



On approval of the list, forms, terms of reporting of organizations, conducting investment portfolio management, broker and dealer activity in securities market of the Republic of Kazakhstan and Rules of their submission

Invalidated Unofficial translation

Resolution of the Board of the National Bank of the Republic of Kazakhstan dated July 30, 2018 No. 162. Registered with the Ministry of Justice of the Republic of Kazakhstan on September 14, 2018 No. 17370.

Unofficial translation

Footnote. It became invalid by the resolution of the Board of the National Bank of the Republic of Kazakhstan No. 211 dated 28.11.2019 (effective from 01.01.2020).

In accordance with the Laws of the Republic of Kazakhstan dated March 30, 1995 "On the National Bank of the Republic of Kazakhstan", dated July 2, 2003 "On Securities Market", dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations" dated 19 March 2010 "On State Statistics", the Board of the National Bank of the Republic of Kazakhstan hereby RESOLVED as follows:

1. To approve:

1) The list of accounts of the organizations conducting investment portfolio management, broker and dealer activity in securities market of the Republic of Kazakhstan, according to Appendix 1 to this resolution;

2) The form of the report on securities purchased at the expense of own assets, according to Appendix 2 to this resolution;

3) The form of the report on transactions of reverse repo and repo, made at the expense of own assets, according to Appendix 3 to this resolution;

4) The form of the report on contributions and money on current accounts of the second- tier banks and the organizations carrying out separate kinds of bank operations , placed at the expense of own assets, according to Appendix 4 to this resolution;

5) The form of the report on investments in capital of other legal entities at the expense of own assets according to Appendix 5 to this resolution;

6) The form of the report on the issued loans and receivables, taken into account in the composition of own assets and assets of clients, according to Appendix 6 to this resolution;

7) The form of the report on investment funds according to Appendix 7 to this resolution;

- 8) The form of the report on the structure of the investment portfolio, purchased at the expense of clients' assets, according to Appendix 8 to this resolution;
- 9) The form of the report on the structure of other property of the investment fund according to Appendix 9 to this resolution;
- 10) The form of the report on investments of the investment fund and other clients in the capital of legal entities, not being joint-stock companies, according to Appendix 10 to this resolution;
- 11) The form of the report on the value of pension assets according to Appendix 11 to this resolution;
- 12) The form of the report on the structure of the investment portfolio of pension assets according to Appendix 12 to this resolution;
- 13) The form of the report on the amount of retirement assets and the number of contributors/recipients of voluntary pension contributions according to Appendix 13 to this resolution;
- 14) The form of the report on pension payments according to Appendix 14 to this resolution;
- 15) The form of the report on concluded transactions on investment of assets of clients according to Appendix 15 to this resolution;
- 16) The form of the report on concluded transactions on investment of own assets according to Appendix 16 to this resolution;
- 17) The form of the report on performed transactions on investment of assets of clients and own assets in derivative financial instruments according to Appendix 17 to this resolution;
- 18) The form of the report on performed transactions on investment of clients' assets and own assets with affiliated persons according to Appendix 18 to this resolution;
- 19) The form of the report on transactions (operations) with financial instruments, concluded (registered) in unorganized securities market of the Republic of Kazakhstan, according to Appendix 19 to this resolution;
- 20) The form of information about an organization-possessing license to carry out broker and dealer activity in securities market of the Republic of Kazakhstan, according to Appendix 20 to this resolution;
- 21) The form of the report on transactions with financial instruments concluded in international (foreign) securities markets, according to Appendix 21 to this resolution;
- 22) The form of the report on transactions with derivative financial instruments according to Appendix 22 to this resolution;
- 23) The form of the report on performance on transactions with affiliated persons in accordance with Appendix 23 to this resolution;

24) The form of the report on the balance of money held in the accounts of a broker, according to Appendix 24 to this resolution;

25) The form of the report on provision of services by broker and dealer according to Appendix 25 to this resolution;

26) The form of the report on securities market, which shall be in nominal holding, according to Appendix 26 to this resolution;

27) The form of the report on securities market issued in accordance with the legislation of a foreign state, being in nominal holding, according to Appendix 27 to this resolution;

28) Rules of reporting by organizations carrying out investment portfolio management, broker and dealer activity in securities market of the Republic of Kazakhstan, according to Appendix 28 to this resolution.

2. Organizations carrying out investment portfolio management, broker and dealer activity shall be submitted to the National Bank of the Republic of Kazakhstan (hereinafter – the Authorized Body) in electronic format, monthly, not later than the fifth working day of the month following the reporting month, reporting in accordance with Appendixes 2, 3, 4, 5, 6 to this resolution.

In addition to the reporting provided for in the first part of this paragraph, organizations managing the investment portfolio (hereinafter - investment portfolio management) shall submit to the authorized body in electronic format, monthly, no later than the fifth working day of the month following the reporting month, reporting in accordance with Appendixes 7, 8, 9, 10, 15, 16, 17, 18, to this resolution.

Investment portfolio managers with the right to attract voluntary pension saving contribution (hereinafter – Voluntary Pension Saving Fund), shall submit additionally to the authorized body in electronic format, monthly, not later than the fifth working day of the month following the reporting month, reporting in accordance with Appendixes 11,12, 13, 14 to this resolution.

In the case of management of the voluntary accumulative pension fund pension assets of the unified accumulative pension fund in accordance with the agreement on investment management assets concluded with the authorized body, voluntary pension saving fund shall report in accordance with Appendixes 11, 12, 13, 14 separately on the assets of the unified accumulative pension fund and pension assets in management.

In addition to the reporting provided in the first part of this paragraph, organizations carrying out broker and (or) dealer activities (hereinafter – brokers and/or dealers) shall submit to the authorized body in electronic format, monthly, not later than the fifth working day of the month following the reporting month, reporting in accordance with Appendixes 19, 21 and 24 to this resolution.

Brokers and (or) dealers shall additionally submit to the authorized body in electronic format, quarterly, not later than the last day of the month following the

reporting quarter, reporting in accordance with Appendixes 20, 22, 23, 25, 26 and 27 to this resolution.

The voluntary pension accumulative fund, which shall have a license to carry out broker and (or) dealer activity, shall not submit to the authorized body reports in accordance with Appendixes 22, 23, 24, 25, 26, 27 to this resolution.

Second-tier banks with licenses for broker and (or) dealer activities shall not submit reports to the authorized body in accordance with Appendixes 2, 3, 4, 5, 6, 23 to this resolution.

The national postal operator, having a license to carry out broker and (or) dealer activity, shall not submit to the authorized body the reporting in accordance with Appendixes 2, 3, 4, 5 to this resolution.

Brokers and (or) dealers without the right to maintain accounts of clients shall not submit to the authorized body the reporting in accordance with Appendixes 26 and 27 to this resolution.

The foreign currency assets of the authorized body and the assets of the National Fund of the Republic of Kazakhstan transferred to the trust management shall not be specified by investment portfolio managers when filling in the forms established by Appendixes 7, 8, 9, 10, 15, 16, 17 and 18 to this resolution.

3. To declare to be no longer in force:

1) The resolution of the Board of the National Bank of the Republic of Kazakhstan dated August 27, 2013 № 230 "On approval of the list, forms, terms and rules of reporting by organizations carrying out investment portfolio management, broker and (or) dealer activity "(registered in the Register of State Registration of Regulatory Legal Acts under № 8857, published on April 5, 2014 in the newspaper" Kazakhstanskaya Pravda "№ 66 (27687));

2) Paragraph 1 of the List of Regulatory Legal Acts of the Republic of Kazakhstan, in which amendments and additions shall be made on the issues of reporting by professional securities market participants, approved by the Board of the National Bank of the Republic of Kazakhstan dated January 29, 2018 № 5 (registered in the Register of State Registration of Regulatory Legal Acts under № 16498, published on March 19, 2018 in the Reference Control Bank of Regulatory Legal Acts of the Republic of Kazakhstan).

