



On approval of the list, forms, terms of reporting of the single accumulative pension fund and Rules of their submission

Invalidated Unofficial translation

Resolution of the Board of the National Bank of the Republic of Kazakhstan dated August 28, 2017 № 167. Registered in the Ministry of Justice of the Republic of Kazakhstan on October 9, 2017 № 15863. Abrogated by Resolution № 110 of the Board of the National Bank of the Republic of Kazakhstan dated 24.12.2025 (effective ten calendar days after the date of its first official publication).

Unofficial translation

Footnote. Abrogated by Resolution № 110 of the Board of the National Bank of the Republic of Kazakhstan dated 24.12.2025 (effective ten calendar days after the date of its first official publication).

Note!

The deadline for submitting reports shall be extended during the period of the state of emergency introduced by Decree of the President of the Republic of Kazakhstan dated March 15, 2020 № 285 "On the introduction of a state of emergency in the Republic of Kazakhstan" in accordance with the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated March 31, 2020 № 42 (shall come into effect from the date of its first official publication).

In accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics", the Board of the National Bank of the Republic of Kazakhstan **HEREBY RESOLVES:**

Footnote. Preamble - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated June 29, 2023 № 42 (shall come into effect ten calendar days after the day of its first official publication).

1. To approve:

1) the list of reports of the unified accumulative pension fund in accordance with Annex 1 to this Resolution;

2) the form of the report on the value of pension assets in accordance with Annex 2 to this Resolution;

3) the form of the report on the structure of the investment portfolio of pension assets in accordance with Annex 3 to this Resolution;

4) the form of the report on pension assets under external management, in accordance with Annex 4 to this Resolution;

5) the form of the report on the volume of pension savings and the number of individual pension accounts of contributors (recipients) in accordance with Annex 5 to this Resolution;

6) the form of the report on the volume of pension savings and the number of individual pension accounts of contributors (recipients) by region of the Republic of Kazakhstan (at the place of residence of the contributor (recipient)) in accordance with Annex 6 to this Resolution;

7) the form of the report on pension payments for mandatory pension contributions, mandatory professional pension contributions, and voluntary pension contributions in accordance with Annex 7 to this Resolution;

8) the form of the report on the volume of payments of pensions and pension savings to workers (family members) of the member states of the Eurasian Economic Union on the territory of the Republic of Kazakhstan in accordance with Annex 8 to this Resolution;

9) the form of the report on securities acquired at the expense of one's assets, in accordance with Annex 9 to this Resolution;

10) is excluded by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication);

11) is excluded by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication);

12) is excluded by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication);

13) the form of the report on completed transactions for the investment of own assets in accordance with Annex 13 to this Resolution;

14) the form of the report on financial instruments of issuers that have defaulted, acquired at the expense of pension assets, in accordance with Annex 14 to this Resolution;

15) the form of the report on the cost of one conventional unit of pension assets formed from mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions in accordance with Annex 15 to this Resolution;

16) the form of the report on the cost of one conventional unit of conditional pension liabilities in accordance with Annex 16 to this Resolution;

17) the form of the report on assets and liabilities classified by economic sector (according to the own assets of the unified accumulative pension fund), in accordance with Annex 17 to this Resolution;

18) the form of the report on assets and liabilities classified by economic sector (by pension assets of the unified accumulative pension fund), in accordance with Annex 18 to this Resolution;

19) The rules for reporting by the unified accumulative pension fund in accordance with Annex 19 to this Resolution;

20) the report form on target requirements in accordance with Annex 20 to this resolution;

21) Rules for reporting by the unified accumulative pension fund in accordance with Annex 21 to this resolution.

Footnote. Paragraph 1 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 29.06.2023 № 42 (for the order of enforcement, refer to Paragraph 5); as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 25.12.2023 № 97 (shall come into effect from 01.01.2024); dated 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

2. The Unified Accumulative Pension Fund shall submit to the National Bank of the Republic of Kazakhstan in electronic format:

1) monthly:

reporting provided for in subparagraphs 2) and 4) of paragraph 1 of this Resolution no later than the 7th (seventh) working day of the month following the reporting month, if the unified accumulative pension fund has pension assets transferred to external management - no later than 20 (the twentieth) day of the month following the reporting month;

reporting provided for in subparagraphs 3), 5), 6), 7), 9), 13), 15), 16) and 19) of paragraph 1 of this resolution, no later than the 7th (seventh) working day of the month following the reporting month;

2) quarterly:

reporting provided for in subparagraphs 8) and 14) of paragraph 1 of this Resolution no later than the 7th (seventh) working day of the month following the reporting quarter;

reporting provided for in subparagraphs 17) and 18) of paragraph 1 of this Resolution no later than the 25th (twenty-fifth) day of the month following the reporting quarter.

Footnote. Paragraph 2 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 25.12.2023 № 97 (shall come into effect from 01.01.2024); as amended by the resolution of the Board of the National Bank of

the Republic of Kazakhstan dated 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

3. Resolution № 227 of the Board of the National Bank of the Republic of Kazakhstan dated August 27, 2013 “On approval of the list, forms, terms and Rules of reporting by the single pension fund” (registered in the Register of State Registration of Regulatory Legal Acts under № 8856, published in Kazakhstanskaya Pravda newspaper in № 8 (27629)) of 15 January 2014 shall be deemed invalid.

4. In accordance with the legislation of the Republic of Kazakhstan, the Department of Research and Statistics (V. Tutushkin) shall:

1) together with the Legal Department (N.V. Sarsenova) provide the state registration of this resolution with the Ministry of Justice of the Republic of Kazakhstan;

2) within ten calendar days from the date of the state registration of this resolution, direct a copy of it in paper and electronic forms in the Kazakh and Russian languages to the Republican State Enterprise with the Right of Economic Management “Republican Center of Legal Information” for official publication and inclusion in the Reference Control Bank of Regulatory Legal Acts of the Republic of Kazakhstan;

3) place this resolution on the official Internet resource of the National Bank of the Republic of Kazakhstan after its official publication.

5. Within ten calendar days after the state registration of this resolution, the Department for Protection of the Rights of Consumers of Financial Services and External Communications (A. Terentyev) shall direct a copy thereof for official publication in periodicals.

6. Control over the execution of this resolution shall be assigned to the Deputy Chairman of the National Bank of the Republic of Kazakhstan G. Pirmatov.

7. This Resolution shall come into effect upon the expiration of ten calendar days after the day of its first official publication.

Footnote. Paragraph 7 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 29.06.2023 № 42 (shall come into effect upon the expiration of ten calendar days after the day of its first official publication).

*Chairman
of the National Bank*

D. Akishev

"AGREED"

Chairman of the Committee on Statistics
of the Ministry of National Economy
of the Republic of Kazakhstan

N. Aidapkelov
September 21, 2017

List of reports of the unified accumulative pension fund

Footnote. Appendix 1 is in the wording of the resolution of the Board of the National Bank of the Republic of Kazakhstan from 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

The reporting of the unified accumulative pension fund includes:

- 1) a report on the value of pension assets;
- 2) a report on the structure of the investment portfolio of pension assets;
- 3) a report on pension assets under external management;
- 4) a report on the volume of pension savings and the number of individual pension accounts (sub-accounts) of contributors (recipients);
- 5) a report on the volume of pension savings and the number of individual pension accounts (sub-accounts) of contributors (recipients) by region of the Republic of Kazakhstan (at the place of residence of the contributor (recipient));
- 6) a report on pension payments for mandatory pension contributions, mandatory professional pension contributions, and voluntary pension contributions;
- 7) a report on the volume of pension payments and pension savings to workers (family members) of the member states of the Eurasian Economic Union on the territory of the Republic of Kazakhstan;
- 8) a report on securities acquired using own assets;
- 9) a report on completed transactions for investing own assets;
- 10) a report on financial instruments of issuers that defaulted, acquired using pension assets;
- 11) a report on the cost of one conventional unit of pension assets formed from mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions;
- 12) a report on the cost of one conventional unit of contingent pension liabilities;
- 13) a report on assets and liabilities classified by economic sectors (according to the unified accumulative pension fund's own assets);
- 14) a report on assets and liabilities classified by economic sectors (by pension assets of the unified accumulative pension fund);
- 15) report on payments and return of target savings;
- 16) a report on target requirements.

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

Report on the value of pension assets

Footnote. Annex 2 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 29.06.2023 № 42 (shall come into effect upon the expiration of ten calendar days after the day of its first official publication).

Form for administrative data index: 1-ENPF_PA

Frequency: monthly

Reporting period: as of " __ " _____ 20 __

Scope of persons submitting information: unified pension savings fund

Deadline for submitting the administrative data form: monthly, no later than the 7th (seventh) working day of the month following the reporting month, in the case of pension assets transferred to external management, no later than the 20th (twentieth) day of the month following the reporting month

Form

Table. Value of pension assets

Pension assets formed at the expense of _____
(in tenge)

№	Index	date	date
1	2	3	...
1.	Balance on investment accounts at the beginning of the day, including:		
1.1.	in tenge		
1.2.	in foreign currencies		
2.	Received money into investment accounts at the end of the day, including:		
2.1.	in tenge		
2.2.	in foreign currencies		
3.	Money out of investment accounts at the end of the day, including:		

3.1.	in tenge		
3.2.	in foreign currencies		
4.	Balance on investment accounts at the end of the day ((1)+(2)-(3)), including :		
4.1.	in tenge		
4.2.	in foreign currencies		
5.	The amount of assets under external management at the end of the day, including:		
5.1.	in tenge		
5.2.	in foreign currencies		
6.	The value of other assets at the beginning of the day, including:		
6.1.	in tenge		
6.2.	in foreign currencies		
7.	End-of-day value of other assets, including:		
7.1.	in tenge		
7.2.	in foreign currencies		
8.	The total value of financial investments at the beginning of the day, including:		
8.1.	derivative financial instruments		
9.	Received financial instruments at the end of the day		
10.	Out of financial instruments at the end of the day		
11.	Total value of financial investments at the end of the day ((8)+(9)-(10)+(12)-(12.4.1)-(12.7)), including:		
11.1.	derivative financial instruments		
12.	Accrued investment income (expense) at the end of the day, including:		
12.1.	income (expenses) associated with receiving interest on financial instruments		

12.2.	income (expenses) from changes in the value of securities measured at fair value		
12.3.	income (expenses) from changes in the value of other assets		
12.4.	income (expenses) from revaluation of foreign currency, including:		
12.4.1.	income (expenses) from the revaluation of money in the investment account and other assets		
12.4.2.	income (expenses) from the revaluation of financial investments		
12.5.	income (expenses) associated with the restoration (formation) of reserves (provisions) to cover possible losses from the depreciation of securities		
12.6.	other income (expenses) on financial instruments		
12.7.	other income (expenses) not related to financial instruments		
13.	Total current value of pension assets at the end of the day ((4)+(5)+(7)+(11))		
14.	Commission fees from pension assets at the end of the day, including:		
14.1.	accrued		
14.2.	paid		
15.	Remaining debt on commission from pension assets		
16.	Commission on investment income at the end of the day, including:		
16.1.	accrued		
16.2.	paid		
17.	Remaining debt on commission from investment income		

18.	Accrued pension liabilities related to pension assets at the end of the day, including:		
18.1.	erroneous (incorrectly credited) amounts		
18.2.	payments, transfers and one-time withdrawals		
18.3.	other		
19.	Fulfilled pension obligations related to pension assets at the end of the day:		
19.1.	erroneous (incorrectly credited) amounts from the investment account		
19.2.	payments and transfers		
19.3.	other		
20.	Retained earnings (uncovered loss)		
21.	Balance of pension obligations at the end of the day		
22.	Balance of amounts in reserve fund accounts at the beginning of the day		
23.	Balance of amounts in reserve fund accounts at the end of the day		
24.	Total liabilities for pension assets and retained earnings (uncovered loss) at the end of the day ((15)+(17)+(20)+(21)+(23)):		
25.	Total value of "net" pension assets at the end of the day ((13)-(24))		

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

surname, first name and patronymic (if any) signature, telephone number

The manager or person entrusted with the function of signing the report

last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20__

Annex
to the report form
on the value of pension
assets

Explanation for completion of the form for administrative data

"Report on the value of pension assets" (index – 1-ENPF_PA, frequency – monthly)

Chapter 1. General provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on the value of pension assets" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out monthly by the Unified Pension Fund. The data in the form shall be indicated in tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. From January 1, 2024, the Form shall be submitted separately for pension assets formed from mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions, and for pension assets formed from mandatory pension contributions from the employer.

The line "Pension assets formed on account" shall indicate information on pension assets formed depending on pension contributions: "mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions" and "mandatory pension contributions by the employer."

6. The form shall be completed for each day of the reporting month. The date shall be indicated in the format " dd.mm.yyyy".

7. In lines 1.2., 2.2., 3.2., 4.2., 5.2., 6.2. and 7.2. amounts equivalent to tenge shall be reflected.

8. Information on line 5 shall be indicated in accordance with the data in the Report on pension assets under external management, in accordance with Annex 4 to this Resolution.

9. Assets reflected in lines 7.1. and 7.2. at the end of the reporting period shall be disclosed in a note to the form provided in the information system.

10. When filling out line 9, the information shall be indicated on financial instruments that are valued at actual costs. Costs incurred in completing a transaction (directly related to the acquisition of financial instruments), including fees and commissions paid to agents, consultants, brokers (dealers), stock exchange fees, as well as bank costs for transferring money shall be included in the cost of these financial instruments. The cost of financial instruments also shall include interest accrued for the period before acquisition (if any).

11. When filling out line 10, information about sold or redeemed financial instruments shall be indicated at the actual cost of sale or redemption.

12. Information on line 11 shall be indicated in accordance with the data in the Report on the structure of the investment portfolio of pension assets in accordance with Annex 3 to this Resolution.

13. When filling out line 12.5. reserves (provisions) shall be reflected at the end of the day on the date of its formation (restoration).

14. When filling out lines 12.6. and 12.7. information on other income received and other expenses incurred included in the value of pension assets at the end of the reporting period shall be disclosed in a note to the form provided in the information system.

15. Line 13 shall indicate the cost reflected in the accounting records.

16. Lines 14 and 16 shall indicate the amount of commission.

17. When filling out lines 15 and 17, the balance of the outstanding commission fee shall be indicated on an accrual basis, taking into account the data at the end of the reporting period.

18. In lines 18.2. and 19.2. the amounts of transfers of pension savings to voluntary savings pension funds, to insurance organizations, amounts paid to recipients and other persons, amounts of income tax on pension payments for mandatory pension contributions, mandatory professional pension contributions, and voluntary pension contributions shall be indicated.

For mandatory employer pension contributions, only the amount of pension payments shall be indicated.

19. When filling out lines 18.3. and 19.3. information on other liabilities included in the value of pension assets at the end of the reporting period shall be disclosed in a note to the form provided in the information system.

20. Lines 22 and 23 are completed from January 1, 2024. Lines 22 and 23 shall indicate the balance of the amount in the reserve fund accounts. These lines shall be filled in only when filling out information on mandatory pension contributions by the employer.

