency through exchange offices
0231	Excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.
0311	Receiving money by check
0321	Getting money on a bill
0511	Withdrawing money from a client's bank account
0521	Crediting money to a client's bank account
0530	Cash withdrawal to customer
0540	Receiving cash from a client
0611	Excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.
0612	Excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.
0613	Excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.
0614	Excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.
0621	Excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.

0622	Excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.
0623	Crediting or transferring money to a client's bank account, carried out by an individual or legal entity, respectively having a registration, place of residence or location in an offshore zone, as well as owning a bank account registered in an offshore zone
0631	Excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.
0632	Excluded by Decree of the Government of the Republic of Kazakhstan No. 1435 dated December 31, 2014.
0633	Crediting or transferring money by a client in favor of individuals or legal entities having a registration, place of residence or location in an offshore zone, as well as owning an account with a bank registered in the offshore zone
0640	Client transactions with money and (or) other property to individuals or entities that have registered, place of residence or location in the offshore zone, as well as possessing a bank account registered in the offshore zone
0711	Money transfers abroad to accounts (deposits) opened with an anonymous owner
0721	Receipt of money from abroad from an account (deposit) opened by an anonymous owner
0911	Payments and money transfers made by a client in favor of another person at no cost
1011	Acquisition of cultural property
1012	Selling cultural property
1021	Import into the Republic of Kazakhstan of cultural property
1022	Export of cultural property from the Republic of Kazakhstan
1111	Transactions performed by legal entities, from the moment of state registration of which less than three months have passed
1211	Import into the Republic of Kazakhstan of cash currency, with the exception of import carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1212	Import to the Republic of Kazakhstan of documentary bearer securities, with the exception of import carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1213	Import of bills of exchange into the Republic of Kazakhstan, with the exception of importation carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1214	Import of checks into the Republic of Kazakhstan, with the exception of import made by the National Bank of the Republic of Kazakhstan, banks and the National Post Operator
1221	Export of cash from the Republic of Kazakhstan, with the exception of export carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1222	Export from the Republic of Kazakhstan of documentary bearer securities , with the exception of import carried out by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1223	Export of bills of exchange from the Republic of Kazakhstan, with the exception of import carried out by the National Bank of the Republic of Kazakhstan , banks and the national postal operator
1224	Export of checks from the Republic of Kazakhstan, with the exception of imports by the National Bank of the Republic of Kazakhstan, banks and the national postal operator
1311	Insurance payment
1321	Getting insurance premium
1411	Making voluntary pension contributions to funded pension funds
1421	Transfer of voluntary pension contributions to accumulative pension funds
1431	Pension payments from accumulative pension funds through voluntary pension contributions
1511	Obtaining property under a financial leasing agreement

1521	Provision of property under a financial leasing agreement
1611	Contract services
1621	Transactions for the provision of transportation services
1631	Freight Forwarding Service Transactions
1641	Storage service transactions
1651	Commission service transactions
1661	Asset Trust Services Transactions
1671	Transactions for the provision of other services, with the exception of contracting, transportation, freight forwarding, storage, commission and trust management services
1711	Customer purchases precious metals, precious stones and (or) products from them
1721	Sale by a client of precious metals, precious stones and (or) products from them
1811	Transactions with real estate subject to mandatory state registration
1821	Transactions with other property subject to mandatory state registration
1911	Transactions in bonds and government securities with the exception of repo transactions in the organized market by open bidding

2020	Transactions with shares and units of mutual investment funds, excluding repo transactions in the organized market using the open bidding method
2110	Making a pawn transactions with cash, securities, precious metals and precious stones, jewels from them and other values (except national currency coins made of precious metals)
6010	Receipt by an individual included in the list of organizations and persons associated with the financing of terrorism and extremism of money in the form of wages
6020	Receipt by an individual included in the list of organizations and persons associated with the financing of terrorism and extremism of money in the form of a pension, scholarship, allowance, other social payment
6030	Payments and transfers of an individual included in the list of organizations and persons associated with the financing of terrorism and extremism for the payment of taxes, other obligatory payments to the budget, penalties and fines
6040	Crediting money to the bank account of an organization or individual included in the list of organizations and persons associated with the financing of terrorism and extremism
6050	making, transferring deductions and (or) contributions to the social health insurance fund.
6055	crediting money to the bank account of an organization the beneficial owner of which is a person included in 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 included in the list of organizations and persons associated with the financing of terrorism and extremism on the basis of a court decision.