4. Department of Research and Statistics (Tutushkin V.A.) in accordance with the Legislation of the Republic of Kazakhstan shall:

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

2) within ten calendar days from the date of State registration of this resolution send its both in the Kazakh and Russian languages to the Republican State Enterprise on 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;

4) within ten working days after the state registration of this resolution submit the information to the Legal Department of Information on the execution of the measures, provided by subparagraphs 2), 3) of this paragraph and paragraph 3 of this resolutions.

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 (Terentyev A.L.) shall provide its copy for the periodic printing publication for official publications.

6. Control over the execution of this resolution shall be entrusted to the Deputy Chairman of the National Bank of the Republic of Kazakhstan Kurmanova Zh.B

7. This resolution shall be enforced after ten calendar days from the date of its first official publication.

*Chairman
of the National Bank*

D. Akishev

AGREED

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

September 12, 2018

N. Aidapkelov

Appendix 1
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

List of accounts of organizations carrying out investment portfolio management, broker and (or) dealer activity on securities market of the Republic of Kazakhstan

The accounts of the organizations carrying out investment portfolio management, broker and (or) dealer activity on securities market of the Republic of Kazakhstan shall include:

- 1) The report on securities purchased at the expense of own assets;
- 2) The report on transactions of reverse repo and repo, performed at the expense of own assets;

- 3) The report on deposits and money on current accounts in second-tier banks and organizations carrying out certain types of banking operations, placed at the expense of their own assets;
- 4) The report on investments in the capital of other legal entities at the expense of own assets;
- 5) The report on issued loans and accounts receivables, taken into account in the composition of own assets and assets of clients;
- 6) The report on investment funds;
- 7) The report on the structure of the investment portfolio acquired at the expense of clients' assets;
- 8) The report on the structure of other property of the investment fund;
- 9) The report on investments of the investment fund and other clients in the capital of legal entities that shall not be joint-stock companies;
- 10) The report on the value of pension assets;
- 11) The report on the structure of the investment portfolio of pension assets;
- 12) The report on the amount of pension accumulative and the number of contributors/recipients of voluntary pension contributions;
- 13) The report on pension payments;
- 14) The report on concluded transactions on investment of clients' assets;
- 15) The report on concluded transactions on investment of own assets;
- 16) The report on concluded transactions on investment of assets of clients and own assets in derivative financial instruments;
- 17) The report on the transactions on investment of assets of clients and own assets with affiliated persons;
- 18) The report on transactions (operations) with financial instruments, concluded (registered) in the informal market of securities of the Republic of Kazakhstan;
- 19) Information about the organization possessing a license to carry out broker and (or) dealer activity in the securities market of the Republic of Kazakhstan;
- 20) The report on transactions with financial instruments concluded in international (foreign) securities markets;
- 21) The report on transactions with derivative financial instruments;
- 22) The report on performed transactions with affiliated persons;
- 23) The report on the balance of money held in the broker's accounts;
- 24) The report on the provision of services by a broker and (or) dealer;
- 25) The report on securities held in nominal holding;
- 26) The report on securities issued in accordance with the legislation of the foreign state, held in nominal holding.

Form intended for collection of administrative data

Report on securities acquired from own assets

Reporting period: on " ___ " _____ 20__

Index: 1-RCB_CBSA

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

№ r/ n	Name of an issuer	Country of an issuer	Type of the security	Identification number	Number of securities		
					total	including	burdened
						Encumbrance of securities, total	including securities transferred to repo
1	2	3	4	5	6	7	8
1	Governmental securities of the Republic of Kazakhstan						
1.1.							
...							
2	non-governmental issuance securities of organizations of the Republic of Kazakhstan						
2.1.	Securities of second-tier banks						
2.1.1							
...							
2.2.	Securities of legal entities, except second-tier banks						
2.2.1							
...							
3	Securities of foreign countries						

3.1.							
...							
4	non-governmental securities of issuers of non-residents of the Republic of Kazakhstan						
4.1.							
...							
5	securities of international financial organizations						
5.1.							
...							
6	stocks						
6.1.							
...							
7	Total						

table continuation:

Currency of securities purchase	Purchase price for security	Period		Acquiring value of a security	Denomination value	
		Recognition date	Redemption date		Currency	Value of a security
9	10	11	12	13	14	15
...						

table continuation:

Balance securities value						
total	discount / bonus	Charged reward	positive/negative adjustment	Encumbrance of securities обремененные ценные бумаги, всего	Including securities transferred to repo	Information-formed reserves (provisions)
16	17	18	19	20	21	22
...						

table continuation:

Accounting category	Rating		Current coupon rate in portfolio
	Date of registration	To accounting date	
23	24	25	26
...			

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to form of a report on
securities acquired
at the expense of own assets

Explanation for completing the form to collect administrative data

Report on securities acquired from own assets

Chapter 1. General provisions

1. This explanation (hereinafter – the explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on securities acquired from own assets" (hereinafter –the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 " On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be made monthly by the investment portfolio management, broker and (or) dealer as of the end of the reporting period. The data in the form shall be filled in thousands of tenge. The sum of less than KZT 500 (five hundred) shall be rounded to 0 (zero), and the sum equal to KZT 500 (five hundred) and above, shall be rounded up to KZT 1000 (thousand).

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The column 2 and 3 shall specify the name of the issuer of the security and the country of its residence.

6. The column 4 shall specify the type of the acquired security.

7. The column 5 shall specify the identification number of the security, regarding the rights of requirements for the issuer's obligations on issuance securities, the period of circulation of which shall have been expired, and the issuer shall not fulfill the obligation redemption -the identifier of requirements rights.

8. The column 6 shall specify the number of securities acquired in the pieces. Debt securities shall be specified at nominal value in the currency of issue.

9. The column 7 shall specify the number of encumbered securities at the reporting date.

10. The column 8 shall specify the number of encumbered securities transferred to repo on the reporting date.

11. The columns 9 and 14, the currency codes shall be specified in accordance with the National Classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for Designation of Currencies and Funds".

12. The column 10 shall specify the price with the accuracy of four decimal places, reflected in the primary document, which shall confirm the transaction (exchange certificate, broker and (or) the dealer's report, the confirmation received on the international interbank system of information transfer and payment (SWIFT), in tenge. The price of debt securities shall be reflected as a percentage of the nominal value, with an accuracy of four decimal places, taking into account the accumulated rewards. In the case of payment for the purchase of the security (except for debt securities) in foreign currency, this amount shall be reflected at the market exchange rate, established on the date of the transaction.

13. The column 11 shall specify the date of initial recognition in accounting.

14. The column 12 shall specify the date of redemption of debt securities

15. The column 13 shall specify the purchase value of securities, including expenses directly related to the acquisition, including rewards and commissions paid to agents, consultants, brokers (dealers), stock exchange fees, and bank transmission services, and reduced by the amount of interest paid by the buyer to the seller (if any).

16. The columns 14 and 15 shall be filled by debt securities. The column 15 shall specify the monetary cost of the value of the debentures, defined at its issue, which shall be charged in percentage reward on the coupon debentures, as well as the amount payable issue to the holder of debentures at its redemption. The amount shall be specified in the issue currency.

17. The column 16 shall specify the value of securities reflected in the accounting.

18. The column 17 shall specify an undepreciated part of the discount (with a minus sign) or premium (in absolute terms).