21. If information is missing, the form shall be submitted without completion.

Form intended for collecting administrative data

Submitted to: the National Bank of the Republic of Kazakhstan
The form intended for collecting administrative data free of charge is posted on the Internet resource: www.nationalbank.kz

Report on the structure of the investment portfolio of pension assets

Footnote. Appendix 3 is in the wording of the resolution of the Board of the National Bank of the Republic of Kazakhstan from 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

Index of the form intended for collecting administrative data free of charge: 1-ENPF_SPPA

Frequency: monthly

Reporting period: as of " __ " _____ 20 __

The circle of persons submitting the form intended for collecting administrative data free of charge: the unified accumulative pension fund

Deadline for submitting the form intended for collecting administrative data free of charge: monthly, no later than the 7th (seventh) working day of the month following the reporting month

BIN: _____

Collection method: electronically

Table 1. Securities purchased using pension assets

Pension assets formed at the expense of _____

№	Name of the trustee	Name of the issuer	Type of economic activity	Issuer country	Type of security	Security identification number
1	2	3	4	5	6	7
1.	State securities of the Republic of Kazakhstan					
1.1.			x			
...			x			
2.	Non-state securities of					

continuation of the table:

Current value of securities			Reference (in tenge):			
total (in tenge)	in nominal currency	including accrued remuneration (in tenge)	formed reserves (provisions)	securities receivables	overdue securities receivables	formed reserves (provisions) for overdue accounts receivable
17	18	19	20	21	22	23

continuation of the table:

Category of securities	Security rating		Stock Exchange List Category		Current coupon rate in the portfolio (in percent)
	on the date of registration	as of the reporting date	on the date of registration	as of the reporting date	
24	25	26	27	28	29

Table 2. Securities purchased and placed under “reverse repo” and repo transactions

№	Name of the trustee	Name of the issuer	Issuer country	Type of security	Security identification number	Number of securities (pieces)	Currency code of nominal value	Transaction currency code
1	2	3	4	5	6	7	8	9
1	Operation "reverse repo"							
1.1.	direct method							
1.1.1.								
...								
1.2.	automatic method							
1.2.1.								
...								
	Total:							
2	Repo operation							
2.1.	direct method							
2.1.1.								
...								
2.2.	automatic method							
2.2.1.								
...								
	Total:							

No	Name of the trustee	derivative financial instrument	Underlying asset	Currency code	Security identification number	transaction with a derivative instrument (in tenge)	reporting date (in tenge)
1	2	3	4	5	6	7	8
1.	Contingent claims on derivative financial instruments						
1.1							
1.1.1							
...							
	Total:						
2.	Contingent liabilities on derivative financial instruments						
2.1							
2.1.1							
...							
	Total:						

Name _____

Address _____

Telephone _____

Email address _____

Performer _____

surname, name and patronymic (if any), signature, telephone

The manager or person assigned the function of signing the report

surname, name and patronymic (if any) signature

Date " _____ " _____ 20__

Note: the form is completed in accordance with the explanation for completing the form intended for collecting administrative data free of charge "Report on the structure of the investment portfolio of pension assets".

Appendix
to the form
intended for collecting
administrative data free of charge
"Report on the structure
of the investment portfolio of pension
assets"

Explanation on completing the form intended for collecting administrative data free of charge “Report on the structure of the investment portfolio of pension assets” (index – 1-ENPF_SPPA, frequency – monthly) Chapter 1. General provisions

1. This explanation shall determine the unified requirements for completing the form intended for collecting administrative data free of charge, “Report on the structure of the investment portfolio of pension assets” (hereinafter - the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan “On the National Bank of the Republic of Kazakhstan” and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan “On State Statistics”.

3. The form is completed by the unified accumulative pension fund monthly as of the end of the reporting period. The form does not include data on financial instruments for which recognition has been terminated. The data in the form are indicated in tenge.

4. The form is signed by the manager or the person assigned the function of signing the report, and the performer.

Chapter 2. Explanation on completing the Form

5. The form is presented separately for pension assets formed from mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions, and for pension assets formed from mandatory pension contributions of the employer.

The line “Pension assets formed at the expense of _____” indicates information on pension assets formed depending on pension contributions: “mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions” and “mandatory pension contributions of the employer”.

6. According to Table 1:

- 1) the Form specifies data on securities;
- 2) column 2 indicates the National Bank of the Republic of Kazakhstan or the name of the investment portfolio manager to whom the pension assets have been transferred for trust management;
- 3) column 3 indicates the name of the issuer of the security;
- 4) column 4 indicates the type of economic activity in accordance with the national classifier of the Republic of Kazakhstan NK RK 03 "General classifier of types of economic activity". This column is completed for non-state securities of issuers-residents of the Republic of Kazakhstan;
- 5) column 6 indicates the type of security acquired, indicating its type;

6) column 7 indicates the international identification number (ISIN code) or other identifier of the security;

7) column 8 indicates the number of securities purchased;

8) columns 9 and 11 indicate currency codes in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 “Codes for the representation of currencies and funds”;

9) column 10 for bonds indicates the monetary value of the bond, determined upon its issue, on which the interest on the coupon bond expressed as a percentage is accrued, as well as the amount payable to the bondholder upon its redemption. The amount is indicated in the currency of the issue;

10) columns 12 and 13 indicate the price reflected in the primary document confirming the transaction (stock exchange certificate, broker and/or dealer report, confirmation received via the international interbank system for transferring information and making payments SWIFT). Column 13 indicates: for debt securities, the net price as a percentage of the nominal value, for equity securities - in absolute value;

11) column 14 reflects the date of initial recognition in accounting;

12) column 15 indicates the date of repayment of debt securities;

13) column 16 indicates the purchase price of the security, including expenses directly related to the acquisition, including fees and commissions paid to agents, consultants, brokers and/or dealers, stock exchange fees, as well as bank transfer services, and reduced by the amount of interest paid by the buyer to the seller (if any);

14) column 17 indicates the value of securities reflected in accounting;

15) column 20 indicates the amount of reserves (provisions) reflected in accounting

;

16) column 21 indicates the amount of accounts receivable on securities subject to payment within the period established by the issue prospectus;

17) column 22 indicates overdue accounts receivable on securities that have not been paid within the time period specified in the issue prospectus;

18) column 23 indicates the amount of reserves (provisions) for accounts receivable and overdue debt, reflected in accounting;

19) column 24 indicates the category of the security “measured at fair value”, “measured at amortized cost”;

20) when completing columns 25 and 26, the rating of the security for bonds, the issuer rating for shares, the country rating for state securities assigned by one of the rating agencies specified in paragraph 3 of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated December 24, 2012 № 385 "On establishing a minimum rating for legal entities and countries, the need for which is required in accordance with the legislation of the Republic of Kazakhstan regulating the activities

of financial organizations, branches of non-resident banks of the Republic of Kazakhstan, branches of insurance (reinsurance) organizations non-residents of the Republic of Kazakhstan, the list of rating agencies assigning this rating", registered in the Register of state registration of regulatory legal acts under № 8318 (hereinafter - the Resolution № 385) is reflected. In the absence of a rating in columns 25 and 26, "no rating" is indicated. These columns are not completed for state securities of the Republic of Kazakhstan. Column 25 reflects the rating on the date of initial recognition in accounting;

21) columns 27 and 28 indicate the category of securities of residents of the Republic of Kazakhstan according to the official list of the stock exchange of the Republic of Kazakhstan. In the absence of a list category of the stock exchange of the Republic of Kazakhstan, columns 27 and 28 indicate "no listing". These columns are not completed for securities of non-residents of the Republic of Kazakhstan and state securities of the Republic of Kazakhstan. Column 27 reflects the list category of the stock exchange on the date of initial recognition in accounting;

22) column 29 indicates the coupon rate on debt financial instruments on the date of submission of the Form.

7. According to Table 2:

1) column 2 indicates the National Bank of the Republic of Kazakhstan or the name of the investment portfolio manager to whom the pension assets have been transferred for trust management;

2) column 5 indicates the type of security acquired (placed) through "reverse repo" transactions (repo), indicating its type;

3) column 6 indicates the international identification number (ISIN code) or other identifier of the security;

4) column 7 indicates the number of securities purchased (placed) under "reverse repo" transactions (repo);

5) columns 8 and 9 indicate currency codes in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 "Codes for the representation of currencies and funds";

6) columns 10 and 11 indicate the price with an accuracy of up to four decimal places, reflected in the primary document that confirms the implementation of the "reverse repo" transaction (repo). In the event of payment for the acquired (placed) security in foreign currency, columns 11 and 13 shall be completed with the simultaneous reflection of the equivalent in the national currency - tenge in columns 10 and 12; in the event of payment for the acquired (placed) security in the national currency - tenge, columns 10 and 12 shall be completed;

7) column 16 indicates the cost reflected in accounting.

8. According to Table 3:

1) column 2 indicates the National Bank of the Republic of Kazakhstan or the name of the investment portfolio manager to whom the pension assets have been transferred for trust management;

2) when completing columns 4 and 5, the bank rating assigned by one of the rating agencies specified in paragraph 3 of Resolution № 385 is reflected. In the absence of a rating, “no rating” is indicated in columns 4 and 5. These columns are not completed for deposits in the National Bank of the Republic of Kazakhstan;

3) column 6 indicates currency codes in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 “Codes for the representation of currencies and funds”;

4) column 9 indicates the term of the deposit under the bank deposit agreement; when extending the deposit, the term is reflected taking into account the extension;

5) columns 10 and 11 indicate the date and frequency of payment of the accumulated remuneration in accordance with the terms of the bank deposit agreement;

6) columns 14 and 15 indicate the amount of pension assets placed in a bank deposit. In the case of placing pension assets in a deposit in foreign currency, column 15 is completed with the simultaneous reflection of the equivalent in the national currency - tenge in column 14; in the case of placing pension assets in a deposit in the national currency - tenge, column 14 is completed;

7) column 16 indicates the value of deposits reflected in accounting;

8) column 20 indicates the amount of reserves (provisions) reflected in accounting;

9) column 21 indicates the amount of accounts receivable on deposits;

10) column 22 indicates overdue accounts receivable on deposits;

11) column 23 indicates the amount of reserves (provisions) for accounts receivable and overdue debt, reflected in accounting;

12) Table 3 is filled in indicating the amount of deposits separately for each bank and for each deposit currency.

9. According to Table 4:

1) column 2 indicates the National Bank of the Republic of Kazakhstan or the name of the investment portfolio manager to whom the pension assets have been transferred for trust management;

2) column 5 indicates the payment currency code in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 “Codes for the representation of currencies and funds”;

3) columns 6 and 8 indicate the purchase price and purchase value at the market exchange rate established on the date of the transaction, in column 11 the amount is reflected at the market exchange rate established on the reporting date. In the case of acquisition of refined precious metal in the national currency - tenge, columns 6, 8 and 10 are completed;

4) column 10 indicates the amount reflected in accounting.

10. According to Table 5:

1) column 2 indicates the National Bank of the Republic of Kazakhstan or the name of the investment portfolio manager to whom the pension assets have been transferred for trust management;

2) column 4 indicates the underlying asset of the derivative financial instrument (name of the security and its issuer, currency, interest rate, commodity and other underlying assets);

3) column 5 indicates the transaction currency. The currency code is indicated in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 "Codes for the presentation of currencies and funds";

4) column 6 indicates the international identification number (ISIN code) or other identifier of the security; column 6 shall be completed if the underlying asset of the derivative financial instrument is a security;

5) column 7 indicates the amount of contingent claims and liabilities that is formed when conducting a transaction with derivative instruments, in accordance with the requirements of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated July 1, 2011 № 69 “On approval of the Instructions for maintaining accounting records of transactions with pension assets, target assets and target savings carried out by a unified accumulative pension fund and voluntary accumulative pension funds”, registered in the Register of state registration of regulatory legal acts under № 7118;

6) column 8 indicates the market value (replacement cost) of the derivative financial instrument, which is:

for purchase transactions – the amount by which the current market value of a derivative financial instrument exceeds the nominal contract value of the given derivative financial instrument (contingent claims), the amount by which the nominal contract value of a derivative financial instrument exceeds the current market value of the given derivative financial instrument (contingent liabilities);

for sales transactions – the amount by which the nominal contract value of a derivative financial instrument exceeds the current market value of that derivative financial instrument (contingent claims), the amount by which the current market value of a derivative financial instrument exceeds the nominal contract value of that derivative financial instrument (contingent liabilities).

11. If there is no information, the Form shall be submitted without completing.

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

Report on pension assets under external management

Footnote. Annex 4 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 29.06.2023 № 42 (shall come into effect upon the expiration of ten calendar days after the day of its first official publication).

Form for administrative data index: 1-ENPF_A-VNESH

Frequency: monthly

Reporting period: as of " __ " _____ 20 __

Scope of persons providing information: unified accumulative pension fund

Deadline for submitting the form for administrative data: monthly, no later than the 7th (seventh) working day of the month following the reporting month, in the case of pension assets transferred to external management, no later than the 20th (twentieth) day of the month following the reporting month

Form

Table. Pension assets under external management

Pension assets formed at the expense of _____

№	Name of external manager of pension assets	Number and date of the trust management agreement	Estimated period for managing pension assets	Current value of pension assets under management (in tenge)	Note
1	2	3	4	5	6
	Total:				

Name _____

Address _____

Telephone _____

Email address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

The manager or person entrusted with the function of signing the report

last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20__

Annex
to the report form
on pension assets under
external management

**Explanation for completion of the form for administrative data
"Report on pension assets under external management" (index – 1-ENPF_A-VNESH,
frequency – monthly)**

Chapter 1. General provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on pension assets under external management" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out monthly by the unified pension fund as of the end of the reporting period. The data in the form shall be indicated in tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. From January 1, 2024, the form shall be submitted separately for pension assets formed from mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions and for pension assets formed from mandatory pension contributions from the employer.

The line "Pension assets formed on account" shall indicate information on pension assets formed depending on pension contributions: "mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions" and "mandatory pension contributions by the employer."

6. The form shall be submitted for assets under investment management of a foreign organization that carries out investment portfolio management activities in accordance with the legislation of a foreign state, meeting the requirements of the National Bank of the Republic of Kazakhstan, or transferred into trust management by an investment portfolio manager (hereinafter referred to as the Pension asset manager).

7. The form shall be filled out for each pension asset manager.

8. Column 4 shall indicate the period of management of pension assets under the agreement. If the agreement does not provide for a period for managing pension assets, then the sign "-" shall be indicated in column 4.