Appendix 6
to the Rules for Submission by Entities
of Financial Monitoring of the Data and
Information on Transactions
Subject to Financial Monitoring

**Handbook of codes of types of parties and transactions
with money and (or) other property**

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Party/participant Type Code	Name of type of party/participant	Transaction Type Code	Name of transaction type
1	2	3	4
01	Seller	01	Contract of sale real estate
		02	Contract of sale product or service
02	Buyer	03	Contract of sale other property
03	Donor	04	Donation agreement
04	Donee		
05	Annuity recipient	05	Contract for lease of property (rental)
06	Annuity payer		
07	Landlord		
08	Tenant		
09	Lessor	06	Lease agreement
10	Lessee		
11	Loan holder	07	Contract for the gratuitous use of property
12	Loan recipient		
13	Customer	08	Contracting agreement
14	Contractor		
15	Project designer		
16	Prospector		
17	Executor		
18	Sender (transport activity)	09	Freight forwarding haulage contract
19	Carrier		
20	Recipient (transport activity)		
21	Freight forwarder		
22	Loan holder	10	Loan agreement
23	Loan debtor		
24	Creditor	11	Credit contract
25	Financial agent		
26	Client (factoring)	12	Factoring agreement
27	Beneficiary		
28	Principal		
29	Contributor	13	Bank account agreement
30	Issuer		
		31	Owner

32	Pledger	16	Other banking services agreement
33	Mortgagee	17	Pledge agreement
34	Safekeeper		
35	Bailor	18	Safe-keeping agreement
36	Insurer		
37	Policyholder	19	Insurance contract
38	Insured		
39	Principal		
40	Attorney	20	Order agreement
41	Principal	21	Guarantee agreement
42	Commission agent	22	Commission agreement
43	Management Founder		
44	Trustee manager	23	Fiduciary Management Agreement
45	Copyright holder		
46	User	24	Patent Transfer Agreement
		25	Agreement on the creation and use of the results of intellectual creative activity
47	Licensee	26	License or sublicense agreement for the use of an invention, utility model and / or industrial design
48	Patent holder	27	Comprehensive business license agreement (franchising)
49	Lottery, sweepstakes organizer		
50	Lottery, sweepstakes participant	28	Other agreement or contract
51	Supplier		
52	Manufacturer		
53	Landlord	29	Transaction without a fundamental document
54	Employer		
55	Other participant/ party		

Appendix 7
to the Rules for Submission by Entities
of Financial Monitoring of the Data and
Information on Transactions
Subject to Financial Monitoring
The form

Footnote. The Rules have been supplemented by Appendix 7 in accordance with Decree of the Government of the Republic of Kazakhstan No. 1435 dated 12.31.2014.

Request

for the provision of necessary information, data and documents

Footnote. The title of Appendix 7 is in the wording of Decree of the Government of the Republic of Kazakhstan No. 96 dated 02.22.2016 (shall be enforced from the date of its first official publication).

In accordance with subparagraph 1) of paragraph 1 of Article 17 and paragraph 3-1 Article 10 of the Law of the Republic of Kazakhstan dated August 28, 2009

"On Counteraction of Legitimization (Laundering) of Incomes Received by Illegal Means, and Financing of Terrorism"

(authorized body)

hereby requests the following information on client transactions and beneficial owners of clients:

1. _____;
2. _____.

(Full name of the authorized person of the authorized body)

(signature)

(full name)

Contact number:

Date and time of the request:

Appendix 8
to the Rules for Submission by Entities
of Financial Monitoring of the Data and
Information on Transactions
Subject to Financial Monitoring
The form

Footnote. The rules have been supplemented by Appendix 8 in accordance with Decree of the Government of the Republic of Kazakhstan No. 1435 dated 12.31.2014.

Response

to a request for the provision of necessary information, data and documents

Footnote. The title of Appendix 8 as amended by Decree of the Government of the Republic of Kazakhstan No. 96 dated 02.22.2016 (shall be enforced from the date of its first official publication).

In accordance with paragraph 3-1 of Article 10 of the Law of the Republic of Kazakhstan dated August 28, 2009 " On Counteraction of Legitimization (Laundering) of Incomes Received by Illegal Means, and Financing of Terrorism"

(name of the entity of financial monitoring)

hereby provides the following information to request No. ____ of _____:

1. _____;

2. _____.

The application is on _____ sheets.

(full name of the responsible person of the entity of financial monitoring)

(signature)

(full name)

Contact number:

Date and time of the response:

Appendix 9
to the Rules for Submission by Entities
of Financial Monitoring of the Data and
Information on Transactions
Subject to Financial Monitoring
The form

Footnote. The rules have been supplemented by Appendix 9 in accordance with Decree of the Government of the Republic of Kazakhstan No. 1435 dated 12.31.2014.