19. The column 18 shall specify the accrued but not received remuneration, when filling in the column on debt securities-the coupon shall be specified, the shares shall specify dividends.

20. The column 19 shall specify a positive or negative adjustment.

21. The column 20 shall specify the value of the encumbered securities specified in the accounting.

22. The column 21 shall specify the value of securities encumbered by repo contracts specified in the accounting.

23. The column 22 shall specify the amount of reserves (provisions) formed in accordance with international financial reporting standards. The amount of reserves (provisions) shall be specified in absolute terms.

24. The column 23 shall specify the category of the security "at fair value through other aggregate income", "fair value through profit or loss" or "depreciated value".

25. The column 24 and 25 shall specify the rating of securities on debentures, the rating of the issuer on shares, the rating of the country on 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 establishment of the minimum rating for legal entities and countries, the necessity shall be required in accordance with the Legislation of the Republic of Kazakhstan, regulating the activities of financial organizations, the list of rating agencies, assigning this rating "(Registered in the Register of State Registration of Regulatory Legal Acts № 8318). In the absence of a rating in the columns 24 and 25 the sign "no rating" shall be specified. These columns shall not be filled by the state securities of the Republic of Kazakhstan.

26. The column 26 shall specify the coupon rate on debt financial instruments on the date of submission of the Form.

27. In case of absence of information, the Form shall be submitted with zero balances.

Appendix 3
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

Form intended for collection of administrative data

Report on transactions of reverse repo and repo, performed at the expense of own assets

Reporting period: " ____ " _____ 20__

Frequency: monthly

Represent investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

Index: 2-RCB_REPO_SA

Frequency: monthly

Represent investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

№ r/ n	Name of an issuer	Country of an issuer	Type of the security	Identification number	Number o f securities	Denomination value of currency	Period	
							Opening date of operation	Closing date of operation
1	2	3	4	5	6	7	8	9
1	Reverse repo operations							
1.1.	Direct way							
1.1.1								
1.2.	Automatic way							
1.2.1								
2	Repo operations							
2.1.	Direct way							
2.1.1								
2.2.	Automatic way							
2.2.1								

table continuation:

Term of operation in days	Reward rate	Balance value	Information-formed reserves (provisions)	Rating		The category of the list of stock market	
				on the date of transaction	o n reporting date	on the date of transaction	o n reporting date
10	11	12	13	14	15	16	17
...							

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to transaction report form
reverse repo and repo, committed
at the expense of own assets

Explanation for completing the form to collect administrative data Report on transactions of reverse repo and repo, performed at the expense of own assets

Chapter 1. General provisions

1. 1. This explanation (hereinafter – the explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on transactions of reverse repo and repo, performed at the expense of own assets" (hereinafter – the Form).

2. The form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be formed monthly by the investment portfolio management, broker and (or) dealer as of the end of the reporting period. The data in the form shall be filled in thousands of tenge. The sum of less than KZT 500 (five hundred) shall be rounded to 0 (zero), and the sum equal to KZT 500 (five hundred) and above, shall be rounded up to KZT 1000 (thousand).

4. The form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The column 4 shall specify the type of securities transferred and (or) acquired on repo operations and (or) reverse repo, with indication of its type.

6. The column 6 shall specify the number of transferred and (or) acquired securities on repo transactions and (or) reverse repo.

7. The column 7 shall specify the currency codes in accordance with the National Classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for the Designation of Currencies and Funds".

25. The columns 14 and 15 shall specify the rating of securities on debentures, the rating of the issuer on shares, the rating of the country on 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 establishment of the minimum rating for legal entities and countries, the necessity of which shall be required in accordance with the Legislation of the Republic of Kazakhstan, regulating the activities of financial organizations, the list of rating agencies, assigning this rating "(Registered in the Register of State Registration of Regulatory Legal Acts № 8318). In the absence of a rating in the columns 14 and 15 the sign "no rating" shall be specified". These columns shall not be filled by the state securities of the Republic of Kazakhstan.

9. The columns 16 and 17 shall specify 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 the list category of the stock exchange of the Republic of Kazakhstan, the columns 16 and 17 shall specify "No listing". The columns shall not be filled by securities of non-residents of the Republic of Kazakhstan and State Securities of the Republic of Kazakhstan.

10. In case of absence of information, the Form shall be submitted with zero balances.

Appendix 4
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

**Form intended for collection of administrative data
Report on deposits and money on current accounts in second-tier banks and
organizations
carrying out certain types of banking operations, placed at the expense of their
own assets**

Reporting period: " ___ " _____ 20__

Index: 3-RCB_Vklady_SA

Frequency: monthly

Represent investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

№ r/n	Name of the bank	Rating		Currency deposit	Date of entering and number of bank deposit contract		Term of deposit (in days)
		on the date o f transaction	o n reporting date		date	number	
1	2	3	4	5	6	7	8
1.	Money on the account of second-tier banks						
1.1							
...							
2	Deposits to demand						
2.1							
...							
3	Term deposits						
3.1							
...							
4	Contingent deposit						
4.1							
...							
5.	Money in accounts of organization carrying out separate types of banking transactions						
5.1							
...							
6	Total						

table continuation:

Reward rate on contribution (percentage per annum)	Principal debt on contribution		Balance value		Information –formed reserve (provisions)	Notes
	in tenge	in foreign currency	total	including accrual remuneration on contribution		

9	10	11	12	13	14	15
...						

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to contribution report form and
money on current accounts in
second-tier banks and
organizations carrying out separate
types of banking operations placed
at the expense of own assets

Explanation for completing the form to collect administrative data

Report on contribution and money on current accounts in second-tier banks and organizations carrying out certain types of banking operations, placed at the expense of their own assets

Chapter 1. General provisions

1. This explanation (hereinafter – the explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on deposits and money on current accounts in second-tier banks and organizations that perform certain types of Bank transactions placed at the expense of own assets "(hereinafter – The Form).

2. The form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be made monthly by the investment portfolio management, broker and (or) dealer as of the end of the reporting period. The data in the form shall

be filled in thousands of tenge. The sum of less than KZT 500 (five hundred) shall be rounded to 0 (zero), and the sum equal to KZT 500 (five hundred) and above, shall be rounded up to KZT 1000 (thousand).

4. The form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The column 3 and 4 shall specify the rating of the second-tier banks, 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 establishment of the minimum rating for legal entities and countries, the necessity of which shall be required in accordance with the Legislation of the Republic of Kazakhstan, regulating the activities of financial organizations, the list of rating agencies, assigning this rating "(Registered in the Register of State Registration of Regulatory Legal Acts № 8318). In the absence of a rating in the columns, 3 and 4 the sign "no rating" shall be specified. These columns shall not be filled by contributors in the National Bank of the Republic of Kazakhstan.

6. The column 5 shall specify the currency codes in accordance with the National Classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for Designation of Currencies and Funds".

7. The column 8 shall specify the term of the contribution under the bank contribution contract, the term shall be reflected in the prolongation of the contribution.

8. The columns 10 and 11 shall specify the sum of placement of own assets in the contribution in the National Bank of the Republic of Kazakhstan, in second –tier-banks and organizations carrying out certain kinds of bank operations. In case of placement of assets in the contribution in foreign currency shall be filled in the column 11 with simultaneous reflection of the equivalent in national currency -tenge in the column 10, the column 10 shall be filled in case of placement of assets in the contribution in national currency-tenge .

9. If there shall be any restrictions on ownership of the contribution, the word "yes" shall be inserted in the column 15.

10. The table shall be filled specifying the amount of contributions and money separately for each currency, the second-tier bank and the organization that shall perform certain types of banking operations.