9. Column 5 shall indicate the current value of pension assets under management as of the reporting date.

10. If during the reporting period, the pension asset manager transfers the entire amount of pension assets to another manager, or returns them to the unified accumulative pension fund and terminates the contract, then columns 2, 3 and 4 shall indicate information about this pension asset manager on the last day of transfer of assets and liabilities and column 6 shall indicate information about the results of the transferred assets (the amount of pension assets and where this amount was transferred)

11. If information is missing, the form shall be submitted without completion.

Appendix 5
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

Form intended for collecting administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form intended for collecting administrative data free of charge is posted on the Internet resource: www.nationalbank.kz

Report on the volume of pension savings and the number of individual pension accounts (sub-accounts) of contributors (recipients)

Footnote. Appendix 5 is in the wording of the resolution of the Board of the National Bank of the Republic of Kazakhstan from 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

Index of the form intended for collecting administrative data free of charge: 1-ENPF_PV

Frequency: monthly

Reporting period: as of " __ " _____ 20 ____

The circle of persons submitting the form intended for collecting administrative data free of charge: the unified accumulative pension fund

Deadline for submitting the form intended for collecting administrative data free of charge: monthly, no later than the 7th (seventh) working day of the month following the reporting month

BIN: _____

Collection method: electronically

For pension savings under trust management

(name of the pension asset manager)

(in thousands of tenge)

Age of depositors (recipients)	Individual pension accounts (sub-accounts) of contributors (recipients)					
	for accounting of mandatory pension contributions					
	Men			Women		
	Number of individual pension accounts (sub-accounts) of contributors (recipients) with pension savings	Amount of pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) without pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) with pension savings	Amount of pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) without pension savings
1	2	3	4	5	6	7
up to 20 years						
21 years old						
22 years old						
23 years old						
24 years old						
25 years old						
26 years old						
27 years old						
28 years old						
29 years old						
30 years old						
31 years old						
32 years old						
33 years old						
34 years old						
35 years old						
36 years old						
37 years old						
38 years old						
39 years old						
40 years old						
41 years old						
42 years old						
43 years old						
44 years old						

45 years old						
46 years old						
47 years old						
48 years old						
49 years old						
50 years old						
51 years old						
52 years old						
53 years old						
54 years old						
55 years old						
56 years old						
57 years old						
58 years old						
59 years old						
60 years old						
61 years old						
62 years old						
63 years old						
64 years old						
65 years old						
66 years old						
67 years old						
68 years old						
69 years old						
70 years old						
71 years old						
72 years old						
73 years old						
74 years old						
75 years old						
76 years old						
77 years old						
78 years old						
79 years old						
80 years old						
81 years and older						
Total						

continuation of the table:

Individual pension accounts (sub-accounts) of contributors (recipients)
for the accounting of mandatory professional pension contributions

Men			Women		
Number of individual pension accounts (sub-accounts) of contributors (recipients) with pension savings	Amount of pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) without pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) with pension savings	Amount of pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) without pension savings
8	9	10	11	12	13

continuation of the table:

Individual pension accounts (sub-accounts) of contributors (recipients) on accounting of voluntary pension contributions					
Men			Women		
Number of individual pension accounts (sub-accounts) of contributors (recipients) with pension savings	Amount of pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) without pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) with pension savings	Amount of pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) without pension savings
14	15	16	17	18	19

continuation of the table:

Notional pension accounts of individuals for accounting of mandatory pension contributions of the employer			
Men		Women	
Number of notional pension accounts of individuals	Amount in notional pension accounts	Number of notional pension accounts of individuals	Amount in notional pension accounts
20	21	22	23

The amount of pension savings for unidentified contributors is _____ thousand tenge.

The amount of money in the reserve fund accounts is _____ thousand tenge.

Name _____

Address _____

Telephone _____

Email address _____

Performer _____

surname, name and patronymic (if any), signature, telephone

The manager or person assigned the function of signing the report

surname, name and patronymic (if any) signature

Date " _____ " _____ 20__

Note: the form is completed in accordance with the explanation for completing the form intended for collecting administrative data free of charge “Report on the volume of pension savings and the number of individual pension accounts (sub-accounts) of contributors (recipients)”.

Appendix
to the form
intended for collecting
administrative data free of charge
"Report on the volume of pension savings
and
the number of individual pension accounts
(sub-accounts) of contributors (recipients)
"

Explanation on completing the form intended for collecting administrative data free of charge “Report on the volume of pension savings and the number of individual pension accounts (sub-accounts) of contributors (recipients)” (index – 1-ENPF_PV, frequency – monthly) Chapter 1. General provisions

1. This explanation shall determine the unified requirements for completing the form intended for collecting administrative data free of charge, “Report on the volume of pension savings and the number of individual pension accounts (sub-accounts) of contributors (recipients)” (hereinafter - the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan “On the National Bank of the Republic of Kazakhstan” and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan “On State Statistics”.

3. The form is completed monthly by the unified accumulative pension fund separately for pension savings held in trust by the National Bank of the Republic of Kazakhstan and for pension savings held in trust by the investment portfolio manager, as of the end of the reporting period. The data in the form are indicated in thousands of tenge. An amount less than 500 (five hundred) tenge is rounded to 0 (zero), and an amount equal to 500 (five hundred) tenge and above is rounded to 1000 (one thousand) tenge.

4. The form is signed by the manager or the person assigned the function of signing the report, and the performer.

Chapter 2. Explanation on completing the Form

5. Columns 2, 5, 8, 11, 14 and 17 indicate the number of individual pension accounts of contributors (recipients) with pension savings held in trust by the National Bank of the Republic of Kazakhstan, and the number of sub-accounts of contributors (

recipients) opened as part of an individual pension account and intended to record pension savings transferred to the trust management of an investment portfolio manager, separately for men and women (in the relevant columns), broken down depending on the age of the contributor (recipient).

6. Columns 3, 6, 9, 12, 15 and 18 indicate the amount of pension savings in individual pension accounts of contributors (recipients) who have pension savings under the trust management of the National Bank of the Republic of Kazakhstan, and the amount of pension savings in sub-accounts of contributors (recipients) opened as part of an individual pension account and intended to record pension savings transferred to the trust management of an investment portfolio manager, separately for men and women (in the relevant columns), broken down depending on the age of the contributor (recipient).

7. Columns 4, 7, 10, 13, 16 and 19 indicate the number of individual pension accounts of contributors (recipients), excluding pension savings, held in trust by the National Bank of the Republic of Kazakhstan, and the number of sub-accounts of contributors (recipients), opened as part of an individual pension account and intended to record pension savings transferred to the trust management of an investment portfolio manager, excluding pension savings, separately for men and women, broken down depending on the age of the contributor (recipient).

8. Columns 20 and 22 indicate the number of notional pension accounts of individuals, with savings, held in trust by the National Bank of the Republic of Kazakhstan, separately for men and women, broken down depending on the age of the individual.

9. Columns 21 and 23 indicate the amount listed in the notional pension accounts.

10. The amount of pension savings for unidentified contributors and the amount of money in reserve fund accounts shall be indicated in the note to the Form provided in the information system.

11. If there is no information, the Form shall be submitted without completing.

Appendix 6
to the Resolution of the Board
of the National Bank of the Republic of
Kazakhstan
dated August 28, 2017 № 167

Report on the volume of mandatory employer pension contributions and the number of notional pension accounts of individuals

Footnote. Appendix 6 was excluded by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 № 10 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

	Name	classifier of administrative-territorial objects	ts) of contributors (recipients) with pension savings	Amount of pension savings	ts) of contributors (recipients) without pension savings	ts) of contributors (recipients) with pension savings	Amount of pension savings	ts) of contributors (recipients) without pension savings
1	2	3	4	5	6	7	8	9
	Region not specified							
	Total							

continuation of the table:

Individual pension accounts (sub-accounts) of contributors (recipients)			Notional pension accounts of individuals		
on accounting of voluntary pension contributions			for accounting of mandatory pension contributions of the employer		
Number of individual pension accounts (sub-accounts) of contributors (recipients) with pension savings	Amount of pension savings	Number of individual pension accounts (sub-accounts) of contributors (recipients) without pension savings	Number of conditional pension accounts of individuals with savings	Amount of savings	Number of conditional pension accounts of individuals without savings
10	11	12	13	14	15

The amount of pension savings for unidentified contributors is _____ thousand tenge.

The amount of money in the reserve fund accounts is _____ thousand tenge.

Name _____

Address _____

Telephone _____

Email address _____

Performer _____

surname, name and patronymic (if any) signature, telephone

Manager or person assigned the function of signing the report _____

surname, name and patronymic (if any) signature

Date " _____ " _____ 20__

Note: the form is completed in accordance with the explanation for completing the form intended for collecting administrative data free of charge "Report on the volume of pension savings and the number of individual pension accounts (sub-accounts) of contributors (recipients) by region of the Republic of Kazakhstan (by place of residence of the contributor (recipient)).

to the form
intended for collecting
administrative data free of charge
"Report on the volume of pension
savings and the number of individual
pension accounts (sub-accounts) of
depositors (recipients) by region of the
Republic of Kazakhstan (by place of
residence
of the depositor (recipient))"

Explanation on completing the form intended for collecting administrative data free of charge "Report on the volume of pension savings and the number of individual pension accounts (sub-accounts) of contributors (recipients) by region of the Republic of Kazakhstan (by place of residence of the contributor (recipient))" (index - 1-ENPF_PV_OBL, frequency - monthly) Chapter 1. General provisions

1. This explanation shall determine the unified requirements for completing the form intended for collecting administrative data free of charge, “Report on the volume of pension savings and the number of individual pension accounts (sub-accounts) of contributors (recipients) by region of the Republic of Kazakhstan (by place of residence of the contributor (recipient))” (hereinafter - the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan “On the National Bank of the Republic of Kazakhstan” and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan “On State Statistics”.

3. The form is completed monthly by the unified accumulative pension fund separately for pension savings held in trust by the National Bank of the Republic of Kazakhstan and for pension savings held in trust by the investment portfolio manager, as of the end of the reporting period. The data in the form are indicated in thousands of tenge. An amount less than 500 (five hundred) tenge is rounded to 0 (zero), and an amount equal to 500 (five hundred) tenge and above is rounded to 1000 (one thousand) tenge.

4. The form is signed by the manager or the person assigned the function of signing the report, and the performer.

Chapter 2. Explanation on completing the Form

5. Column 2 indicates the code of the region (city of republican significance) in accordance with the classifier of administrative-territorial objects (CATO), posted on the official Internet resource of the Bureau of National Statistics of the Agency for Strategic Planning and Reforms of the Republic of Kazakhstan.

6. Columns 4, 7 and 10 indicate the number of individual pension accounts of depositors (recipients) with pension savings held in trust by the National Bank of the Republic of Kazakhstan, and the number of sub-accounts of depositors (recipients) opened as part of an individual pension account and intended to record pension savings transferred to the trust management of an investment portfolio manager, broken down depending on the place of residence of the depositor (recipient).

7. Columns 5, 8 and 11 indicate the amount of pension savings in individual pension accounts of depositors (recipients) who have pension savings under the trust management of the National Bank of the Republic of Kazakhstan, and the amount of pension savings in sub-accounts of depositors (recipients) opened as part of an individual pension account and intended to record pension savings transferred to the trust management of an investment portfolio manager, broken down depending on the place of residence of the depositor (recipient).

8. Columns 6, 9 and 12 indicate the number of individual pension accounts of contributors (recipients), excluding pension savings, held in trust by the National Bank of the Republic of Kazakhstan, and the number of sub-accounts of contributors (recipients), opened as part of an individual pension account and intended to record pension savings transferred to the trust management of an investment portfolio manager, excluding pension savings, broken down depending on the place of residence of the contributor (recipient).

9. Columns 13 and 15 indicate the number of notional pension accounts of individuals, with and without savings, held in trust by the National Bank of the Republic of Kazakhstan, broken down depending on the place of residence of the individual.

10. Column 14 indicates the amount listed in the notional pension accounts.

11. The amount of pension savings for unidentified contributors and the amount of money in reserve fund accounts are indicated in the note to the Form provided in the information system.

12. If there is no information, the Form shall be submitted without completing.

Annex 7
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017
№ 167

Report on the volume of pension savings and the number of individual pension accounts of contributors (recipients) of voluntary pension contributions

101	mandatory pension contributions :						
102	according to the age						
	including the countries of the Eurasian Economic Union (hereinafter referred to as the EAEU):						
1021							
...							
103	on disability						
	including for the EAEU countries:						
1031							
...							
104	due to departure from the Republic of Kazakhstan						
105	to the heirs						
	including for the EAEU countries:						
1051							
...							
106	for burial						
107	other persons						
108	to improve living conditions						
109	to pay for treatment						
	due to:						
200	mandatory professional pension contributions :						

201	according to the age						
	including for the EAEU countries:						
2011							
...							
202	on disability						
	including for the EAEU countries:						
2021							
...							
203	due to departure from the Republic of Kazakhstan						
204	to the heirs						
	including for the EAEU countries:						
2041							
...							
205	for burial						
206	other persons						
207	to improve living conditions						
208	to pay for treatment						
	due to:						
300	voluntary pension contributions :						
301	upon reaching the age of fifty						
	including for the EAEU countries:						
3011							
...							
302	on disability						

	including for the EAEU countries:						
3021							
...							
303	due to departure from the Republic of Kazakhstan						
304	to the heirs						
	including for the EAEU countries:						
3041							
...							
305	for burial						
306	other persons						
400	transfer of pension savings to an insurance organization						
	due to:						
401	mandatory pension contributions :						
402	according to the age						
403	on disability						
404	when concluding a pension annuity agreement						
405	in case of insufficient pension savings due to mandatory professional pension contributions						
	due to:						
	mandatory professional pension						

500	contributions :						
501	according to the age						
502	on disability						
503	when concluding a pension annuity agreement						
504	in case of insufficient pension savings due to mandatory pension contributions						
	due to:						
600	voluntary pension contributions :						
601	according to the age						
602	on disability						
603	in case of insufficient pension savings due to mandatory pension contributions						
604	in case of insufficient pension savings due to mandatory professional pension contributions						
700	Other pension benefits						
1000	Total						

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20__

Annex
to the report form on pension
payments for mandatory pension
contributions,
mandatory professional pension
contributions,
voluntary pension contributions

Explanation for completion of the form for administrative data

"Report on pension payments for mandatory pension contributions, mandatory professional pension contributions, voluntary pension contributions" (index – 1-ENPF_Vyplaty, frequency – monthly)

Chapter 1. General provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on pension payments for mandatory pension contributions, mandatory professional pension contributions, voluntary pension contributions" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out monthly by the unified pension fund as of the end of the reporting period. The data in the form shall be indicated in thousands of tenge. An amount less than 500 (five hundred) tenge shall be rounded up to 0 (zero), and an amount equal to 500 (five hundred) tenge and above shall be rounded up to 1000 (thousand) tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. Column 3 shall indicate the number of contributors (recipients) from whose accounts payments have been made for the period since the beginning of the year (cumulative total).

6. Column 4 shall indicate the number of payments made to contributors (recipients) for the period since the beginning of the year (cumulative total). Information on the number of payments shall be reflected based on payments (transactions) made to contributors (recipients).

7. Column 5 shall indicate the amount of payments for the period since the beginning of the year (cumulative total).

8. Column 6 shall indicate the number of contributors (recipients) from whose accounts payments have been made for the same period of the previous year.

9. Column 7 shall indicate the number of payments made to contributors (recipients) for the same period of the previous year. Information on the number of payments shall be reflected based on payments (transactions) made to contributors (recipients).

10. Column 8 shall indicate the amount of payments for the same period of the previous year.

11. In lines with codes 405, 504, 603 and 604, the number of contributors (recipients) shall be reflected for reference and shall not be summed up in lines with codes 401, 500 and 600.

12. If information is missing, the form shall be submitted without completion.

Annex 8
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017
№ 167

Report on the volume of pension savings and the number of individual pension accounts of contributors (recipients) of mandatory professional pension contributions

Footnote. Annex 8 was excluded by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 22.02.2021 № 10 (shall come into effect ten calendar days after the day of its first official publication).

Annex 8
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017
№ 167

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

1011							
...							
102	on disability						
	including for the EAEU countries:						
1021							
...							
103	to the heirs						
	including for the EAEU countries:						
1031							
...							
104	Other pension payments						
	including for the EAEU countries:						
1041							
...							
1000	Total						

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

_____ last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20__

Annex
to the report form on the volume of
payments
of pensions and pension savings to
workers
(family members) of the member states
of the Eurasian Economic Union on the
territory
of the Republic of Kazakhstan

Explanation for completion of the form for administrative data

"Report on the volume of pension payments and pension savings to workers (family

members) of the member states

of the Eurasian Economic Union on the territory of the Republic of Kazakhstan" (index – 1-ENPF_Vyplaty_EEK, frequency – quarterly)

Chapter 1. General provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on the volume of payments of pensions and pension savings to workers (family members) of the member states of the Eurasian Economic Union on the territory of the Republic of Kazakhstan" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out quarterly by the unified pension fund as of the end of the reporting period. The data in the form shall be indicated in thousands of tenge. An amount less than 500 (five hundred) tenge shall be rounded up to 0 (zero), and an amount equal to 500 (five hundred) tenge and above shall be rounded up to 1000 (thousand) tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. Column 3 shall indicate the number of contributors (recipients) to whom payments have been made for the period since the beginning of the year (cumulative total).