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

Footnote. The title of Appendix 9 as amended by Decree of the Government of the Republic of Kazakhstan No. 96 dated 02.22.2016 (shall be enforced from the date of its first official publication).

(name of the entity of financial monitoring)

hereby notifies _____

—

(authorized body)

on accepting a request for the provision of necessary information, data and documents on transactions subject to financial monitoring No. _____ of _____.

(full name of the responsible person of the entity of financial monitoring)

(signature)

(full name)

Date and time the request was accepted:

Footnote. The rules have been supplemented by Appendix 10 in accordance with Decree of the Government of the Republic of Kazakhstan No. 96 dated 02.22.2016 (shall be enforced from the date of its first official publication).

The form

Appeal for an extension of the request for the provision of the required information, data and documents

(name of the entity of financial monitoring)

hereby submits an application to

(authorized body)

on the extension of the period specified in the request for the provision of the necessary information, data and documents No. _____, from _____ to _____ business days.

(full name of the responsible person of the entity of financial monitoring)

(signature)

(full name)

Appendix 11
to the Rules for Submission by Entities
of Financial Monitoring of the Data and
Information on Transactions
Subject to Financial Monitoring

Signs of a suspicious transaction

Footnote. Signs of determination as amended by Decree of the Government of the Republic of Kazakhstan No. 929 dated December 29, 2018 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

No. s/ o	Code No.	Signs of a suspicious transaction
1	2	3
		1. General
1.	1012	Neglect by the client (client representative) of more favorable conditions for receiving services (commission, remuneration, etc.), as well as the offer by the client (client representative) of an unusually high commission (remuneration) for the provision of services by the entity of financial monitoring.

2.	1046	A transaction involving a non-profit organization, (with the exception of transactions related to the payment of taxes, other obligatory payments to the budget, penalties and fines, pension and social contributions, membership dues, utility bills, insurance premiums under compulsory insurance contracts, as well as transactions specified in codes of signs of suspicious transactions 1040 , 3002, 3003, 3004 and 1041).
3.	1040	Transactions with money and / or other property with the participation of non-profit organizations related to charity and / or other donations (with the exception of transactions indicated in code 3003).
4.	1041	Receipt of funds from abroad to the accounts of non-profit organizations.
5.	1042	Transfer of own funds to a bank account opened in an offshore zone.
6.	1043	Transactions of a client having a registration, place of residence or location in an offshore zone (with the exception of transactions specified in codes 0623, 0633, 0640 (Appendix 5, a directory of codes of types of transactions subject to financial monitoring);
7.	1035	A client is registered (resides) or systematically performs transactions involving persons registered (residing) in a state (territory) that does not comply with the recommendations of the Financial Action Task Force on Money Laundering (FATF), as well as using an account with a bank registered in such a state (territory).
8.	2003	Presentation by the client (representative of the client) of information, including about the beneficial owner, the reliability of which is doubtful and cannot be verified, as well as the inability to communicate with the client at the addresses and phone numbers indicated by him/her.
9.	2005	Unreasonable haste of the client (client's representative) in carrying out the operation and (or) excessive concern about confidentiality regarding the operation.
10.	2007	Carrying out the operation by the client under the guidance of a third party and / or persons present during the operation.
11.	2014	Purchase and sale of precious metals and precious stones, jewelry, scrap of precious metals, when this activity is not included in the circle of his/her professional activity.
12.	2015	During the operation, the client is excited, due to which he/she presents clearly false information.
13.	2017	The client was not found either at the place of state registration, or at the actual address recorded within the framework of due diligence and the client.
14.	3001	Transaction with money and (or) other property to (from) a country with a high risk of terrorist financing.
15.	3002	Transactions with money and (or) other property related to charity and (or) other donations, with the exception of the participation of non-profit organizations.
16.	3003	Conducting transactions with money and (or) other property with the participation of non-profit organizations with a religious direction (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 bills, insurance premiums under compulsory insurance contracts).
17.	3004	The client's completion of an operation (transactions), on which there is reason to believe that this transaction (transactions) is aimed at financing terrorism and (or) extremism.
18.	7002	Transactions with money and other property related to the sale, transportation, manufacture, storage and sale of paragraphs related to chemical, biological and nuclear weapons and their components, if this does not apply to the client.
19.	7003	Transactions with money and other property that are related to the sale of military paragraphs, medical agents, if this does not apply to the activities of the client.
20.	7004	Transactions with money and other property related to the purchase and sale of substances that include not only pharmaceuticals, but also other synthetic and natural substances that are toxic and potent, if this does not apply to the client.