11. In the absence of information, the form shall be submitted with zero balances.

**The Form intended for collection of administrative data
Report on investments in the capital of other legal entities at the expense of
own assets**

Reporting period: on " ___ " _____ 20 ___

Index: 4-RCB_IKDU

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

№	Name of legal entity	Purchase value	Balance value		Share in charter capital (in %)	Date of purchase	Note
			Total	including accrued dividends			
1	2	3	4	5	6	7	8
1							
2							
...							

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ___ " _____ 20 ___

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to the Form of the investment
report in the capital of other legal
entities at the expense of own
assets

Explanation for completing the Form to collect administrative data Report on investments in the capital of other legal entities at the expense of own assets

Chapter 1. General provisions

1. This explanation (hereinafter-the Explanation) shall define the unified requirements for filling in the Form intended for collection of administrative data "Report on investments into the capital of other legal entities at the expense of own assets" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be made monthly by the investment portfolio management, broker and (or) dealer as of the end of the reporting period. The data in the form shall be filled in thousands of tenge. The sum of less than KZT 500 (five hundred) shall be rounded to 0 (zero), and the sum equal to KZT 500 (five hundred) and above, shall be rounded up to KZT 1000 (thousand).

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The Form shall reflect information on the amount of investments of the organization in the capital of associated organizations, as well as other legal entities.

6. All these Forms shall be submitted by the nature of the activity of the legal entity in whose capital the organization. shall participate

7. The column 4 shall specify the balance value of investments in the capital of legal entities, reflected in the accounting.

8. The column 5 shall specify the amount of dividends, accrued on investments in the capital of legal entities.

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

10. In the absence of information, the form shall be submitted with zero balances.

Appendix 6
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

**The Form intended for collection of administrative data
Report on loans and receivables being accounted for as part of the own assets
and the
customer's assets**

Reporting period: " ___ " _____ 20__

Index: 27-RCB_ DZ

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

№	Customer's name (own assets) type of requirements	Name of contracting party (receivables)	Date of payment	Date of redemption	Currency	Rate of return
1	2	3	4	5	6	7
1.	Total own assets					
1.1						
...						
2.	Total on shares of investment funds					
2.1						
...						
3.	Total shares of other clients					
3.1						
...						

continuation of the table:

Current value of the requirement on reporting date		Information-formed reserves (provisions)	The basis of the deal
total (in tenge)	Including accrued remuneration		
8	9	10	11
...			

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form of the issued
loans and receivables,
considered as part of the own
assets and customer's assets

**Explanation for completing the form to collect administrative data
Report on loans and receivables that considered as part of the customer's own
assets
and assets**

Chapter 1. General provisions

1. This explanation (hereinafter – the explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " report on loans and receivables, accounted for in the composition of own assets and customer's assets (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be drawn up monthly by the investment portfolio management, broker and (or) dealer as of the end of the reporting period. The data in the form shall be filled in thousands of tenge. The sum of less than KZT 500 (five hundred) shall be rounded to 0 (zero), and the sum equal to KZT 500 (five hundred) and above, shall be rounded up to KZT 1000 (thousand).

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The Form shall reflect the information on issued loans and receivables, considered as part of the broker's own assets and (or) the dealer and (or) managing the

investment portfolio, and the assets of the clients of the investment portfolio management, including the right of requirement under the contracts of assignment.

Amounts of receivables related to the provision of the broker and (or) the dealer and (or) the investment portfolio management of services in the framework of professional activity in the securities market, as well as with administrative and economic activities shall be presented in aggregate form. In respect of receivables related to the provision of a broker and (or) a dealer and (or) an investment portfolio management of services in the framework of professional activities in the securities market, as well as with administrative and economic activities, columns 3, 4, 5, 6, 7 and 11 shall not be filled.

6. The column 3 shall specify the name of the counterparty (debtor).

7. The column 4 shall specify the loan issue date or the date of the receivable (the rights of the requirement under the contracts of assignment).

8. The column 5 shall specify the redemption loan date or the date of performance of obligations on receivables.

9. The column 6 shall specify the currency of the loan or receivables.

10. The columns 8-9 shall specify the current value of the requirement, with indication of accrued remuneration if available.

11. The columns 10 shall specify the amount of reserves (provisions) for an asset in case of availability.

12. The column 11 shall specify the primary accounting document (loan agreement, assignment contract, agreement, etc.) based on which the loan shall have been issued or a receivable shall arise.

13. In the absence of information, the form shall be submitted with zero balances.

Appendix 7
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

Form intended for collection of administrative data

Investment Funds Report

Reporting period: On " ____ " _____ 20__

Index: 5-RCB_IF

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)
(in thousands of tenge)

Name of investment fund	Number of shares (shares), being in circulation	Estimated value per share (for share investment fund)		Yield share (for share investment fund), in % per annum
		beginning of the reporting period	the end of the reporting period	
1	2	3	4	5

table continuation:

Stock value (joint stock investment fund)	Number of shareholders legal entities (for share investment fund)	Number of shareholders individuals (for share investment fund)	Name of bank - custodian	Note
6	7	8	9	10

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ___ " _____ 20 ___

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to Form of the report
on investment funds

Explanation on filling in the form designed to collect administrative data Investment Funds Report Chapter 1. General provisions 1.

1. This Explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data "Investment Funds Report" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State

Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be drawn up monthly by the investment portfolio management and shall be completed at the end of the reporting period. The data in the Form shall be filled in thousands of tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The column 5 shall be filled by formula $\left(\frac{P1}{P2-1}\right)/N \times 365 \text{ days} \times 100$, where:

P1 - estimated share value at the end of the reporting period (column 4);

P2 – estimated share value at the beginning of the reporting period (column 3);

N - the number of days in the reporting period.

6. Columns 3, 4, 5 and 6 shall be reflected with four decimal points.

7. In the absence of information, the form shall be submitted with zero balances.

Appendix 8
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

Form designed to collect administrative data

Report on the structure of the investment portfolio acquired from clients' assets

Reporting period: on " ___ " _____ 20__

Index- 6 - RCB CII_client

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

№ r /n	Name of a client/ an issuer	Country of an issuer	Type of a security	Identification number	Number of securities (pieces)		
					total	Including burdened securities	
						Encumbrance of securities, total	including securities transferred to repo
1	2	3	4	5	6	7	8

2.1										
...										
	Total:									

continuation of the table:

Price of closing on a security		Period		Balance value of securities	Yield rate operations no	Rating		Stock exchange list category	
total (in tenge)	In currency of nominal value	Opening operation date	Closing operation date			O n recognition date	O n reporting date	O n recognition date	O n reporting date
11	12	13	14	15	16	17	18	19	20
...									

**Table 3 Contributions in second-tier banks
(in thousands tenge)**

№ r/n	Client/bank name	Rating of the bank		Contribution currency	Date of the conclusion and number of the bank contribution agreement		Terms of contribution (in days)
		O n recognition date	O n reporting date		date	number	
1	2	3	4	5	6	7	8
1.	Total on investment funds						
1.1.							
...							
2.	Total on other clients						
2.1.							
...							
	Total:						

table continuation:

Payment period of remuneration		Rate of remuneration (percentage per annum)		Principal debt on the contribution		Balance value		Information-formed reserves (provisions)
payment frequency	date	nominal	effective	in tenge	in foreign currency	total	including accrual remuneration on deposit	
9	10	11	12	13	14	15	16	17
...								

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form
on the structure of investment
portfolio, acquired
at the expense of
clients ' assets

Explanation for completing the form to collect administrative data Report on the structure of the investment portfolio acquired at the expense of clients assets

Chapter 1. General provisions

1. This explanation (hereinafter – the explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on the structure of the investment portfolio acquired at the expense of clients ' assets" (hereinafter – the Form).