6. Column 4 shall indicate the number of payments made to contributors (recipients) for the period since the beginning of the year (cumulative total). Information on the number of payments shall be reflected based on payments (transactions) made to contributors (recipients).

7. Column 5 shall indicate the amount of payments for the period since the beginning of the year (cumulative total).

8. Column 6 shall indicate the number of contributors (recipients) to whom payments have been made for the same period of the previous year.

9. Column 7 shall indicate the number of payments made to contributors (recipients) for the same period of the previous year. Information on the number of payments shall be reflected based on payments (transactions) made to contributors (recipients).

10. Column 8 shall indicate the amount of payments for the same period of the previous year.

11. If information is missing, the form shall be submitted without completion.

Appendix 9
to the Resolution of the Board
of the National Bank of the
Republic of Kazakhstan
dated August 28, 2017 № 167

Formintende for collecting administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form intended for collecting administrative data free of charge is posted on the Internet resource: www.nationalbank.kz

Report on securities acquired using own assets

Footnote. Appendix 9 is in the wording of the resolution of the Board of the National Bank of the Republic of Kazakhstan dated 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication)

Index of the form intended for collecting administrative data free of charge: 1-ENPF_CBSA

Frequency: monthly

Reporting period: as of " __ " _____ 20 ____

The circle of persons submitting the form intended for collecting administrative data free of charge: the unified accumulative pension fund

Deadline for submitting the form intended for collecting administrative data free of charge: monthly, no later than the 7th (seventh) working day of the month following the reporting month

BIN: _____

Collection method: electronically
(in thousands of tenge)

№	Name of the issuer	Issuer country	Type of security	Security identification number	Number of securities (pieces)		
					total	including encumbered securities and securities that are the subject of repo transactions	
						total	including securities that are the subject of repo transactions
1	2	3	4	5	6	7	8

1.	State securities of the Republic of Kazakhstan						
1.1.							
...							
2.	Non-state securities of organizations of the Republic of Kazakhstan						
2.1.	securities of second-tier banks						
2.1.1.							
...							
2.2.	securities of legal entities, with the exception of second-tier banks						
2.2.1.							
...							
3.	Securities of foreign countries						
3.1.							
...							
4.	Non-state securities of non-resident issuers of the Republic of Kazakhstan						
4.1.							
...							
5.	Securities of international financial organizations						
5.1.							
...							
6.	Mutual fund units						

6.1.							
...							
7.	Total						

continuation of the table:

Nominal value		Payment currency code	Purchase price per security	Period		Purchase price of a security
currency code	cost of one security			date of registration	maturity date	
9	10	11	12	13	14	15

continuation of the table:

Book value of securities						Security rating				
Total					including for encumbered securities and securities that are the subject of repo transactions		Reference : formed reserves (provisions)	Accountin g category	on the date of registratio n	as of the reporting date
total	discount, premium	accrued remunerat ion	positive (negative) adjustmen t	total	including securities that are the subject of repo transactio ns					
16	17	18	19	20	21	22	23	24	25	

Name _____

Address _____

Telephone _____

Email address _____

Performer _____

surname, name and patronymic (if any), signature, telephone

The manager or person assigned the function of signing the report

surname, name and patronymic (if any) signature

Date " _____ " _____ 20__

Note: the form is completed in accordance with the explanation for completing the form intended for collecting administrative data free of charge, "Report on securities acquired using own assets".

Appendix
to the form intended for collecting
administrative data free of charge
"Report on securities acquired using own
assets"

Explanation on completing the form intended for collecting administrative data free of charge “Report on securities acquired using own assets” (index – 1-ENPF_CBSA, frequency – monthly) Chapter 1. General provisions

1. This explanation shall determine the unified requirements for completing the form intended for collecting administrative data free of charge, “Report on securities acquired using own assets” (hereinafter- the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan “On the National Bank of the Republic of Kazakhstan” and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan “On State Statistics”.

3. The form is completed monthly by the unified accumulative pension fund as of the end of the reporting period. The data in the form are indicated in thousands of tenge . An amount less than 500 (five hundred) tenge is rounded to 0 (zero), and an amount equal to 500 (five hundred) tenge and above is rounded to 1000 (one thousand) tenge.

4. The form is signed by the manager or the person assigned the function of signing the report, and the performer.

Chapter 2. Explanation on completing the Form

5. The Form indicates the data on securities and rights of claim for the issuer's obligations under the issued securities. For depositary receipts, information on its underlying asset shall be indicated.

6. Columns 2 and 3 indicate the name of the issuer of the security and its country of residence.

7. Column 4 indicates the type of security acquired, indicating its type.

8. Column 5 indicates the international identification number (ISIN code) or other identifier of the security, in relation to the rights of claim for the issuer’s obligations under the securities whose circulation period has expired and the issuer has not fulfilled the obligations to repay them – the identifier of the rights of claim.

9. Column 6 indicates the number of securities purchased.

10. Columns 9 and 11 indicate currency codes in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 “Codes for the representation of currencies and funds”.

11. Column 10 indicates the monetary value of the bond, determined upon its issue, on which the interest on the coupon bond is accrued as a percentage, as well as the amount payable to the bondholder upon its redemption. The amount is indicated in the currency of the issue. Column 10 is completed for debt securities.

12. Column 12 indicates the price reflected in the primary document that confirms the transaction (stock exchange certificate, broker and/or dealer report, confirmation received via the international interbank system for transferring information and making payments SWIFT).

13. Column 13 indicates the date of initial recognition in accounting, in the format “dd.mm.yyyy”.

14. Column 14 indicates the maturity date of the debt securities, in the format “dd.mm.yyyy”.

15. Column 15 indicates the purchase price of the securities, including expenses directly related to the acquisition, including fees and commissions paid to agents, consultants, brokers (dealers), stock exchange fees, as well as bank transfer services, and reduced by the amount of interest paid by the buyer to the seller (if any).

16. Column 16 indicates the value of securities reflected in accounting.

17. Column 20 indicates the value of encumbered securities and securities that are the subject of repo transactions, in thousands of tenge, as indicated in accounting.

18. Column 21 indicates the value of the securities that are the subject of repo transactions, in thousands of tenge, as indicated in accounting.

19. Column 22 indicates the amount of reserves (provisions) formed in accordance with international financial reporting standards. The amount of reserves (provisions) is indicated in absolute terms with a plus sign.

20. Column 23 indicates the symbol as the category of the security: 1 – “available for sale”, 2 – “accounted for at fair value through profit or loss”, 3 – “held to maturity”.

21. When completing columns 24 and 25, the rating of the security for bonds, the issuer rating for shares, the country rating for state securities assigned by one of the rating agencies specified in paragraph 3 of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated December 24, 2012 № 385 "On establishing a minimum rating for legal entities and countries, the need for which is required in accordance with the legislation of the Republic of Kazakhstan regulating the activities of financial organizations, branches of non-resident banks of the Republic of Kazakhstan, branches of insurance (reinsurance) organizations non-residents of the Republic of Kazakhstan, the list of rating agencies assigning this rating", registered in the Register of state registration of regulatory legal acts under № 8318, shall be indicated. In the absence of a rating in columns 24 and 25, "no rating" shall be indicated. These columns shall not be completed for state securities of the Republic of Kazakhstan.

22. If there is no information, the Form shall be submitted without completing.

1.	Reverse repo operations						
1.1.	direct method						
1.1.1.							
...							
1.2.	automatic way						
1.2.1.							
...							
2.	Repo transactions						
2.1.	direct method						
2.1.1.							
...							
2.2.	automatic way						
2.2.1.							
...							

Table continuation:

Duration of operation in days	Remuneration rate	Book value	For reference : formed reserves	Security rating		Stock Exchange List Category	
				on the date of the transaction	at the reporting date	on the date of the transaction	at the reporting date
10	11	12	13	14	15	16	17

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20__

Annex
to the report form on "reverse repo"
and repo transactions performed
at the expense of own assets

Explanation for completion of the form for administrative data

"Report on "reverse repo" and repo transactions made at the expense of own assets" (index - 1-ENPF_REPO_SA, frequency - monthly)

Chapter 1. General provisions

1. This clarification shall define uniform requirements for filling in the form for administrative data "Report on reverse repo and repo transactions performed at the expense of own assets" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out monthly by the unified pension fund as of the end of the reporting period. The data in the form shall be indicated in thousands of tenge. An amount less than 500 (five hundred) tenge shall be rounded up to 0 (zero), and an amount equal to 500 (five hundred) tenge and above shall be rounded up to 1000 (thousand) tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. Column 4 shall indicate the type of security transferred and (or) acquired under repo and (or) "reverse repo" transactions, indicating its type.

6. Column 5 shall indicate the national identification number (NIN) international identification number (ISIN code) or other security identifier.

7. Column 6 shall indicate the number of securities transferred and (or) acquired under repo and (or) "reverse repo" transactions.

8. In column 7, currency codes shall be indicated in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 "Codes for representing currencies and funds."

9. When filling out columns 14 and 15, the security rating for bonds, the issuer rating for shares, and the country rating for government securities assigned by one of the rating agencies specified in paragraph 3 of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated December 24, 2012 № 385 shall be reflected. "On establishing a minimum rating for legal entities and countries, the need for which is required in accordance with the legislation of the Republic of Kazakhstan regulating the activities of financial organizations, branches of non-resident banks of the Republic of Kazakhstan, branches of non-resident insurance (reinsurance) organizations of the Republic of Kazakhstan, the list of rating agencies assigning this

rating", registered in the State Register of Normative Legal Acts under № 8318. In case of absence of rating, "no rating" shall be indicated in columns 14 and 15. These columns shall not be filled in for government securities of the Republic of Kazakhstan. Column 14 shall reflect the rating as of the date of initial recognition in accounting.

10. Columns 16 and 17 indicate the category of securities of residents of the Republic of Kazakhstan according to the official list of the stock exchange of the Republic of Kazakhstan. If there is no category of the list of the stock exchange of the Republic of Kazakhstan, "no listing" shall be indicated in columns 16 and 17. These columns shall not be filled in for securities of non-residents of the Republic of Kazakhstan and government securities of the Republic of Kazakhstan.

11. If information is missing, the form shall be submitted without completion.

Annex 11
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

**Report on the volume of pension savings
and the number of individual pension accounts of contributors (recipients)
of voluntary pension contributions by region of the Republic of Kazakhstan
(at the place of residence of the contributor (recipient))**

Footnote. Annex 11 was excluded by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 02.22.2021 № 10 (shall come into effect ten calendar days after the day of its first official publication).

Annex 11
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

Report on deposits, cash and cash equivalents placed at the expense of own assets

Footnote. Annex 17 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated June 29, 2023 ; 42 (shall come into effect upon the expiration of ten calendar days after the day of its first official publication).

Form for administrative data index: 1-ENPF_Vklady_SA

Frequency: monthly

7.	Demand deposits						
7.1.							
...							
8.	Time deposits in second-tier banks of the Republic of Kazakhstan						
8.1.							
...							
9.	Conditional deposits						
9.1.							
...							
10.	Time deposits in non-resident organizations						
10.1.							
...							
11.	Deposits, total						

Table continuation:

The interest rate on deposit (in percent per annum)		Amount deposited		Book value		For reference : formed reserves (provisions)	Note
nominal	effective	in tenge	in foreign currency	Total	including accrued interest on the deposit		
9	10	11	12	13	14	15	16

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

_____ Signature

Date " _____ " _____ 20__

Explanation for completion of the form for administrative data

"Report on deposits, money and cash equivalents placed at the expense of own assets" (index – 1-ENPF_Vklady_SA, frequency – monthly)

Chapter 1. General provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on deposits, cash and cash equivalents placed at the expense of own assets" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out monthly by the unified pension fund as of the end of the reporting period. The data in the form shall be indicated in thousands of tenge. An amount less than 500 (five hundred) tenge shall be rounded up to 0 (zero), and an amount equal to 500 (five hundred) tenge and above shall be rounded up to 1000 (thousand) tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. When filling out columns 3 and 4, the following shall be indicated: the rating of the bank or organization assigned by one of the rating agencies specified in paragraph 3 of the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated December 24, 2012, № 385 "On establishing a minimum rating for legal entities and countries, the need for which required in accordance with the legislation of the Republic of Kazakhstan regulating the activities of financial organizations, branches of non-resident banks of the Republic of Kazakhstan, branches of non-resident insurance (reinsurance) organizations of the Republic of Kazakhstan, the list of rating agencies assigning this rating", registered in the State Register of Normative Legal Acts under № 8318. In case of absence of rating, columns 4 and 5 shall indicate "no rating." These columns shall not be filled in for the National Bank of the Republic of Kazakhstan.

6. Column 5 shall indicate currency codes in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 "Codes for representing currencies and funds".

7. In columns 5 and 13, lines 1, 2, 3, 4, 5 and 6 shall be filled in.

8. Column 8 shall indicate the term of the deposit under the bank deposit agreement ; when extending the deposit, the term shall be indicated taking into account the extension.

9. Columns 11 and 12 indicate the amount of placement of own assets into the deposit. If assets are placed on deposit in tenge, column 11 shall be filled in. If assets are placed on deposit in foreign currency, column 12 shall be filled in, while the equivalent in tenge shall be reflected in column 11. Column 11 shall be filled in in thousands of tenge, and column 12 in thousands of foreign currency units.

10. The form shall be drawn up indicating the amount of deposits and money separately for each currency, bank and organization, as well as for each account and deposit.

11. If information is missing, the form shall be submitted without completion.

Annex 12
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

**Report on the volume of pension savings
and the number of individual pension accounts of contributors (recipients)
of mandatory professional pension contributions by region of the Republic of Kazakhstan
(at the place of residence of the contributor (recipient))**

Footnote. Annex 12 was excluded by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 02.22.2021 № 10 (shall come into effect ten calendar days after the day of its first official publication).

Annex 12
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

Report on investments in the capital of other legal entities

Footnote. Annex 18 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 06.29.2023 № 42 (shall come into effect upon the expiration of ten calendar days after the day of its first official publication).

Form for administrative data index: 1-ENPF_IKDU

Frequency: monthly

Reporting period: as of " __ " _____ 20 ____

Scope of persons providing information: unified pension savings fund

Deadline for submitting the administrative data form: monthly, no later than the 7th (seventh) working day of the month following the reporting month

Form

Table. Investments in the capital of other legal entities

(in thousands of tenge)

№	Name of the legal entity	Purchase price	Book value		Share in the authorized capital (in percent)	Date of purchase	Note
			Total	including accrued dividends			
1	2	3	4	5	6	7	8

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20 ____

Annex
to the report form on investments
in the capital of other legal entities

Explanation for completion of the form for administrative data

"Report on investments in the capital of other legal entities" (index – 1-ENPF_IKDU, frequency – monthly)

Chapter 1. General provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on investments in the capital of other legal entities" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out monthly by the unified pension fund as of the end of the reporting period. Data in the form shall be filled in thousands of tenge. An amount less than 500 (five hundred) tenge shall be rounded up to 0 (zero), and an amount equal to 500 (five hundred) tenge and above shall be rounded up to 1000 (thousand) tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. The form shall reflect information on the amount of investment of the unified accumulative pension fund in the capital of associated organizations, as well as other legal entities.

6. Column 3 shall reflect the purchase price of the shares as of the date of acquisition.

7. Column 4 shall indicate the book value of investments in the capital of other legal entities, reflected in the accounting records.