21	7006	Clients, their activities, transactions or attempts to perform them, recognized as suspicious in accordance with the internal procedures of the entity of financial monitoring
22	8002	An attempt to carry out a suspicious transaction in respect of which the entity of financial monitoring has suspicions that the operation is aimed at financing terrorism.
23	8003	Refusal to establish business relations 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.
24	8004	Refusal to establish business relations, possibly aimed at legalization (laundering) of proceeds from crime.
25	8005	Refusal to establish business relations, possibly aimed at financing terrorism or other criminal activities
26	8006	Refusal to conduct transactions 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.
27	8007	Refusal to conduct an operation in respect of which the entity of financial monitoring has suspicions that the operation is aimed at legalizing (laundering) proceeds of crime.
28	8008	Refusal to conduct an operation in respect of which the entity of financial monitoring has suspicions that the operation is aimed at financing terrorism or other criminal activities.
29	8010	Termination of business relations in case of suspicions that the business relations are used by the client in the process of legalization (laundering) of proceeds from crime in the course of studying transactions performed by the client.
30	8011	Termination of business relations in case of suspicions that the business relations are used by the client in order to finance terrorism in the process of studying transactions performed by the client.
31	8014	Execution of transactions by a person included in the list of organizations and persons associated with the financing of terrorism and extremism by a court decision.
32	1028	Transfers connected with payment of a penalty under contracts for foreign economic activity.
		2. When providing payment and money transfer services
33	1011	Indication by the resident on export or import contracts of a repatriation period exceeding 360 days (with the exception of contracts providing for the provision of services and / or construction and installation works on the territory of the Republic of Kazakhstan).
34	1017	The presence of non-standard or unusually complex instructions on the procedure for conducting calculations that differ from established business practice.
35	1023	Regular transfers of money from the client's current account to his account (s) in another bank (other banks) with subsequent reverse transfers of money in the same and / or similar amounts.
36	1029	Regular transfer (receipt) by the client of money in the framework of transactions for the provision of marketing, consulting or research services.
37	5002	Payments and money transfers under an agreement (s) for the import of goods (works, services) in favor of a non-resident who is not a party to the agreement (s).
38	7001	Payments and transfers related to attracting money and (or) other property from individuals, in the absence of a client's license to carry out activities in the financial sector and (or) activities related to the concentration of financial resources.
39	7007	Payments and money transfers in favor of residents of states that are not members of the Customs Union under an agreement on the import of goods that does not provide for the actual entry of goods into the customs territory of the Customs Union or does not provide for the movement of goods across the territory of the Customs Union.
40	7008	Systematic transfers of money abroad without opening a bank account, in relation to which there is reason to believe that they are made in order to carry out entrepreneurial activities.
41	7009	Systematic payments and money transfers on foreign exchange transactions carried out without submitting a foreign exchange agreement.

42	7011	The receipt in favor of the client of payments using electronic money in large quantities or the repeated receipt of payments using electronic money in the absence of information about the client's activities in the field of Internet commerce.
43	7012	Frequent receipt in favor of the client of payments using electronic money from unidentified owners of electronic money (with the exception of payments for taxes and other obligatory payments to the budget, utility bills, communication services, broadcasting services).
3. When providing banking services		
44	1019	A significant increase in the share of cash received on the account of the client - legal entity, if payments in cashless form are usual for the main activities of the client.
45	1025	Early repayment of the loan by the client, if the available information does not allow to determine the source of financing of credit debt.
46	1044	Transfer from a bank account of all or a significant part of money, for a short period of time after they have been credited, received for providing a wide range of services and (or) different types of goods.
47	4006	Closing an account with the subsequent opening of new accounts in the same name or in the name of family members of the client (the same actions committed by legal entities).
48	4008	Systematic withdrawal by the same person or group of persons from a bank account (s) of money and / or a significant part of money for a short period of time received for the provision of work and services.
49	4009	Untidy appearance (signs of a person with no fixed abode, signs of drug addiction and (or) alcoholism) of a person who systematically withdraws money from a bank account.
50	4013	Regular crediting of cash to the client's bank account from third parties with the subsequent withdrawal of such money by the client or transferring all or most of the amount within one business day or the day following it to the bank accounts of the client or third parties.
51	7013	The client regularly credits cash on deposits opened (open) in favor of third parties, in the absence of an obvious connection between the activities of the client and such persons.
52	7020	Systematic deposit of cash into the bank account of the insurance agent engaged in such activities.
53	7023	Acquisition by the client of a large number of prepaid payment cards, not determined by the nature of its activities.
54	7018	Systematic receipt of money to the client's account, carried out using equipment (device) designed to receive cash.
55	3006	Refusal from the ruler of money to go through the process of establishing sources of income, which has external signs of religiosity, regardless of gender.
56	8012	Appeal of an individual included in the list of organizations and persons associated with the financing of terrorism and extremism for the operation to receive wages in accordance with subparagraph 1) of paragraph 8 of Article 12 of the Law.
57	8013	Crediting money to a bank account for a person included in the list of organizations and persons associated with the financing of terrorism and extremism, in accordance with the fifth part of paragraph 1-1 of Article 13 of the Law.
4. When providing services in the securities market, pension fund services		
58	1003	Making by the client or at his direction transactions with securities (financial instruments), as a result of which the owner of these securities (financial instruments) does not change.
59	1004	Securities purchase and sale transactions concluded at prices having a significant deviation from current market prices (at a low price, for a pittance and / or at an inflated price) for similar transactions.
60	1005	An agreement of two or more bidders or their representatives on the purchase (sale) of securities in the organized and / or unorganized securities market at prices that substantially deviate from current market prices for similar transactions.
		One-time sale (purchase) by the client of a large number of securities that are not traded on the organized market of securities and financial services, provided that the client is not a professional