2. The form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be made monthly by the investment portfolio management, broker and (or) dealer as of the end of the reporting period. The data in the form shall be filled in thousands of tenge. The sum of less than KZT 500 (five hundred) shall be rounded to 0 (zero), and the sum equal to KZT 500 (five hundred) and above, shall be rounded up to KZT 1000 (thousand).

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The Form shall be filled in the context of each investment fund and for all clients not being an investment fund.

6. According to table 1:

1) The column 2 shall specify full the name or the name of the client of the investment portfolio management and the issuer of the security;

- 2) The column 4 shall specify the type of the acquired security;
- 3) The column 6 shall specify the number of acquired securities in pieces. Debt securities shall be specified at nominal value in the currency of issue;
- 4) The column 9 and 11 shall specify the currency codes in accordance with the national classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for Currencies and Funds";
- 5) The column 10 shall be filled by debt securities;
- 6) The column 12 shall specify the price, with the accuracy of four decimal places, reflected in the primary document, which shall confirm the transaction (exchange certificate, broker's report and (or) dealer, confirmation received on the international interbank system of information transfer and payment (SWIFT), in tenge. The price of debt securities shall be reflected as a percentage of the nominal value, with an accuracy of four decimal points, taking into account the accumulated remuneration. In the case of payment for the purchase of a security (except for debt securities) in foreign currency, this amount shall be reflected at the market rate of exchange of currency, established on the date of the transaction;
- 7) The column 13 shall reflect the date of initial recognition in accounting;
- 8) The column 14 shall specify the term of redemption of debt securities;
- 9) The column 15 shall specify the purchase value of financial instruments, including expenses directly related to the acquisition, including remuneration and commissions paid to agents, consultants, brokers (dealers), stock exchange collection, as well as bank services for transfer and reduced by the amount of interest paid by buyers to seller (if available);
- 10) The column 16 shall specify the value of securities reflected in the accounting;
- 11) The column 20 shall specify the amount of the formed reserves (provisions) reflected in the accounting;
- 12) When completing the column 21 and 22, the rating of securities on bonds, rating of the issuer on shares, rating of the country on 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 establishment of minimum rating for legal entities and countries, the necessity of which shall be required in accordance with the Legislation of the Republic of Kazakhstan regulating activities of financial organizations, list of rating agencies assigning this rating "(registered in the Register of State Registration of Regulatory Legal Acts № 8318). In case of absence of the rating in the columns 21 and 22 the sign , "no rating" shall be specified. These columns shall not be filled by the state securities of the Republic of Kazakhstan. The column 21 shall reflect the rating on the date of initial recognition in accounting;

13) The columns 23 and 24 shall specify 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 the list category of the stock exchange of the Republic of Kazakhstan in the columns 23 and 24 shall be specified "no listing". These columns shall not be filled by securities of non-residents of the Republic of Kazakhstan and state securities of the Republic of Kazakhstan. The column 23 shall reflect the category of the stock exchange list on the date of initial recognition in accounting;

14) The column 25 shall specify the coupon rate on debt financial instruments on the date of submission of the Form;

15) The table shall not specify the securities acquired at the expense of pension assets.

7. According to table 2:

1) The column 2 shall specify full name or the name of the client of the managing investment portfolio and the issuer of the security;

2) The column 4 shall specify the type of the security, acquired on operations "reverse repo", with indication of its type;

3) The columns 7 and 8 shall specify, the currency codes in accordance with the national classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for Currencies and Funds";

4. The columns 9 and 10 shall specify the cost with the accuracy of four decimal places, reflected in the primary document, which shall confirm the implementation of the "reverse repo" operation. In case of payment of the purchased security in foreign currency, the columns 10 and 12 shall be filled with simultaneous reflection of the equivalent in the national currency – tenge in the columns 9 and 11, in case of payment of the purchased security in national currency –tenge shall be filled in the columns 9 and 11;

5) The column 15 shall specify the value reflected in the accounting;

6) when completing the columns 17 and 18 the rating of securities on bonds, rating of the issuer on shares, rating of the country on the state securities, assigned by one of rating agencies, specified in paragraph 3 of the resolution of the Board of National Bank of the Republic of Kazakhstan dated December 24, 2012 № 385 "On establishment of a minimum rating for legal entities and countries, the necessity of which shall be required in accordance with the Legislation of the Republic of Kazakhstan regulating activities of financial organizations, list of rating agencies assigning this rating "(registered in the Register of State Registration of Regulatory Legal Acts №8318). In case of absence of the rating in the columns 17 and 18 the sign,

"no rating" shall be specified. These columns shall not be filled by the state securities of the Republic of Kazakhstan. The column 17 shall reflect the rating on the date of initial recognition in accounting;

7) The columns 19 and 20 shall specify 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 the list category of the stock exchange of the Republic of Kazakhstan columns 19 and 20 shall specify "no listing". These columns shall not be filled by securities of non-residents of the Republic of Kazakhstan and state securities of the Republic of Kazakhstan. The column 19 shall reflect the category on the date of initial recognition in accounting;

8) The table shall not specify the securities acquired under the "reverse repo" operations at the expense of pension assets.

8. According to table 3:

1) The column 2 shall specify full name or the name of the client of the investment portfolio management and the bank;

2) When completing the columns 3 and 4 shall be reflected the rating of the second-tier bank, 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 establishment of a minimum rating for legal entities and countries, the necessity of which shall be required in accordance with the Legislation of the Republic of Kazakhstan regulating activities of financial organizations, list of rating agencies assigning this rating "(registered in the Register of State Registration of Regulatory Legal Acts №8318). In case of absence of rating in the columns, 3 and 4 the sign "no rating" shall be specified. These columns shall not be filled by contribution in the National Bank of the Republic of Kazakhstan;

3) The column 5 shall specify currency codes in accordance with the national classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for Currencies and Funds";

4) The column 8 shall specify the term of the contribution under the bank contribution agreement, the term shall be reflected in the prolongation of the contribution;

5) The columns 9 and 10 shall specify the date and periodicity of payment of accrued remuneration in accordance with the terms of the bank contribution contract;

6) The columns 13 and 14 shall specify the amount of placement of clients' assets in the contribution to the National Bank of the Republic of Kazakhstan and the second tier banks. In case of placement of pension assets in the contribution in foreign currency the column 14 shall be filled with simultaneous reflection of the equivalent in national currency-tenge in the column 13, in case of placement of pension assets in the contribution in national currency-tenge it shall be filled in the column 13;

- 7) The column 15 shall specify the value reflected in the accounting;
 - 8) The table shall be filled with an indication of the amount of contribution separately for each bank and for each currency of the contribution;
 - 9) The table shall not specify deposits placed at the expense of pension assets.
9. In case of the absence of information, the Form shall be submitted with zero balances.

Appendix 9
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

Form intended for collection of administrative data
Report on the structure of other property of the investment fund
Reporting period: on " ___ " _____ 20__

Index: 7-RCB_PROPERTY

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

№ r/n	The name of the investment fund	Property name	Acquisition cost	Ballance value	Date of registration	Note
1	2	3	4	5	6	7
1.	x	Allotments				
1.1.						
...						
2	x	Buildings and constructions				
2.1.						
...						
3.	x	Other fixed assets				
3.1.						
...						
	Total					

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
on structure report form
of other property
investment fund

Explanation for completing the form to collect administrative data

Report on the structure of other property investment fund

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on the structure of other property investment fund" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be made monthly by the investment portfolio management and shall be filled at the end of the reporting period. . The data in the form shall be filled in thousands of tenge. The sum of less than KZT 500 (five hundred) shall be rounded to 0 (zero) and the sum equal to KZT 500 (five hundred) and above, shall be rounded up to KZT 1000 (thousand).