8. Column 5 shall indicate the amount of dividends accrued on investments in the capital of other legal entities.

9. Column 7 shall reflect the date of initial recognition in accounting.

10. If information is missing, the form shall be submitted without completion.

Appendix 13
to the resolution of the
Board of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

Form intended for collecting administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form intended for collecting administrative data free of charge is posted on the Internet resource: www.nationalbank.kz

Report on completed transactions for investing own assets

Footnote. Appendix 13 is in the wording of the resolution of the Board of the National Bank of the Republic of Kazakhstan from 2 4.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication)

Index of the form intended for collecting administrative data free of charge: 1-ENP
F_DEALINGS_SA

Frequency: monthly

Reporting period: as of " __ " _____ 20 ____

The circle of persons submitting the form intended for collecting administrative data free of charge: the unified accumulative pension fund

Deadline for submitting the form intended for collecting administrative data free of charge: monthly, no later than the 7th (seventh) working day of the month following the reporting month

BIN: _____

Collection method: electronically

Table 1. Securities acquired using own assets
(in tenge)

№	Date of transaction conclusion (registration of operation)	Set date for settlement of the transaction	Actual settlement date for the transaction	Name of the broker and/or dealer	Type of transaction	Market
1	2	3	4	5	6	7

continuation of the table:

Type of security and name of its issuer	Security identification number	Currency code of nominal value	The nominal value of one security	Number of securities	Payment currency code	Purchase (sale) price for one security
8	9	10	11	12	13	14

continuation of the table:

Minimum price for one security on the date of the transaction	The maximum price for one security on the date of the transaction	The market price for one security on the date of the transaction	Income on securities (in percent)	Transaction amount	Name of the counterparty	Counterpartner rating
15	16	17	18	19	20	21

Table 2. Deposits in the National Bank of the Republic of Kazakhstan and in second-tier banks

(in tenge)

№	Date of money transfer	Name of the bank	Deposit operations	Operation amount	Date of conclusion and number of the bank deposit agreement	Deposit term (in days)	Interest rate (in percent per annum)	Deposit currency code	Deposit amount
1	2	3	4	5	6	7	8	9	10

Table 3. Refined precious metals acquired from own assets
(in tenge)

№	Date of transaction	Counterparty name	Payment for services	Type of transaction	A type of refined precious metal	Transaction volume (units)	Payment currency code	Purchase price per unit	Transaction amount
---	---------------------	-------------------	----------------------	---------------------	----------------------------------	----------------------------	-----------------------	-------------------------	--------------------

1	2	3	4	5	6	7	8	9	10
---	---	---	---	---	---	---	---	---	----

Table 4. Derivative financial instruments acquired using own assets
(in tenge)

№	Transaction date	Name of the broker and/or dealer	Date of registration of financial instruments	Settlement date for the transaction	Type of derivative financial instrument	Security identification number	Market	Underlying asset and its rating	Counterparty and its rating
1	2	3	4	5	6	7	8	9	10

continuation of the table:

Description of the terms of the transaction					Hedging object	Investment decision number and date	Variation margin on the date of the transaction, tenge	Initial margin on the date of the transaction, percent	Trading mode	Note
Type of transaction	Number of financial instruments, pieces	Transaction price, tenge	Transaction amount, thousand tenge	Transaction currency code						
11	12	13	14	15	16	17	18	19	20	21

Name _____

Address _____

Telephone _____

Email address _____

Performer _____

surname, name and patronymic (if any) signature, telephone

Manager or person assigned the function of signing the report _____

surname, name and patronymic (if any) signature

Date "_____" "_____" 20__

Note: the form is completed in accordance with the explanation for completing the form intended for collecting administrative data free of charge, "Report on completed transactions for investing own assets".

Appendix
to the form intended for collecting
administrative data free of charge
"Report on completed transactions
for investing own assets"

Explanation on completing the form intended for collecting administrative data free of charge "Report on completed transactions for investing own assets" (index – 1-ENPF_DEALINGS_SA, frequency – monthly) Chapter 1. General provisions

1. This explanation shall determine the unified requirements for completing the form intended for collecting administrative data free of charge, “Report on completed transactions for investing own assets” (hereinafter - the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan “On the National Bank of the Republic of Kazakhstan” and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan “On State Statistics”.

3. The form is completed monthly by the unified accumulative pension fund for the reporting period (month). The data in the form are indicated in tenge.

4. The form is signed by the manager or the person assigned the function of signing the report, and the performer.

Chapter 2. Explanation on completing the Form

5. According to Table 1:

1) column 6 indicates the type of transaction (purchase, sale, redemption, coupon redemption, dividend payment, “reverse repo” operation – opening (closing), etc.);

2) column 7 indicates the organizer of the trades in whose trading system the transaction was carried out, or that the transaction was carried out on an unorganized market;

3) column 8 indicates the name of the issuer and the type of securities admitted to trading on the trading platforms of the organizers of securities trading;

4) column 9 indicates the international identification number (ISIN code) or other identifier of the security;

5) columns 10 and 13 indicate currency codes in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 “Codes for the representation of currencies and funds”;

6) Column 14 indicates the price in the payment currency with an accuracy of up to four decimal places, reflected in the primary document that confirms the transaction (stock exchange certificate, broker and/or dealer report, confirmation received via the international interbank system for transferring information and making payments SWIFT), taking into account the remuneration paid to the seller. In the absence of a price expressed in the currency in the primary document, the price expressed as a percentage of the nominal value shall be indicated;

7) columns 15 and 16 indicate prices for transactions for the purchase (sale) of shares (depository receipts) concluded on international (foreign) stock exchanges on which the given financial instrument is traded, according to data from the Bloomberg or REUTERS information and analytical systems in the currency of the nominal value;

8) column 18 indicates the yield on securities as a percentage (for a bond transaction – the yield resulting from the alienation or acquisition in the trading system

of the organizer of securities trading; for reverse repo transactions – the yield resulting from the execution of a transaction in the automatic repo sector);

9) column 19 indicates the amount with an accuracy of two decimal places;

10) columns 20 and 21 are completed for transactions concluded on international (foreign) securities markets.

6. According to Table 2:

1) column 2 in the case of making a deposit indicates the date of transfer of money from the investment account of the unified accumulative pension fund to the current account in the National Bank of the Republic of Kazakhstan or a second-tier bank, or the date of early return, or in the case of termination of the agreement - the date of return of money to the investment account;

2) column 4 indicates transactions on the deposit (depositing money into the deposit, payment of interest on the deposit, early return of the deposit or return of the deposit upon expiration of the bank deposit agreement);

3) column 10 indicates the amount with an accuracy of two decimal places.

7. According to Table 3:

1) column 2 indicates the date of the transaction (trade date);

2) column 5 indicates the type of transaction (purchase, sale, etc.);

3) column 6 indicates the names of the types of refined precious metals;

4) column 8 indicates currency codes in accordance with the national classifier of the Republic of Kazakhstan NK RK 07 ISO 4217 “Codes for the representation of currencies and funds”;

5) column 10 indicates the amount with an accuracy of two decimal places.

8. According to Table 4:

1) column 2 indicates the date of the transaction in the format “dd.mm.yyyy”;

2) column 4 indicates the date of initial recognition of financial instruments in accounting in the format “dd.mm.yyyy”;

3) column 5 indicates the settlement date for the transaction in the format “dd.mm.yyyy”;

4) column 6 indicates the type of derivative financial instrument (option, futures, forward, swap and other derivative financial instruments);

5) column 7 indicates the international identification number (ISIN code) or other identifier of the security if the underlying asset of the derivative financial instrument is a security;

6) column 8 indicates the name of the trading organizer in whose trading system the transaction was carried out and its country of residence in the format “name of the stock exchange (country)” or the fact that the transaction was not carried out on a stock exchange in the format “unorganized market”;

7) column 9 indicates the underlying asset of the derivative financial instrument (name of the security and its issuer, currency, interest rate, commodity and other underlying assets) and the rating of the underlying asset assigned by the rating agency (if any) in the format “underlying asset (rating) (rating agency)”. If the underlying asset has no ratings, then the underlying asset and an indication that there is no rating in the format “underlying asset (no rating)” shall be indicated;

8) column 10 indicates the counterparty, its country of residence, and the rating assigned to this counterparty in the format “counterparty/country/rating (rating agency) ” if the transaction is not concluded on a stock exchange. If the counterparty does not have a rating, the information is indicated in the format “counterparty/country/no rating ”;

9) column 11 indicates the type of transaction (purchase, sale, etc.);

10) column 16 indicates the words “yes” and the details of the hedging object (international identification number (ISIN code) or other security identifier, quantity, cost, volume, currency) in the format “yes/details of the hedging object” if the transaction is concluded for the purpose of hedging. If the transaction is not concluded for the purpose of hedging, the word “no” is indicated;

11) column 17 indicates the number and date of the investment decision on the transaction by the investment committee;

12) column 18 indicates the variation margin if available – the monetary expression of the change in the obligations of the trading participant, calculated by the stock exchange and taking into account the change in the quotation of the futures contract;

13) column 19 indicates the initial margin if available – a share of the total market value of the underlying asset, determined by the stock exchange, which the client must contribute for each open position;

14) column 20 indicates the trading mode in the format T+0 or T+n, or describes another trading mode provided for by the rules of the stock exchange;

15) column 21 indicates the conditions for the emergence of claims and obligations of the parties to the transaction.

9. If there is no information, the Form shall be submitted without completing.

Appendix 14
to the resolution of the
Board of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

Form intended for collecting administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form intended for collecting administrative data free of charge is posted on the Internet resource: www.nationalbank.kz

Report on financial instruments of defaulting issuers acquired using pension assets

Footnote. Appendix 14 is in the wording of resolution of the Board of the National Bank of the Republic of Kazakhstan from 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

Index of the form intended for collecting administrative data free of charge: 1-ENPF_DEFAULT_PA

Frequency: quarterly

Reporting period: as of " __ " _____ 20 __

The circle of persons submitting the form intended for collecting administrative data free of charge: the unified accumulative pension fund

Deadline for submitting the form intended for collecting administrative data free of charge: quarterly, no later than the 7th (seventh) working day of the month following the reporting quarter

BIN: _____

Collection method: electronically

Pension assets formed at the expense of _____

(in tenge)

№	Name of the issuer	Type of security or deposit agreement number	Security identification number	Claim ID	Number of securities (pieces)	Maturity date	Date of de-recognition
1	2	3	4	5	6	7	8
	Total						

continuation of the table:

Amount of debt				Total debt	Type of settlement and amounts of debt
on the principal debt	by remuneration	penalty on principal debt	penalty on remuneration		
9	10	11	12	13	14

Name _____

Address _____

Telephone _____

Email address _____

Performer _____

surname, name and patronymic (if any), signature, telephone

The manager or person assigned the function of signing the report

surname, name and patronymic (if any) signature

Date " _____ " _____ 20 __

Note: the form is completed in accordance with the explanation for completing the form intended for collecting administrative data free of charge “Report on financial instruments of defaulting issuers acquired using pension assets”.

Appendix
to the form intended for
collecting administrative data
free of charge "Report on financial
Instruments of defaulting issuers
purchased using pension assets"

Explanation on completing the form intended for collecting administrative data free of charge “Report on financial instruments of defaulting issuers acquired using pension assets” (index – 1-ENPF_DEFAULT_PA, frequency – quarterly) Chapter 1. General provisions

1. This explanation shall determine the unified requirements for completing the form intended for collecting administrative data free of charge, “Report on financial instruments of defaulting issuers acquired using pension assets” (hereinafter - the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan “On the National Bank of the Republic of Kazakhstan” and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan “On State Statistics”.

3. The form is completed quarterly by the unified accumulative pension fund as of the end of the reporting period. The data in the form are indicated in tenge.

4. The form is signed by the manager or the person assigned the function of signing the report, and the performer.

Chapter 2. Explanation on completing the Form

5. The form is presented separately for pension assets formed from mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions, and for pension assets formed from mandatory pension contributions of the employer.

The line “Pension assets formed at the expense of” indicates information on pension assets formed depending on pension contributions: “mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions” or “mandatory pension contributions of the employer”.

6. Column 3 indicates the type of security acquired, indicating its type or deposit agreement number.

7. Column 4 indicates the international identification number (ISIN code) or other identifier of the security.

8. Column 5 indicates the identifier of the right of claim, if any.

9. Column 6 indicates the number of securities purchased.
10. Column 7 indicates the maturity date of the financial instrument.
11. Column 8 reflects the date of de-recognition of the financial instrument in accounting.
12. Column 13 is the sum of columns 9, 10, 11 and 12.
13. Column 14 indicates the type of debt settlement: rehabilitation (restructuring, bankruptcy, enforcement proceedings, out-of-court settlement), as well as the amounts of debt determined by a court decision, in accordance with concluded debt repayment agreements, recognized in the register of creditors' claims.
14. If there is no information, the Form shall be submitted without completing.

Annex 15
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

Report on the cost of one conventional unit of pension assets formed from mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions

Footnote. The Resolution has been supplemented with Annex 20-1 in accordance with the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated March 19, 2020 № 34 (shall come into effect upon the expiration of ten calendar days after the day of its first official publication); as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated June 29, 2023 № 42 (shall come into effect upon the expiration of ten calendar days after the day of its first official publication).

Form for administrative data index: 1-ENPF_UEA

Frequency: monthly

Reporting period: as of " __ " _____ 20 ____

Scope of persons providing information: unified accumulative pension fund

Deadline for submitting the administrative data form: monthly, no later than the 7th (seventh) working day of the month following the reporting month

Form

Table. The cost of one conventional unit of pension assets formed from mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions

Pension assets held in trust _____
(in tenge)

Date	Pension contributions	Transfers from voluntary savings pension funds, trust management from investment portfolio managers and the National Bank of the Republic of Kazakhstan	Penalty received for late transfer of pension contributions and for late investment of pension assets	Payments and transfers, withdrawals for improving housing conditions and (or) payment for treatment, including transfers to the trust management of the investment portfolio manager and the National Bank of the Republic of Kazakhstan	Obligations to return pension contributions and (or) penalties received for late transfer of pension contributions
1	2	3	4	5	6

Table continuation:

Retained earnings (uncovered loss)	Current value of "net" pension assets	Number of conventional units	Cost of one conventional unit of pension assets	Commission from pension assets	Commission on investment income (loss)	Investment income (loss) on pension assets accrued per day
7	8	9	10	11	12	13

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20____

Annex
to the report form on the cost of one
conventional
unit of pension assets formed from
mandatory
pension contributions, mandatory

Explanation for completion of the form for administrative data

"Report on the value of one conventional unit of pension assets formed through mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions" (index – 1-ENPF_UEA, frequency – monthly)

Chapter 1. General provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on the value of one conventional unit of pension assets formed from mandatory pension contributions, mandatory professional pension contributions and voluntary pension contributions" (hereinafter referred to as the Form)

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out monthly by the unified pension savings fund separately for pension assets under trust management of the National Bank of the Republic of Kazakhstan, and for pension assets under trust management of the investment portfolio manager. The data in the form shall be indicated in tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. Column 1 shall indicate the date in the format " dd.mm.yyyy ".

6. Column 7 shall indicate the amount of retained profit (uncovered loss) at the end of the first working day of the week and at the end of the last calendar day of the month, to be included in the calculation of the cost of one conventional unit of pension assets, in the manner established by the legislation of the Republic of Kazakhstan on accounting and financial reporting.

7. Column 9 shall indicate the number of conventional units with an accuracy of three decimal places.

8. Column 10 shall indicate the cost of one conventional unit of pension assets with an accuracy of seven decimal places.