61	1007	participant in the securities market and (or) securities are not transferred to the client to pay off the counterparty to the client .
62	7035	Making by the client or at his direction transactions with securities (financial instruments), as a result of which the beneficial owner of these securities (financial instruments) does not change.
63	7037	Opening an individual retirement account and then transfer it considerable sums in the form of voluntary pension contributions in the name of the foreigner or the person without citizenship of a person who has reached the moment of concluding the contract or the age limit to approach him.
		5. When providing insurance services
64	1020	Performing transactions to replace the insured, the insurer or the beneficiary under the accumulative life insurance contract.
65	7026	Early termination by the client of a large amount of voluntary insurance contract after a short period of time after its conclusion with the return of the insurance premium, including in favor of third parties.
66	7028	An attempt or transfer of cash by a client to pay insurance premiums under a funded insurance contract.
67	7029	Change in the amount of the insurance amount with a corresponding increase in the size of the insurance premium under the concluded accumulative insurance agreement.
68	7038	Payment of all or part of the remuneration for the services of an insurance intermediary (insurance broker, insurance agent) to a third party at the direction of the insurance intermediary.
		6. In the provision of notarial, audit services
69	1015	Obtaining and (or) providing property under a financial lease (leasing) agreement under unfavorable, economically inexpedient terms of the agreement (notaries).
70	1024	Implementation of financial transactions in which the same subject of the transaction is sold and then redeemed.
71	1032	Apparent discrepancy between the contractual and actual value of the subject of the transaction.
		7. When providing services in the field of gambling
72	1031	Repeated receipt (payment) of funds in large amounts from a gambling establishment as a gain in a gambling and / or at gambling bets.
		8. When providing leasing services
73	1038	Early repayment of the main debt under a leasing agreement by a client who has previously committed a delay in fulfillment of obligations, if the available information does not allow to determine the source of debt financing.
74	9002	Obtaining or providing property under a leasing (subleasing) agreement when the same person acts as the seller of the leased asset and the lessee (subleasing).
		9. In carrying out the activities of a pawnshop
75	9005	Bailing or buying jewelry from precious metals and precious stones without prints of assay marks.
76	9006	Bailing to a vehicle pawnshop by proxy.
		10. During the purchase, sale of precious metals and precious stones, jewelry from them
77	9007	Systematic purchase by an individual of several jewelry or other household products made of precious metals and (or) precious stones (products of the same type) and / or certified precious stones.
78	1045	Transfer of funds on behalf of the client for the sold precious metals, precious stones and scrap of such products, as well as jewelry, to third party accounts.
79	9011	Acquisition by a legal entity of faceted precious stones (excluding diamonds) that are not mined in the Republic of Kazakhstan.

80	9012	Sale of precious metals and precious stones, jewelry made of them at prices having a significant deviation from current market prices.
		11. In the implementation of transactions of sale of real estate
81	9013	An offer or an attempt by a client to make a deal with real estate that is encumbered (with the exception of a mortgage).
82	9014	Transaction with real estate at a price having a significant deviation from market value
83	9015	Multiple (three or more times) purchase and (or) sale of real estate by an individual.
84	9016	Implementation of the purchase and sale of real estate, which is state property, the acquirer of which is a private business entity.
		12. When carrying out the activities of payment organizations
85	9022	Conducting transactions with money and (or) other property, on which the financial monitoring entity has reason to believe that this operation and / or transactions are associated with the illicit trafficking of narcotic drugs.