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The column 3 shall specify the name of other property and its location.

6. The column 4 shall specify the data estimated at the actual cost. Costs incurred in the transaction (directly related to the acquisition of other property), including remuneration and commission fees paid to agents, suppliers, as well as bank transfer costs shall be included in value of the property. The cost of other property for the given

date also shall include the remuneration accrued for the period up to the moment of purchase (if available).

7. The column 5 shall specify the value of the property reflected in the accounting.

8. In the absence of information, the form shall be submitted with zero balances.

Appendix 10
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

Form intended for collection of administrative data

Report on investments of investment fund and other clients in the capital of legal entities, non

joint-stock companies

Reporting period: on " ___ " _____ 20__

Index: 8-RCB_IKDU_client

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

№ r/n	Customer name of investment portfolio manager	Issuer's name	Purchase value (in thousands of tenge)	Payment date	Balance value (in thousands of tenge)	Share in the issuer's share capital (%)	Ownership registration date	Примечание
1	2	3	4	5	6	7	8	9
1.	Total investment funds							
1.1								
...								
2.	Total other clients							
2.1								
...								
	Total:							

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor

full name signature

Phone number: _____

Date of signing of the report " ___ " _____ 20 ___

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to form of investment report of the
investment fund and
other clients in capital
of legal entities, non
joint stock companies

**Explanation for completing the form to collect administrative data
Report on investments of investment fund and other clients in the capital of
legal entities that
are non joint-stock companies**

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on investments of investment fund and other clients investment in the capital of legal entities, non- joint stock companies "(hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be made monthly by the investment portfolio management, and shall be filled at the end of the reporting period. The data in the Form shall be filled in thousands of tenge. The sum of less than KZT 500 (five hundred) shall be rounded to 0 (zero) and the sum equal to KZT 500 (five hundred) and above, shall be rounded up to KZT 1000 (thousand).

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The column 2 shall specify full name of the individual, the name of the investment fund or the legal entity, the client of the investment portfolio management.
6. The column 4 shall specify the purchase value of shares on the date of purchase.
7. The column 6 shall specify the value of investments reflected in the accounting.
8. The Form shall be filled in the context of each customer.
9. In the absence of information, the Form shall be submitted with zero balances.

Appendix 11
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

Form intended for collection of administrative data

Report on the value of pension assets

Reporting period: for _____ 20__

Index: 9-RCB_PA

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

№ r/n	Indicator	date,	
		month, year	... month, year
1.	2.	3.
1.	Balance on investment accounts at the beginning of the day, including:		
1.1	in tenge		
1.2	in foreign currency		
2.	Received money for investment accounts at the end of the day, including:		
2.1	in tenge		
2.2	in foreign currency		
3.	Disposal of investment accounts at the end of the day, including:		
3.1	in tenge		
3.2	in foreign currency		
4.	Balance on investment accounts at the end of the day ((1)+(2)-(3)), including:		
4.1	in tenge		
4.2	in foreign currency		

5.	The value of other assets at the beginning of the day, including:			
5.1	in tenge			
5.2	in foreign currency			
6.	The value of other assets at the end of the day, including:			
6.1	in tenge			
6.2	in foreign currency			
7.	Total cost of financial investments at the beginning of the day, including:			
7.1	Financial derivatives			
8.	Received financial instruments at the end of the day			
9.	Disposal of financial instruments at the end of the day			
10.	Total cost of financial investment at the end of the day ((7)+(8)-(9)+(11)-(11.4.1)), including:			
10.1	Financial derivatives			
11.	Accrued investment income (expense) at the end of the day, including			
11.1	income (expenses) associated with financial instrument remuneration			
11.2	income (expense) from changes in the value of securities estimated at fair value			
11.3	income (expense) from changes in the value of other assets			
11.4	income (expense) from foreign exchange revaluation, including:			
11.4.1	income (expense) from revaluation of money in an investment account and other assets			
11.4.2	income (expense) from revaluation of financial investments			
11.5	income (expenses) associated with the recovery (formation) of reserves (provisions) to cover possible losses from impairment of securities			
11.6	other income (expenses)			
12.	Total current value of pension assets at the end of the day ((4)+(6)+(10))			
13.	Commission remuneration from pension assets at the end of the day, including:			
13.1	accrued			
13.2	paid			
14.	Balance of the debt on commission remuneration from pension assets			
15.	Commission remuneration from investment income at the end of the day, including			
15.1	accrued			
15.2	paid			
16.	Balance of the debt on commission remuneration from investment income			
17.	Accrued pension liabilities related to pension assets at the end of the day, including:			
17.1	erroneous (incorrectly credited) amounts			
17.2	payments and transfers			
17.3	others			
18.	Pension liabilities related to pension assets fulfilled by the voluntary savings pension fund at the end of the day:			
18.1	erroneous (incorrectly credited) amounts from investment accounts			
18.2	payments and transfers			

18.3	others			
19.	Balance of pension liabilities at the end of the day			
20.	Total liabilities for pension assets at the end of the day ((15)+(17)+(19)):			
21.	Total value of "clean" pension assets at the end of the day ((12)-(20))			

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ___ " _____ 20 ___

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to the form of the value report
of pension assets

Explanation for completing the form to collect administrative data

Report on the value of pension assets

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the Form intended for collection of administrative data " Report on the value of pension assets" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be made monthly by a voluntary accumulative pension fund and shall be filled during the reporting period. The data in the form shall be in tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the form

5. The Form shall be filled in for each day of the reporting month. Information on indicators "date, month, year" shall be specified in the format "dd. mm. yyyy".

6. The amount equivalent to tenge shall be reflected in lines 1.2, 2.2, 3.2, 4.2, 5.2 and 6.2.

7. The line 6, as reflected in a footnote to the Form, shall specify the list of other assets at the end of the reporting period.

8. The information on the financial instruments, which shall be estimated on actual expenses, shall be specified when filling in line 8. Costs, incurred in the transaction (directly related to the acquisition of financial instruments), including remuneration and commission remuneration paid to agents, consultants, brokers (dealers), stock exchange remuneration, as well as bank transfer costs shall be included in the cost of these financial instruments. The cost of financial instruments also shall include the remuneration, accrued for the period up to the moment of purchase (if available).

9. The line 9 shall specify the information on the realized or repaid financial instruments on actual cost of realization or repayment

10. The line 10 shall specify information in accordance with the data of the report on the structure of the investment portfolio of pension assets.

11. The line 11.5 shall specify the reserves (provisions) once a month at the end of the date of their formation.

12. The line 11.6 shall specify the attached. List of sources of received income and information on the incurred losses included in the value of pension assets.

13. The lines 13 and 15 shall specify the amount of commission remuneration of the voluntary accumulative pension fund.

14. When filling in lines 14 and 16, the balance of the commission remuneration shall be specified by the cumulative total, taking into account the data at the end of the reporting period.

15. When filling in the lines 17.2 and 18.2 the sums of transfers of pension savings to the single accumulative pension fund, other voluntary accumulative pension funds, to insurance organizations, sums paid to recipients and other persons, amounts of tax income from pension payments.

16. The list of liabilities included in the value of the pension assets shall be attached when filling in the lines 17.3 and 18.3.