9. Columns 11, 12 and 13 shall be filled in for reference.

10. If information is missing, the form shall be submitted without completion.

Appendix 16
to the resolution of the Board
of the National Bank of the Republic
of Kazakhstan dated August 28, 2017 №
167

Form intended for collecting administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form intended for collecting administrative data free of charge is posted on the Internet resource: www.nationalbank.kz

Report of the value of one notional unit of contingent pension liabilities

Footnote. Appendix 16 is in the wording of the resolution of the Board of the National Bank of the Republic of Kazakhstan dated 24.12.2024 № 78 (shall be enforced upon expiry of ten calendar days after the date of its first official publication)

Index of the form intended for collecting administrative data free of charge: 1-ENPF_UEO

Frequency: monthly

Reporting period: as of " __ " _____ 20 __

The circle of persons submitting the form intended for collecting administrative data free of charge: the unified accumulative pension fund

Deadline for submitting the form intended for collecting administrative data free of charge: monthly, no later than the 7th (seventh) working day of the month following the reporting month

BIN: _____

Collection method: electronically
(in tenge)

Date	Pension contributions received	Penalty for late transfer of pension contributions	Payments accrued	Liabilities to return pension contributions and (or) penalties received for late transfer of pension contributions
1	2	3	4	5

continuation of the table:

Commission from investment income	Present value of contingent pension liabilities	Number of notional units	The cost of one notional unit of contingent pension liabilities	Investment income on contingent pension liabilities accrued per day	Retained earnings (uncovered loss)

6	7	8	9	10	11
---	---	---	---	----	----

Name _____

Address _____

Telephone _____

Email address _____

Performer _____

surname, name and patronymic (if any), signature, telephone

The manager or person assigned the function of signing the report

 surname, name and patronymic (if any) signature

Date " _____ " _____ 20__

Note: the form is completed in accordance with the explanation for completing the form intended for collecting administrative data free of charge, "Report on the cost of one notional unit of contingent pension liabilities".

Appendix
 to the form intended for collecting
 administrative data free of charge
 "Report on the cost of one notional unit
 of contingent pension liabilities"

Explanation on completing the form intended for collecting administrative data free of charge "Report on the cost of one notional unit of contingent pension liabilities" (index – 1-ENPF_UEO, frequency – monthly) Chapter 1. General provisions

1. This explanation shall determine the unified requirements for completing the form intended for collecting administrative data free of charge, "Report on the cost of one notional unit of contingent pension liabilities" (hereinafter - the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form is completed monthly by the unified accumulative pension fund. The data in the form are indicated in tenge.

4. The form is signed by the manager or the person assigned the function of signing the report, and the performer.

Chapter 2. Explanation on completing the Form

5. Column 1 indicates the date in the format "dd.mm.yyyy" .

6. Column 8 indicates the number of notional units with an accuracy of up to three decimal places.

7. Column 9 indicates the value of one notional unit of contingent pension liabilities with an accuracy of up to seven decimal places.

8. If there is no information, the Form shall be submitted without completing.

Annex 17
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

Report on assets and liabilities classified by economic sectors (according to the assets of the unified accumulative pension fund)

Footnote. The Resolution has been supplemented with Annex 17 in accordance with the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 29.06.2023 № 42 (shall come into effect upon the expiration of ten calendar days after the day of its first official publication).

Form for administrative data index: 1-ENPF-AL(OA)

Frequency: quarterly

Reporting period: as of " __ " _____ 20 __

Scope of persons presenting information: unified accumulative pension fund

Deadline for submitting the form for administrative data: quarterly, no later than 25 (twenty-fifth) the day of the month following the reporting quarter

Form

Table 1. Assets

(in thousands of tenge)

Line code	Indicator name	Total (at the end of the reporting period)	including	
			in national currency	in foreign currency
1	2	3	4	5
1	Cash and cash equivalents			
1.15.01	Money in the till			
1.15.02	Money in transit			
1.14.03	Money in current accounts with other			

	contributory institutions			
1.15.04	Money in current accounts with other financial institutions			
1.20.05	Money in current accounts with non-residents			
1.14.06	Money in savings accounts at other contributory institutions			
1.15.07	Money in savings accounts at other financial institutions			
1.20.08	Money in savings accounts of non-residents			
1.14.09	Other money in other contributory institutions			
1.15.10	Other money in other financial institutions			
1.16.11	Other money in government non-financial organizations			
1.17.12	Other money in non-governmental non-financial organizations			
1.20.13	Other money from non-residents			
2	Refined precious metals			
2.14.01	Refined precious metals in other contributory institutions			
2.15.02	Refined precious metals in transit			
2.14.03	Refined precious metals placed in metal accounts in other contributory institutions			
3	Deposits placed			
	Deposits placed with the National Bank of			

3.13.01	the Republic of Kazakhstan			
3.14.02	Short-term deposits placed overnight in other contributory institutions			
3.15.03	Short-term deposits placed overnight in other financial institutions			
3.20.04	Short-term deposits placed with non-residents for one night			
3.14.05	Short-term demand deposits placed with other contributory institutions			
3.15.06	Short-term demand deposits placed with other financial institutions			
3.20.07	Short-term demand deposits placed with non-residents			
3.14.08	Short-term deposits placed with other contributory institutions			
3.15.09	Short-term deposits placed in other financial institutions			
3.20.10	Short-term deposits placed with non-residents			
3.14.11	Short-term conditional deposits placed with other contributory institutions			
3.15.12	Short-term conditional deposits placed with other financial institutions			
3.20.13	Short-term conditional deposits placed with non-residents			
	Long-term deposits placed with other			

3.14.14	contributory institutions			
3.15.15	Long-term deposits placed in other financial institutions			
3.20.16	Long-term deposits placed with non-residents			
3.14.17	Long-term conditional deposits placed with other contributory institutions			
3.15.18	Long-term conditional deposits placed in other financial institutions			
3.20.19	Long-term conditional deposits placed with non-residents			
3.1	Less: provision for depreciation			
4	Securities measured at fair value through profit or loss			
4.11.01	Securities issued by the Government of the Republic of Kazakhstan			
4.12.02	Securities issued by regional and local governments			
4.13.03	Securities issued by the National Bank of the Republic of Kazakhstan			
4.14.04	Securities issued by other contributory institutions, including			
4.14.04.01	Equity securities			
4.14.04.02	Debt securities			
4.15.05	Securities issued by other financial institutions, including			
4.15.05.01	Equity securities			
4.15.05.02	Debt securities			
	Securities issued by government			

4.16.06	non-financial organizations, including			
4.16.06.01	Equity securities			
4.16.06.02	Debt securities			
4.17.07	Securities issued by non-governmental non-financial organizations, including			
4.17.07.01	Equity securities			
4.17.07.02	Debt securities			
4.18.08	Securities issued by non-profit organizations serving households, including			
4.18.08.01	Equity securities			
4.18.08.02	Debt securities			
4.20.09	Securities issued by non-residents, including			
4.20.09.01	Equity securities			
4.20.09.02	Debt securities			
5	Derivatives			
5.11.01	Transactions with derivative financial instruments with the Government of the Republic of Kazakhstan			
5.12.02	Transactions with derivative financial instruments with regional and local governments			
5.13.03	Transactions with derivative financial instruments with the National Bank of the Republic of Kazakhstan			
5.14.04	Transactions with derivative financial instruments with other contributory institutions			
5.15.05	Derivative transactions with			

	other financial institutions			
5.16.06	Transactions with derivative financial instruments with government non-financial organizations			
5.17.07	Transactions with derivative financial instruments with non-governmental non-financial organizations			
5.18.08	Transactions in financial derivatives with non-profit institutions serving households			
5.19.09	Transactions in derivative financial instruments with households			
5.20.10	Transactions with derivative financial instruments with non-residents			
6	Securities carried at fair value through other comprehensive income			
6.11.01	Securities issued by the Government of the Republic of Kazakhstan			
6.12.02	Securities issued by regional and local governments			
6.13.03	Securities issued by the National Bank of the Republic of Kazakhstan			
6.14.04	Securities issued by other contributory institutions, including			
6.14.04.01	Equity securities			
6.14.04.02	Debt securities			
6.15.05	Securities issued by other financial institutions, including			

6.15.05.01	Equity securities			
6.15.05.02	Debt securities			
6.16.06	Securities issued by government non-financial organizations, including			
6.16.06.01	Equity securities			
6.16.06.02	Debt securities			
6.17.07	Securities issued by non-governmental non-financial organizations, including			
6.17.07.01	Equity securities			
6.17.07.02	Debt securities			
6.18.08	Securities issued by non-profit organizations serving households, including			
6.18.08.01	Equity securities			
6.18.08.02	Debt securities			
6.20.09	Securities issued by non-residents, including			
6.18.09.01	Equity securities			
6.18.09.02	Debt securities			
6.1	Less: provision for depreciation			
7	Reverse repo operations			
7.11.01	"Reverse repo" operations with the Government of the Republic of Kazakhstan			
7.13.02	"Reverse repo" operations with the National Bank of the Republic of Kazakhstan			
7.14.03	Reverse repo transactions with other contributory institutions			
7.15.04	Reverse repo transactions with			

	other financial institutions			
7.16.05	Reverse repo transactions with government non-financial organizations			
7.17.06	Reverse repo operations with non-governmental non-financial organizations			
7.18.07	Reverse repo transactions with non-profit organizations serving households			
7.19.08	Reverse repo transactions with households			
7.20.09	Reverse repo operations with non-residents			
8	Advances issued			
8.11.01	Advances issued to the Government of the Republic of Kazakhstan for the supply of property, performance of work and provision of services			
8.12.02	Advances issued by regional and local governments for the supply of property, performance of work and provision of services			
8.14.03	Advances issued to other contributory organizations for the supply of property, performance of work and provision of services			
8.15.04	Advances issued to other financial organizations for the supply of property, performance of work			

	and provision of services			
8.16.05	Advances issued to government non-financial organizations for the supply of property, performance of work and provision of services			
8.17.06	Advances issued to non-governmental non-financial organizations for the supply of property, performance of work and provision of services			
8.18.07	Advances issued to non-profit organizations serving households for the supply of property, performance of work and provision of services			
8.19.08	Advances issued to households for the supply of property, performance of work and provision of services			
8.20.09	Advances issued to non-residents for the supply of property, performance of work and provision of services			
8.11.10	Other advances issued to the Government of the Republic of Kazakhstan			
8.12.11	Other advances issued by regional and local governments			
8.14.12	Other advances issued to other contributory institutions			

8.15.13	Other advances issued to other financial institutions			
8.16.14	Other advances issued to government non-financial organizations			
8.17.15	Other advances issued to non-governmental non-financial organizations			
8.18.16	Other advances issued to non-profit organizations serving households			
8.19.17	Other advances issued to households			
8.20.18	Other advances issued to non-residents			
9	Future expenses			
10	Commissions			
10.19.01	Accrued commission income (losses) from investment income			
10.19.02	Accrued commission income from pension assets			
11	Reserves			
12	Securities carried at amortized cost			
12.11.01	Securities carried at amortized cost issued by the Government of the Republic of Kazakhstan			
12.12.02	Securities carried at amortized cost issued by regional and local governments			
12.13.03	Securities carried at amortized cost issued by the National Bank of the Republic of Kazakhstan			
12.14.04	Securities carried at amortized cost issued			

	by other contributory institutions			
12.15.05	Securities carried at amortized cost issued by other financial institutions			
12.16.06	Securities carried at amortized cost issued by government non-financial organizations			
12.17.07	Securities carried at amortized cost issued by non-governmental non-financial organizations			
12.18.08	Securities carried at amortized cost issued by non-profit organizations serving households			
12.20.09	Securities carried at amortized cost issued by non-residents			
12.1	Less: provision for depreciation			
13	Investment property			
14	Investments in the capital of other legal entities			
14.14.01	Investments in the capital of other contributory institutions			
14.15.02	Investments in the capital of other financial organizations			
14.16.03	Investments in the capital of state non-financial organizations			
14.17.04	Investments in the capital of non-state non-financial organizations			
14.18.05	Investments in the capital of non-profit organizations serving households			

14.20.06	Investments in the capital of non-residents			
15	Accounts receivable			
15.11.01	Debt of buyers and customers (Government of the Republic of Kazakhstan)			
15.12.02	Debt of buyers and customers (regional and local governments)			
15.16.03	Debt of buyers and customers (state non-financial organizations)			
15.17.04	Debt of buyers and customers (non-state non-financial organizations)			
15.18.05	Debt of buyers and customers (non-profit organizations serving households)			
15.19.06	Receivables from buyers and customers (households)			
15.20.07	Debt of buyers and customers (non-resident)			
15.15.08	Debt of subsidiaries (dependent) organizations (other financial organizations)			
15.17.09	Debt of subsidiaries (dependent) organizations (non-state non-financial organizations)			
15.11.10	Rent arrears of the Government of the Republic of Kazakhstan			
15.12.11	Regional and local government lease arrears			

15.13.12	Rent arrears of the National Bank of the Republic of Kazakhstan			
15.14.13	Rent arrears from other contributory organizations			
15.15.14	Rent arrears from other financial institutions			
15.16.15	Rent arrears of government non-financial organizations			
15.17.16	Rent arrears of non-state non-financial organizations			
15.18.17	Rent arrears of non-profit organizations serving households			
15.19.18	Household rent arrears			
15.20.19	Non-residents' rent arrears			
15.11.20	Remuneration receivable from the Government of the Republic of Kazakhstan			
15.12.21	Remuneration receivable from regional and local governments			
15.14.22	Receivables from other contributory institutions			
15.15.23	Receivables from other financial institutions			
15.16.24	Remuneration receivable from government non-financial organizations			
15.17.25	Remuneration receivable from			

	non-governmental non-financial organizations			
15.18.26	Remuneration receivable from non-profit organizations serving households			
15.19.27	Remuneration receivable from households			
15.20.28	Remuneration receivable from non-residents			
15.1	Less: provision for depreciation			
16	Non-current assets (disposal groups) held for sale			
17	Intangible assets			
18	Fixed assets			
19	Right-of-use assets			
20	Current tax asset			
21	Deferred tax asset			
22	Other receivables			
22.14.01	Settlements with brokers (other contributory organizations)			
22.15.02	Settlements with brokers (other financial organizations)			
22.17.03	Settlements with brokers (non-governmental non-financial organizations)			
22.20.04	Settlements with brokers (non-residents)			
22.11.05	Settlements with shareholders (Government of the Republic of Kazakhstan)			
22.14.06	Settlements with shareholders (other			

	contributory organizations)			
22.15.07	Settlements with shareholders (other financial organizations)			
22.16.08	Settlements with shareholders (state non-financial organizations)			
22.17.09	Settlements with shareholders (non-state non-financial organizations)			
22.18.10	Settlements with shareholders (non-profit organizations serving households)			
22.19.11	Settlements with shareholders (households)			
22.20.12	Settlements with shareholders (non-residents)			
22.11.13	Prepayment of interest on loans received from the Government of the Republic of Kazakhstan			
22.12.14	Prepayment of interest on loans received from regional and local governments			
22.13.15	Prepayment of interest on loans received from the National Bank of the Republic of Kazakhstan			
22.14.16	Prepayment of interest on loans received from other contributory organizations			
22.15.17	Prepayment of interest on loans received from other			

	financial organizations			
22.16.18	Prepayment of interest on loans received from government non-financial organizations			
22.20.19	Prepayment of interest on loans received from non-residents			
22.11.20	Financial assets transferred into trust management to the Government of the Republic of Kazakhstan			
22.13.21	Financial assets transferred into trust management to the National Bank of the Republic of Kazakhstan			
22.14.22	Financial assets transferred for trust management to other contributory institutions			
22.15.23	Financial assets transferred for trust management to other financial organizations			
22.20.24	Financial assets transferred for trust management to non-residents			
22.11.25	Accrued penalty (fine , penalty) to the Government of the Republic of Kazakhstan			
22.12.26	Accrued penalties (fine, penalty) to regional and local authorities			
22.13.27	Accrued penalty (fine , penalty) to the			