17. In the absence of information, the form shall be submitted with zero balances.

Appendix 12
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

Form intended for collection of administrative data

Report on the structure of the investment portfolio of pension assets

Reporting period: on " ___ " _____ 20__

Index: 10-RCB_SPPA

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: the National Bank of the Republic of Kazakhstan

Submission term: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

Table 1. Securities acquired from pension assets

No r/ n	Issuer's name	Type of economic activity	Country of issuer	Type of a security	Identificatin number
1	2	3	4	5	6
1	State securities of the Republic of Kazakhstan				
1.1.		x			
...		x			
2	Non-state issue securities of organization of the Republic of Kazakhstan				
2.1.	Second-tier bank securities				
2.1.1					
...					
2.2.	Securities of legal entities with the exception of second-tier banks				
2.2.1					
...					
3.	Securities of foreign states				
3.1.		x			
...		x			
4.	Non-state securities of issuer-nonresidents of the Republic of Kazakhstan				
4.1.		x			
...		x			
5.	Securities of international financial organizations				
5.1.		x			
...		x			
6	Stocks				
6.1.					

continuation of the table:

Remuneration rate (in percentage per annum)		Amount of main debt on contribution		Current value			Reference: formed reserves (provisions)
nominal	effective	total (in tenge)	in foreign currency	including (in tenge)	including, accrued remuneration		
					in tenge	in foreign currency	
11	12	13	14	15	16	17	18
...							

Table 4. Refined precious metals (in tenge)

№	Name of refined precious metals	Number of troy pound	Currency of payment	Price of purchase for troy pound		Total purchase value		Current value	
				In tenge	In currency	In tenge	In currency	In tenge	In currency
1	2	3	4	5	6	7	8	9	10
	Total:								

Table 5. Contingent requirements (liabilities) (in tenge)

№	The name of a derivative financial instrument	Underlying asset	Currency	Identification number	Amount of requirements (liabilities) as of the date of the derivative transaction	Current value on the reporting date
1	2	3	4	5	6	7
1	Contingent requirements for derivative financial instruments					
1.1						
1.1.1						
1.1.n						
2	Contingent liabilities on derivatives					
2.1						
2.1.1						
2.1.n						

**Explanation on filling in a form designed to collect administrative data
Report on the structure of the investment portfolio of pension assets
Chapter 1. General provisions**

1. This Explanation (hereinafter – the Explanation) shall define the unified requirements for filling in a form intended to collect administrative data "Report on the structure of the investment portfolio of pension assets" (hereinafter – the Form).

2. The form shall have been developed in accordance with paragraph 6) of Article 9 of the Law of the Republic of Kazakhstan dated 4 July 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations".

3. The form shall be drawn up monthly by a voluntary accumulative pension fund and shall be completed at the end of the reporting period. The data in the Form shall be filled in tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. According to table 1:

1) The table shall provide data on securities and the rights of the issuer's liabilities on the emission securities;

2) The column 3 shall specify the type of economic activity in accordance with the general classifier of economic activities of the SC RK 03-2007. This column shall be filled in on non-state securities of resident issuers of the Republic of Kazakhstan;

3) The column 5 shall specify the type of purchased security with the type of security;

4) The column 6 shall specify the identification number of the security;

5) The column 7 shall specify the number of securities purchased in pieces. Debt securities shall be indicated at nominal value in the issuance currency;

6) The columns 8 and 10 shall specify, currency codes in accordance with the national classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for currencies and funds";

7) The column 9 of the bonds shall specify the monetary expression of the value of the bond as defined in its issuance, which shall be accrued a percentage of the coupon bond's remuneration, as well as the amount to be paid to the bond holder at its issuance redemption. The amount shall be specified in the currency issue;

8) The columns 11 and 12 shall specify the price with accuracy to four decimal points, reflected in the primary document, which shall confirm the implementation of the transaction (stock certificate, broker's report and/or dealer, confirmation obtained by international interbank information transfer and payment system (SWIFT)). In the case of payment of purchased securities in foreign currency shall be filled with the column 11 with a simultaneous reflection of the equivalent in the national currency - tenge in the column 12, in the case of payment of the purchased securities in the

national currency - tenge shall be filled with column 11. In column 11, the price of debt securities shall be reflected as a percentage of face value, with accuracy up to four decimal places, taking into account the accumulated remuneration;

9) The column 13 shall reflect the date of initial recognition in accounting;

10) The column 14 shall specify the maturity of debt securities;

11) The column 15 shall specify the purchase value of the securities, including costs directly related to the acquisition, including fees and commissions paid to agents, consultants, brokers (dealers), stock exchange fees, and bank fees translation services and reduced by the amount of interest paid by the buyer to the seller (if available);

12) The column 16 shall specify the current value of securities reflected in the accounting;

13) The column 20 shall specify the category of securities "valued at fair value" "valued at amortized value";

14) When filling out the columns 21 and 22, shall be reflected the bond securities rating, the issuer's rating on shares, the country's rating on government securities, assigned by one of the rating agencies specified in paragraph 3 of Resolutions of the Board of the National Bank of the Republic of Kazakhstan dated December 24, 2012 No. 385 "On setting a minimum rating for legal entities and countries, the need to have which shall be required in accordance with the Legislation of the Republic of Kazakhstan, regulating activities of financial institutions, the list of rating agencies assigning this rating" (registered in the Register of State Registration of Regulatory Legal Acts № 8318) (hereinafter - Resolution №385). In the absence of a rating, the columns 21 and 22 shall specify "no rating." These columns shall not be filled by the state securities of the Republic of Kazakhstan. The column 21 shall reflect the rating on the date of initial recognition in accounting;

15) The columns 23 and 24 shall specify 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 of the stock, exchange of the Republic of Kazakhstan, "no listing". These columns shall not be filled by securities of non-residents of the Republic of Kazakhstan and state securities of the Republic of Kazakhstan. The column 23 shall reflect the stock exchange list category as of the date of initial recognition in accounting;

16) The column 25 shall specify a coupon rate on debt financial instruments as of the date of the form's submission.

6. According to table 2:

1) the column 4 shall specify the type of security purchased by repo transactions, indicating its type;

2)) the columns 7 and 8 shall specify currency codes shall be specified in accordance with the national classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for currency and funds";

3) the columns 9 and 10 shall specify the price with accuracy to four decimal points , reflected in the primary document, which shall confirm the reverse repo operation. In the case of payment of purchased securities in foreign currency, the columns 10 and 12 shall be filled with simultaneous reflection of the equivalent in the national currency - tenge in columns 9 and 11, the columns 9 and 11 shall be filled in the case of payment of purchased securities in the national currency - tenge;

4) the column 15 shall specify the current value reflected in the accounting.

7. According to table 3:

1) When filling out the columns 3 and 4, the rating shall be reflected, assigned by one of the rating agencies, specified in paragraph 3 of Resolution №385. In the absence of the rating in columns 3 and 4, "no rating" shall be specified. These columns shall not be filled by deposits in the National Bank of the Republic of Kazakhstan;

2) The column 5 shall specify currency codes in accordance with the national classifier of the Republic of Kazakhstan NC RK 07 ISO 4217-2012 "Codes for designation of currency and funds";

3) The column 8 shall specify the deposit term under the contract of a bank deposit, when prolongation of a deposit, the term shall be reflected taking into account prolongation;

4) The columns 9 and 10 shall specify date and frequency of payment of the saved-up remuneration according to terms of the contract of a bank deposit;

5) The columns 13 and 14 shall specify the sum of placement of pension assets in a contribution in the National Bank of the Republic of Kazakhstan and in the second-tier banks. In case of placement of pension assets in contribution in foreign currency the column 14 shall be filled with simultaneous reflection of an equivalent in national currency – tenge, in the column 13, the column 13 shall be filled in case of placement of pension assets in contribution in national currency – tenge,;

6) The column 15 shall specify the value of contribution, reflected in accounting;

7) The column 18 shall specify the sum of reserves (provisions) reflected in accounting;

8) the table shall be completed with the indication of the sum of contribution separately on each bank and on each currency of a contribution.