	National Bank of the Republic of Kazakhstan			
22.14.28	Accrued penalty (fine , penalty) to other contributory organizations			
22.15.29	Accrued penalty (fine , penalty) to other financial organizations			
22.16.30	Accrued penalty (fine , penalty) to state non-financial organizations			
22.17.31	Accrued penalty (fine , penalty) to non-governmental non-financial organizations			
22.19.32	Accrued penalty (fine , penalty) to households			
22.20.33	Accrued penalty (fine , penalty) to non-residents			
22.19.34	Debt of employees and other resident persons			
22.20.35	Debt of employees and other non-resident persons			
22.11.36	Other receivables of the Government of the Republic of Kazakhstan			
22.12.37	Other receivables from local governments			
22.13.38	Other receivables of the National Bank of the Republic of Kazakhstan			
22.14.39	Other receivables from other contributory institutions			
22.15.40	Other receivables from other financial organizations			

22.16.41	Other receivables from government non-financial organizations			
22.17.42	Other receivables of non-state non-financial organizations			
22.18.43	Other receivables of non-profit organizations serving households			
22.19.44	Other household receivables			
22.20.45	Other receivables from non-residents			
22.1	Less: provision for depreciation			
23	Other assets, including			
23.01	Financial assets			
23.02	Non-financial assets			
24	Total assets			

Table 2. Liabilities

(in thousands of tenge)

Line code	Indicator name	Total (at the end of the reporting period)	including	
			in national currency	in foreign currency
1	2	3	4	5
25	Derivatives			
25.11.01	Transactions with derivative financial instruments with the Government of the Republic of Kazakhstan			
25.12.02	Transactions with derivative financial instruments with regional and local governments			
25.13.03	Transactions with derivative financial instruments with the National Bank of the Republic of Kazakhstan			

25.14.04	Transactions with derivative financial instruments with other contributory institutions			
25.15.05	Derivative transactions with other financial institutions			
25.16.06	Transactions with derivative financial instruments with government non-financial organizations			
25.17.07	Transactions with derivative financial instruments with non-governmental non-financial organizations			
25.18.08	Transactions in financial derivatives with non-profit institutions serving households			
25.19.09	Transactions in derivative financial instruments with households			
25.20.10	Transactions with derivative financial instruments with non-residents			
26	Lease liabilities			
26.11.01	Lease obligations to the Government of the Republic of Kazakhstan			
26.12.02	Lease obligations to regional and local governments			
26.13.03	Lease obligations to the National Bank of the Republic of Kazakhstan			
26.14.04	Lease obligations to other contributory institutions			

26.15.05	Lease liabilities to other financial institutions			
26.16.06	Lease liabilities to government non-financial organizations			
26.17.07	Lease obligations to non-governmental non-financial organizations			
26.18.08	Rent obligations to non-profit organizations serving households			
26.19.09	Rent liabilities to households			
26.20.10	Lease obligations to non-residents			
27	Repo transactions			
27.11.01	Repo transactions with the Government of the Republic of Kazakhstan			
27.13.02	Repo transactions with the National Bank of the Republic of Kazakhstan			
27.14.03	Repo transactions with other contributory institutions			
27.15.04	Repo transactions with other financial institutions			
27.16.05	Repo transactions with government non-financial organizations			
27.17.06	Repo transactions with non-governmental non-financial organizations			
27.18.07	Repo transactions with non-profit organizations serving households			
27.19.08	Repo transactions with households			

27.20.09	Repo transactions with non-residents			
28	Loans received			
28.11.01	Short-term loans received from the Government of the Republic of Kazakhstan			
28.12.02	Short-term loans received from regional and local governments			
28.14.03	Short-term loans received from other contributory institutions			
28.15.04	Short-term loans received from other financial institutions			
28.20.05	Short-term loans received from non-residents			
28.11.06	Long-term loans received from the Government of the Republic of Kazakhstan			
28.12.07	Long-term loans received from regional and local governments			
28.14.08	Long-term loans received from other contributory institutions			
28.15.09	Long-term loans received from other financial institutions			
28.20.10	Long-term loans received from non-residents			
29	Accounts payable			
29.11.01	Debt to suppliers and contractors (Government of the Republic of Kazakhstan)			
29.12.02	Debt to suppliers and contractors (regional			

	and local governments)			
29.16.03	Debt to suppliers and contractors (state non-financial organizations)			
29.17.04	Debt to suppliers and contractors (non-governmental non-financial organizations)			
29.18.05	Debt to suppliers and contractors (non-profit organizations serving households)			
29.19.06	Debt to suppliers and contractors (households)			
29.20.07	Debt to suppliers and contractors (non-resident)			
29.15.08	Debt to subsidiaries (dependent) organizations (other financial organizations)			
29.17.09	Debt to subsidiaries (dependent) organizations (non-state non-financial organizations)			
29.19.10	Debt to employees and other resident persons			
29.20.11	Debt to employees and other non-resident persons			
29.11.12	Rent debt to the Government of the Republic of Kazakhstan			
29.12.13	Rent arrears to regional and local governments			
29.13.14	Rent debt to the National Bank of the Republic of Kazakhstan			

29.14.15	Rent arrears to other contributory organizations			
29.15.16	Rent arrears to other financial institutions			
29.16.17	Rent arrears to government non-financial organizations			
29.17.18	Rent arrears to non-governmental non-financial organizations			
29.18.19	Rent arrears to non-profit organizations serving households			
29.19.20	Rent arrears to households			
29.20.21	Rent arrears to non-residents			
29.11.22	Remuneration payable to the Government of the Republic of Kazakhstan			
29.12.23	Remunerations payable to regional and local governments			
29.14.24	Remuneration payable to other contributory institutions			
29.15.25	Remuneration payable to other financial organizations			
29.20.26	Remuneration payable to non-residents			
29.11.27	Current portion of accounts payable to the Government of the Republic of Kazakhstan			
29.12.28	Current portion of accounts payable to regional and local governments			

29.13.29	Current portion of accounts payable to the National Bank of the Republic of Kazakhstan			
29.14.30	The current portion of accounts payable to other contributory organizations			
29.15.31	The current portion of accounts payable to other financial organizations			
29.16.32	Current portion of accounts payable to government non-financial organizations			
29.17.33	Current portion of accounts payable to non-governmental non-financial organizations			
29.18.34	The current portion of accounts payable to non-profit organizations serving households			
29.19.35	The current share of accounts payable to households			
29.11.36	Other accounts payable to the Government of the Republic of Kazakhstan			
29.12.37	Other accounts payable to regional and local governments			
29.13.38	Other accounts payable to the National Bank of the Republic of Kazakhstan			
29.14.39	Other accounts payable to other contributory organizations			
	Other accounts payable to other			

29.15.40	financial organizations			
29.16.41	Other accounts payable to government non-financial organizations			
29.17.42	Other accounts payable to non-state non-financial organizations			
29.18.43	Other accounts payable to non-profit organizations serving households			
29.19.44	Other accounts payable to households			
29.20.45	Other accounts payable to non-residents			
30	Advances received			
30.14.01	Prepayment of interest on deposits placed in other contributory organizations			
30.15.02	Prepayment of interest on deposits placed in other financial institutions			
30.20.03	Prepayment of interest on deposits placed with non-residents			
30.11.04	Other advances received from the Government of the Republic of Kazakhstan			
30.12.05	Other advances received from regional and local governments			
30.13.06	Other advances received from the National Bank of the Republic of Kazakhstan			

30.14.07	Other advances received from other contributory institutions			
30.15.08	Other advances received from other financial institutions			
30.16.09	Other advances received from government non-financial organizations			
30.17.10	Other advances received from non-governmental non-financial organizations			
30.18.11	Other advances received from non-profit organizations serving households			
30.19.12	Other advances received from households			
30.20.13	Other advances received from non-residents			
31	Reserves			
31.11.01	Warranty obligations accepted from the Government of the Republic of Kazakhstan			
31.12.02	Warranty obligations accepted from regional and local authorities			
31.13.03	Warranty obligations accepted from the National Bank of the Republic of Kazakhstan			
31.14.04	Warranty obligations accepted from other contributory organizations			
31.15.05	Warranty obligations accepted from other			

	financial organizations			
31.16.06	Warranty obligations accepted from government non-financial organizations			
31.17.07	Warranty obligations accepted from non-governmental non-financial organizations			
31.18.08	Warranty obligations accepted from non-profit organizations serving households			
31.19.09	Warranty obligations accepted from households			
31.20.10	Warranty obligations accepted from non-residents			
31.19.11	Estimated liabilities for employee benefits (resident)			
31.20.12	Estimated liabilities for employee benefits (non-resident)			
31.11.13	Obligations for claims work before the Government of the Republic of Kazakhstan			
31.12.14	Obligations for claims work before regional and local authorities			
31.13.15	Obligations for claims work before the National Bank of the Republic of Kazakhstan			
31.14.16	Obligations for claims work to other contributory organizations			
31.15.17	Obligations for claims work to other			

	financial organizations			
31.16.18	Obligations for claims work before government non-financial organizations			
31.17.19	Obligations for claims-related work to non-governmental non-financial organizations			
31.18.20	Obligations for claims-related work to non-profit organizations serving households			
31.19.21	Obligations for claims work to households			
31.20.22	Obligations for claims work to non-residents			
31.11.23	Other estimated liabilities to the Government of the Republic of Kazakhstan			
31.12.24	Other estimated obligations to regional and local authorities			
31.13.25	Other estimated liabilities to the National Bank of the Republic of Kazakhstan			
31.14.26	Other estimated liabilities to other contributory institutions			
31.15.27	Other estimated liabilities to other financial organizations			
31.16.28	Other estimated liabilities to state non-financial organizations			
	Other estimated liabilities to			

31.17.29	non-governmental non-financial organizations			
31.18.30	Other estimated liabilities to non-profit organizations serving households			
31.19.31	Other estimated liabilities to households			
31.20.32	Other estimated liabilities to non-residents			
32	Accrued expenses for settlements with shareholders on shares			
32.11.01	Settlements on dividends and income of participants with the Government of the Republic of Kazakhstan			
32.13.02	Settlements on dividends and participants' income with the National Bank of the Republic of Kazakhstan			
32.14.03	Settlements on dividends and participant income with other contributory organizations			
32.15.04	Settlements on dividends and participants' income with other financial organizations			
32.16.05	Settlements on dividends and participants' income with state non-financial organizations			
32.17.06	Settlements on dividends and income of participants with non-governmental			

	non-financial organizations			
32.18.07	Settlements on dividends and participant income with non-profit organizations serving households			
32.19.08	Calculations of dividends and income of participants with households			
32.20.09	Calculations of dividends and income of participants with non-residents			
33	Accrued expenses for settlements with personnel			
33.19.01	Settlements with staff (residents) for wages			
33.20.02	Settlements with personnel (non-residents) for wages			
34	revenue of the future periods			
35	Deferred tax liability			
35.11.01	Deferred corporate income tax			
36	Obligation to the budget for taxes and other obligatory payments to the budget			
37	Other obligations			
37.11.01	Other obligations to the Government of the Republic of Kazakhstan			
37.12.02	Other obligations to regional and local authorities			
37.13.03	Other obligations to the National Bank of the Republic of Kazakhstan			

Other obligations to

37.14.04

	other contributory institutions			
37.15.05	Other obligations to other financial institutions			
37.16.06	Other obligations to government non-financial organizations			
37.17.07	Other obligations to non-governmental non-financial organizations			
37.18.08	Other obligations to non-profit organizations serving households			
37.19.09	Other obligations to households			
37.20.10	Other obligations to non-residents			
38	Total liabilities			

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20____

Annex
to the report form on assets and liabilities classified by economic sectors (according to the own assets of the copper accumulative pension fund)

Explanation for completion of the form for administrative data

"Report on assets and liabilities classified by economic sectors (according to the own assets of the unified pension savings fund)" (index – 1-ENPF-AL(OA), frequency – quarterly)

Chapter 1. General Provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on assets and liabilities classified by economic sectors (according to the own assets of the unified pension savings fund)" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out quarterly by the unified pension fund as of the end of the reporting period. The data in the form shall be indicated in thousands of tenge. An amount less than 500 (five hundred) tenge shall be rounded up to 0 (zero), and an amount equal to 500 (five hundred) tenge and above shall be rounded up to 1000 (thousand) tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. The form contains data on all items of the "Assets" and "Liabilities" sections of the balance sheet of the unified accumulative pension fund on its assets as of the reporting date.

The total assets reflected in Table 1 shall correspond to the total assets of the balance sheet for own assets at the same reporting date.

The total amount of liabilities reflected in Table 2 corresponds to the total amount of liabilities of the balance sheet for own assets at the same reporting date.

6. The line (indicator) code of Tables 1 and 2 of the form is determined according to the following structure:

- 1) the first part corresponds to the number of the main item of the balance sheet;
- 2) the second part consists of two digits – the residence attribute code and the economic sector code;
- 3) the third part is the serial number of the indicator.

Codes for the attribute of residence and economic sector shall be indicated in accordance with the Rules for the application of codes for economic sectors and purposes of payments, approved by Resolution of the Board of the National Bank of the Republic of Kazakhstan dated August 31, 2016 № 203 "On approval of the Rules for the application of codes for economic sectors and purposes of payments", registered in the State Register of Normative Legal Acts under № 14365.

The assets and liabilities of the unified accumulative pension fund concerning non-residents are not divided by economic sector. In this case, the code of the economic sector concerning a non-resident shall be indicated as "0".

Example: line code 15.15.08, where the first digit "15" is the number of the main balance sheet item, the second digit "15" is the resident, other financial organizations and the third digit "08" is the serial number.

7. Arithmetic-logical control:

1) the data in column 3 for all lines is equal to the sum of the data in columns 4 and 5;

2) the indicator "total assets" for the line with code "24" is equal to the sum of the indicators for lines with codes "1", "2", "3", "4", "5", "6", "7", "8", "9", "10", "11", "12", "13", "14", "15", "16", "17", "18", "19", "20", "21", "22" and "23";

3) the "total liabilities" indicator for the line with code "38" is equal to the sum of the indicators for lines with codes "25", "26", "27", "28", "29", "30", "31", "32", "33", "34", "35", "36" and "37".

Annex 18
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

**Report on assets and liabilities classified by economic sectors
(for pension assets of the unified accumulative pension fund)**

Footnote. The Resolution has been supplemented with Annex 18 in accordance with the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 29.06.2023 № 42 (shall come into effect ten calendar days after the day of its first official publication).

Form for administrative data index: 2-ENPF-AL(PA)

Frequency: quarterly

Reporting period: as of "___" _____ 20 ___

Scope of persons presenting information: unified accumulative pension fund

Deadline for submitting the form for administrative data: quarterly, no later than 25 (twenty-fifth) the day of the month following the reporting quarter

Form

Table 1. Assets

(in thousands of tenge)

			including	
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Line code	Indicator name	Total (at the end of the reporting period)	in national currency	in foreign currency
1	2	3	4	5
1	Cash and cash equivalents			
1.13.01	Money (pension assets) on current accounts (contribution account) in the National Bank of the Republic of Kazakhstan			
1.13.02	Money (pension assets) on current accounts (investment account) with the National Bank of the Republic of Kazakhstan			
1.14.03	Money (pension assets) in current accounts (investment account) with other contributory institutions			
1.15.04	Money (pension assets) in current accounts (investment accounts) in other financial institutions			
1.13.05	Money (pension assets) on current accounts (payment account) in the National Bank of the Republic of Kazakhstan			
1.14.06	Money (pension assets) in current accounts (payment account) with other contributory institutions			
1.15.07	Money (pension assets) in current accounts (benefits account) with other financial institutions			
2	Refined precious metals			

2.14.01	Refined precious metals in other contributory institutions			
2.20.02	Refined precious metals from non-residents			
2.14.03	Refined precious metals placed in metal accounts in other contributory institutions			
2.20.04	Refined precious metals placed in metal accounts with non-residents			
3	Deposits in the National Bank of the Republic of Kazakhstan and second-tier banks			
3.13.01	Deposits placed with the National Bank of the Republic of Kazakhstan			
3.14.02	Deposits placed with other contributory institutions			
3.10.03	Deposits placed with non-residents			
3.1	Less: provision for depreciation			
4	Securities measured at fair value			
4.11.01	Securities issued by the Government of the Republic of Kazakhstan			
4.12.02	Securities issued by regional and local governments			
4.13.03	Securities issued by the National Bank of the Republic of Kazakhstan			
4.14.04	Securities issued by other contributory institutions, including			
4.14.04.01	Equity securities			

4.14.04.02	Debt securities			
4.15.05	Securities issued by other financial institutions, including			
4.15.05.01	Equity securities			
4.15.05.02	Debt securities			
4.16.06	Securities issued by government non-financial organizations, including			
4.16.06.01	Equity securities			
4.16.06.02	Debt securities			
4.17.07	Securities issued by non-governmental non-financial organizations, including			
4.17.07.01	Equity securities			
4.17.07.02	Debt securities			
4.20.08	Securities issued by non-residents, including			
4.20.08.01	Equity securities			
4.20.08.02	Debt securities			
5	Requirements for reverse repo transactions			
5.11.01	repo " operations to the Government of the Republic of Kazakhstan			
5.13.02	repo " operations to the National Bank of the Republic of Kazakhstan			
5.14.03	Requirements for reverse repo transactions to other contributory institutions			
5.15.04	Requirements for reverse repo transactions to other financial organizations			
5.16.05	Requirements for reverse repo transactions for state			

	non-financial organizations			
5.17.06	Requirements for reverse repo transactions for non-governmental non-financial organizations			
5.20.07	Requirements for reverse repo transactions for non-residents			
6	Derivatives			
6.11.01	Transactions with derivative financial instruments with the Government of the Republic of Kazakhstan			
6.12.02	Transactions with derivative financial instruments with regional and local governments			
6.13.03	Transactions with derivative financial instruments with the National Bank of the Republic of Kazakhstan			
6.14.04	Transactions with derivative financial instruments with other contributory institutions			
6.15.05	Derivative transactions with other financial institutions			
6.16.06	Transactions with derivative financial instruments with government non-financial organizations			
6.17.07	Transactions with derivative financial instruments with non-governmental non-financial organizations			

6.20.08	Transactions with derivative financial instruments with non-residents			
7	Assets under external management			
8	Accounts receivable			
8.11.01	Debt of the Government of the Republic of Kazakhstan			
8.12.02	Debt of regional and local governments			
8.13.03	Debt of the National Bank of the Republic of Kazakhstan			
8.14.04	Debt of other contributory institutions			
8.15.05	Debt of other financial organizations			
8.16.06	Debt of state non-financial organizations			
8.17.07	Debt of non-state non-financial organizations			
8.20.08	Debt of non-residents			
9	Requirements for obtaining a negative difference between the nominal yield indicator and the minimum yield value			
10	Claims for compensation of negative commissions from investment income			
11	Securities measured at amortized cost			
11.11.01	Securities measured at amortized cost issued by the Government of the Republic of Kazakhstan			
	Securities measured at amortized cost			

11.12.02	issued by regional and local governments			
11.13.03	Securities valued at amortized cost, issued by the National Bank of the Republic of Kazakhstan			
11.14.04	Securities measured at amortized cost issued by other contributory institutions			
11.15.05	Securities measured at amortized cost issued by other financial institutions			
11.16.06	Securities measured at amortized cost issued by government non-financial organizations			
11.17.07	Securities measured at amortized cost issued by non-governmental non-financial organizations			
11.20.08	Securities measured at amortized cost issued by non-residents			
11.1	Less: provision for depreciation			
12	Other assets, including			
12.01	Financial assets			
12.02	Non-financial assets			
13	Total assets			

Table 2. Liabilities

(in thousands of tenge)

Line code	Indicator name	Total (at the end of the reporting period)	including	
			in national currency	in foreign currency
1	2	3	4	5
	Obligations for pension payments,			

14	one-time withdrawals to improve living conditions and (or) treatment			
14.19.01	Obligations to pay pension savings			
14.15.02	Obligations to transfer pension savings to other pension savings funds			
14.15.03	Obligations to transfer pension savings to insurance organizations			
14.19.04	Obligations for one-time withdrawals to improve living conditions and (or) pay for treatment			
15	Accounts payable for commission fees			
15.15.01	Accrued commissions from investment income (loss)			
15.15.02	Accrued commissions from pension assets			
16	Accounts payable for individual income tax on pension payments			
17	Derivatives			
17.11.01	Transactions with derivative financial instruments with the Government of the Republic of Kazakhstan			
17.12.02	Transactions with derivative financial instruments with regional and local governments			
17.13.03	Transactions with derivative instruments with the National Bank of the Republic of Kazakhstan			

17.14.04	Transactions with derivative financial instruments with other contributory institutions			
17.15.05	Derivative transactions with other financial institutions			
17.16.06	Transactions with derivative financial instruments with government non-financial organizations			
17.17.07	Transactions with derivative financial instruments with non-governmental non-financial organizations			
17.20.08	Transactions with derivative financial instruments with non-residents			
18	Liabilities for repo transactions			
19	Other obligations			
19.19.01	Obligations to return erroneously credited amounts of pension contributions			
19.19.02	Other amounts pending clarification			
19.00.03	Other obligations			
20	Total liabilities			
21	Total net assets			

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20 _____

Explanation for completion of the form for administrative data

"Report on assets and liabilities classified by economic sector (by pension assets of the unified pension savings fund)" (index – 2-ENPF-AL(PA), frequency – quarterly)

Chapter 1. General Provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on assets and liabilities classified by economic sectors (on pension assets of the unified accumulative pension fund)" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out quarterly by the unified pension fund as of the end of the reporting period. The data in the form shall be indicated in thousands of tenge. An amount less than 500 (five hundred) tenge shall be rounded up to 0 (zero), and an amount equal to 500 (five hundred) tenge and above shall be rounded up to 1000 (thousand) tenge.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. The form shall contain data on all items of the "Assets" and "Liabilities" sections of the report on the net pension assets of the unified pension savings fund as of the reporting date.

The total assets shown in Table 1 shall correspond to the total assets in the statement of net pension assets at the same reporting date.

The total liabilities shown in Table 2 shall correspond to the total liabilities in the statement of net pension assets at the same reporting date.

The amount of the "total net assets" item shall correspond to the amount of the "total net assets" item of the statement of net pension assets as of the same reporting date.

6. Line (indicator) code of Tables 1 and 2 of the form shall be determined according to the following structure:

- 1) the first part shall correspond to the number of the main article of the report on net pension assets;
- 2) the second part shall consist of two digits – the residence attribute code and the economic sector code;
- 3) the third part shall be the serial number of the indicator.

Codes for the attribute of residence and economic sector shall be indicated in accordance with the Rules for the application of codes for economic sectors and purposes of payments, approved by Resolution of the Board of the National Bank of the Republic of Kazakhstan dated August 31, 2016 № 203 "On approval of the Rules for the application of codes for economic sectors and purposes of payments", registered in the State Register of Normative Legal Acts under № 14365.

The assets and liabilities of the unified accumulative pension fund concerning non-residents shall not be divided by economic sector. In this case, the code of the economic sector concerning a non-resident shall be indicated as "0".

Example: line code 15.15.08, where the first digit "15" shall be the number of the main item of the report on net pension assets, the second digit "15" shall be the resident, other financial organizations and the third digit "08" shall be the serial number.

9. Arithmetic-logical control:

- 1) the data in column 3 for all lines shall be equal to the sum of the data in columns 4 and 5;
- 2) the indicator "total assets" for the line with code "12" shall be equal to the sum of the indicators for lines with codes "1", "2", "3", "4", "5", "6", "7", "8", "9", "10" and "11";
- 3) the "total liabilities" indicator for the line with code "18" shall be equal to the sum of the indicators for lines with codes "13", "14", "15", "16" and "17";
- 4) the indicator "total net assets" for the line with code "19" shall be equal to the difference in the indicators for lines with codes "12" and "18".

Annex 19
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

Report on payments and return of target savings

Footnote. Annex 19 - as amended by the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 25.12.2023 № 97 (shall come into effect from 01.01.2024).

Form for administrative data index: 1-ENPF_VVCN

Frequency: monthly

Reporting period: as of " __ " _____ 20 __

Scope of persons providing information: unified accumulative pension fund

Deadline for submitting the administrative data form: monthly, no later than the 7th (seventh) working day of the month following the reporting month

Form

Table. Payments and return of target savings

Line code	Title of articles	For the reporting month			For the period since the beginning of the year
		number of recipients (persons)	number of payments (units)	amount (in US dollars)	number of recipients (persons)
1	2	3	4	5	6
100	Payments of target savings, including:				
101	to improve living conditions				
102	to pay for education				
103	to the heirs				
200	Return of target savings	X	X		X

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

_____ last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20 __

Explanation for completion of the form for administrative data

"Report on payments and return of target savings" (index – 1-ENPF_VVCN, frequency – monthly)

Chapter 1. General Provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on payments and return of target savings" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out monthly by the unified pension fund as of the end of the reporting period.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. Column 3 shall indicate the number of recipients to whom target savings payments have been made for the reporting month, in units.

6. Column 4 shall indicate the number of payments of target savings made to recipients during the reporting month, in units. Information on the number of payments of target savings shall be reflected based on the payments of target savings (transactions) to recipients.

7. Column 5 shall indicate the amount of payments or return of target savings for the reporting month in United States dollars.

8. Column 6 shall indicate the number of recipients to whom target savings payments have been made for the period from the beginning of the year (cumulative total), in units.

9. If information is missing, the form shall be submitted without completion.

Annex 20
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

The form for administrative data

Submitted to: the National Bank of the Republic of Kazakhstan

The form for administrative data shall be posted on the Internet resource:
www.nationalbank.kz

Target Requirements Report

Footnote. The Resolution has been supplemented with Annex 20 in accordance with the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 25.12.2023 № 97 (shall come into effect from 01.01.2024).

Form for administrative data index: 1-ENPF_CT

Frequency: annual

Reporting period: as of " __ " _____ 20 ____

Scope of persons providing information: unified pension savings fund

Deadline for submitting the form for administrative data: annually, no later than April 30 (thirtieth) of the year following the reporting year

Form

Table. Target Requirements

Year of birth of participants	Number of participants	Amount of target claims at the end of the year preceding the reporting year (in US dollars)	The amount of income accrued on the amount of target requirements at the end of the year preceding the reporting year (in US dollars)	The number of target requirements from the amount of fifty percent of the average investment income of the National Fund of the Republic of Kazakhstan in the reporting year (in US dollars)	Amount of target claims as of the end of the reporting year (in US dollars)
1	2	3	4	5	6

The amount of fifty percent of the average investment income of the National Fund of the Republic of Kazakhstan is _____ US dollars.

The amount of income accrued on previously formed target claims of participants in target claims is _____ US dollars.

The amount of fifty percent of the average investment income of the National Fund of the Republic of Kazakhstan, taking into account adjustments, is _____ US dollars.

The rate average investment income is _____ percent.

The total number of participants in target claims at the end of the reporting year is _____ persons.

Name _____

Address _____

Telephone _____

E-mail address _____

Executor _____

last name, first name and patronymic (if any) signature, telephone number

Manager or person entrusted with the function upon signing the report

last name, first name and patronymic (if any) Signature

Date " _____ " _____ 20 _____

Annex
to the target requirements
report form

Explanation for completion of the form for administrative data

"Report on Target Requirements" (index – 1-ENPF_CT, frequency – annual)

Chapter 1. General Provisions

1. This explanation shall define uniform requirements for filling in the form for administrative data "Report on Target Requirements" (hereinafter referred to as the Form).

2. The form has been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On State Statistics".

3. The form shall be filled out annually by the unified pension savings fund as of the end of the reporting period.

4. The form shall be signed by the manager or the person entrusted with the function of signing the report, and the executor.

Chapter 2. Explanation for completion of the form

5. Column 1 shall indicate the years of birth of the participants in the target requirements.

6. Column 2 shall indicate the number of participants in the target requirements of the corresponding year of birth in units.

7. Column 3 shall indicate the amount of target requirements at the end of the year preceding the reporting year, in United States dollars (hereinafter referred to as US dollars).

8. Column 4 shall indicate the amount of income accrued on the amount of target claims at the end of the year preceding the reporting year, in US dollars.

9. Column 5 shall indicate the number of target requirements from the amount of fifty percent of the average investment income of the National Fund of the Republic of Kazakhstan for the reporting period, in US dollars.

10. Column 6 shall indicate the number of target requirements as of the end of the reporting year, equal to the sum of the values of columns 3, 4 and 5, in US dollars.

11. The amount of fifty percent of the average investment income of the National Fund of the Republic of Kazakhstan, the amount of income accrued on previously formed target claims of participants in target claims, the amount of fifty percent of the average investment income of the National Fund of the Republic of Kazakhstan, taking into account adjustments, the rate of average investment income and the total number of participants target requirements at the end of the reporting year shall be indicated in the note to the form provided in the information system.

12. If information is missing, the form shall be submitted without completion.

Annex 21
to the Resolution of the Board
of the National Bank
of the Republic of Kazakhstan
dated August 28, 2017 № 167

The Rules for reporting by the Unified Pension Savings Fund

Footnote. The Resolution has been supplemented with Annex 21 in accordance with the Resolution of the Board of the National Bank of the Republic of Kazakhstan dated 25.12.2023 № 97 (shall come into effect from 01.01.2024).

1. The Rules for reporting by the unified accumulative pension fund (hereinafter referred to as the Rules) have been developed in accordance with subparagraph 65-2) of part two of Article 15 of the Law of the Republic of Kazakhstan "On the National Bank of the Republic of Kazakhstan" and subparagraph 2) of paragraph 3 of article 16 of the Law of the Republic of Kazakhstan "On state statistics" and shall determine the procedure for submitting reports by the unified accumulative pension fund (hereinafter referred to as the Fund) to the National Bank of the Republic of Kazakhstan (hereinafter referred to as the National Bank).

2. Reporting shall be submitted by the Fund in electronic form through the use of the information system "Web portal of the National Bank of the Republic of Kazakhstan".

3. Reporting certified through an electronic digital signature by the head of the Fund or the person entrusted with the function of signing the report, and the executor, shall be stored in electronic format.

4. The completeness and reliability of the data in the reporting shall be ensured by the head of the Fund or the person entrusted with the function of signing the report.

5. Data in the reporting shall be indicated in the national currency of the Republic of Kazakhstan - tenge, as well as in United States dollars.

6. For reporting, assets in foreign currency shall be indicated in terms of the market exchange rate, determined in accordance with the procedure established by Resolution of the Board of the National Bank of the Republic of Kazakhstan dated January 25, 2013 № 15 and the order of the Minister of Finance of the Republic of Kazakhstan dated February 22, 2013 № 99 "On the procedure for determining the market currency exchange rate", registered in the State Register of Normative Legal Acts under № 8378 .

7. The concepts "resident" and "non-resident" shall be used in the meanings defined by the Law of the Republic of Kazakhstan "On Currency Regulation and Currency Control".