8. According to table 4:

1) The column 4 shall specify codes of currencies according to the national classifier of the Republic of Kazakhstan NC PK 07 ISO 4217-2012 "Codes for designation of currencies and funds";

2) The columns 5 and 7 shall specify the purchase price at the market rate of a currency exchange, which developed for date of transaction, the column 10 shall reflect the sum at the market rate of a currency exchange, which developed for reporting date. The columns 5, 7 and 9 shall be filled in case of acquisition of the refined precious metal in national currency –tenge;

3) The columns 9 shall specify the current cost, reflected in accounting.

9. According to table 5:

1) The columns 3 shall specify the basic asset of a derivative financial instrument (the name of the security and its issuer, currency, a remuneration rate, goods and other basic assets);

2) The columns 4 shall specify the transaction currency. The code of currency shall be specified according to the national classifier of the Republic of Kazakhstan NC PK 07 ISO 4217-2012 "Codes for designation of currencies and funds";

3) The columns 5 shall be filled out in case of the security to be a basic asset of a derivative financial instrument;

4) The columns 6 shall specify the sum of contingent requirements and liabilities that shall be formed when carrying out operation with derivative instruments, according to 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 Instruction for conducting accounting of the operations with pension assets, carried out by the unified accumulative pension fund and the voluntary accumulative pension funds" (registered in the Register of the State Registration of Regulatory Legal Acts under № 7118);

5) The columns 7 shall specify the market value (replacement value) of a derivative financial instrument which shall represent itself:

on purchase transactions - the amount exceeding the current market value of the derivative financial instrument over the nominal contract value of the derivative financial instrument (contingent requirements), the amount exceeding the nominal contractual value of a derivative financial instrument over the current market value of a derivative financial instrument (contingent liabilities);

on sales transactions - the amount exceeding the nominal contract value of the derivative financial instrument over the current market value of the derivative instrument (contingent requirements), the amount exceeding the current market value of a derivative financial instrument over the nominal contract value of a given derivative financial instrument (conditional liabilities).

10. In the absence of information, the Form shall be presented with zero balances

The form intended for collecting administrative data

**Report on volumes of pension accumulative and number of contributors/
recipients of**

voluntary pension contributions

Reporting period: on " ___ " _____ 20 ___

Index: 12-RCB_DPV

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

Age of contributors / recipients	Men		Women	
	Number (persons)	Amount	Number (persons)	Amount
1	2	3	4	5
Until 20				
21 year-old				
22 year-old				
23 year-old				
24 year-old				
25 year-old				
26 year-old				
27 year-old				
28 year-old				
29 year-old				
30 year-old				
31 year-old				
32 year-old				
33 year-old				
34 year-old				
35 year-old				
36 year-old				
37 year-old				
38 year-old				
39 year-old				
40 year-old				

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

Note: _____

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ___ " _____ 20 ___

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to form of the volumes report
pension savings and
number of contributors /
recipients of voluntary
pension contributions

**Explanation on filling of the form intended for collecting administrative data
Report on volumes of pension accumulative and number of contributors/
recipients of**

voluntary pension contributions

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on volumes of pension savings and the number of contributors/recipients of voluntary pension contributions" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

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

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. An explanation on completing the Form

5. When filling out the Form if there is information on the number of individual pension accounts with the individual identification number of contributors/recipients without pension accumulative, as well as the number of individual pension accounts without an individual identification number (including the amount of pension savings) the information on them shall be reflected in the note to the Form.

6. The columns 2 and 4 shall specify the number of contributors/recipients separately for men and women (in the corresponding columns) who have entered into a pension agreement, by split according to the age of the contributors/recipient. The amount of pension savings shall be specified in columns 3 and 5 respectively.

7. In case of the absence of information, the Form shall be submitted with zero balances

Appendix 14
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

The form intended for collecting administrative data

Report on pension payments

Reporting period: on " ___ " _____ 20 ___

Index: 13-RCB_ Vyplaty

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission ter: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in thousands of tenge)

Article name	Symbol	Since the beginning of the current year		
		Number of contributors/ recipients	number of payments	amount
1	2	3	4	5
Pension saving payments	100			

Voluntary pension contributions:	300			
When reaching the age of fifty	301			
on disability	302			
in connection with the departure from the Republic of Kazakhstan	303			
heirs	304			
to be buried	305			
others	306			
Transfer of pension savings to the insurance organization	400			
voluntary pension contributions:	600			
by age	601			
on disability	602			
other pension payments	700			
Total	1000			

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ___ " _____ 20 ___

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form about
pension payments

Explanation on filling of the form intended for collecting administrative data

Report on pension payments

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data "The report on pension payments" " (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

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

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The column 3 shall specify the number of contributors/recipients from whose accounts payments from the beginning of year (accumulated total) shall be made.

6. The column 4 shall specify the number of payments made to contributors/recipients from the beginning of the year (accumulated total). Information on the number of payments shall be reflected, proceeding from the made payments (transactions) to contributors /recipients.

7. The column 5 shall specify the amount of payments from the beginning of the year (accumulated total).

8. In case of absence of information, the Form shall be submitted with zero balances.

Appendix 15
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

Form intended for collection of administrative data

The report on conclusion of transactions on investing in clients' assets

Reporting period: on _____ 20 __

Index: 14-RCB_DEALINGS_client

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: monthly not later than the fifth working day of the month following the reporting month

Form

(name of Organization)

Table 1. The securities acquired at the expense of clients' assets
(in tenge)

№	Name of the client	Date of conclusion of transaction	Calculation date on transactions	Name of broker and/or dealer	Type of transaction	Market	Type of security and issuer name
1	2	3	4	5	6	7	8
1	Total pension assets						
1.1							
...							
2	Total investment fund assets						
2.1							
...							
3	Total other clients						
3.1							
...							
4	Total						

continuation of the table:

Identification number	Currency of nominal value	Nominal value of a security	Number of securities	Currency of payment	Cost of purchase (sale) for a security	Minimal price for a security on the date of conclusion of transaction	Maximum price for security on a date of conclusion of transaction
9	10	11	12	13	14	15	16
...							

continuation of the table:

Market price for a security on a date of conclusion of transaction	Income by securities (in percentages)	Volume of transaction	Name of counterpart	Rating of counterpart	
				On a date of conclusion of transaction	On reporting date
17	18	19	20	21	22
...					

Table 2. Contributions in the National bank of the Republic of Kazakhstan and second – tier banks
(in tenge)

№	Name of the client	Date of money transaction	Name of the bank	Operations on contribution	Number of operations
---	--------------------	---------------------------	------------------	----------------------------	----------------------

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor

full name signature

Phone number: _____

Date of signing the report " ___ " _____ 20 ___

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form on settlements
of transactions on investment
clients' assets

Explanation on completing the Form intended for collecting administrative data

Report on settlements of transactions on investment clients' assets

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data "The report on settlements of transactions on investment clients' assets" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be made monthly by the investment portfolio management. The data shall be filled in tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. According to table 1:

1) The column 6 shall specify the type of transaction (purchase, sale, repayment, repayment of the coupon, payment of dividends, operation of the reverse repo - opening (closing) and other);

2) The column 7 shall specify the organizer of the auction in whose trading system the transaction shall be carried out or that the transaction shall be conducted in the unorganized market;

3) The column 8 shall specify the name of the issuer and a type of securities. In case of transaction in the international market shall be used trade codes on classification of REUTERS;

4) The columns 10 and 13 shall specify codes of currencies according to the national classifier of the Republic of Kazakhstan NC PK 07 ISO 4217-2012 "Codes for designation of currencies and funds";

5) The column 12 shall specify the number of securities in pieces. Debt securities shall be specified at nominal value in issuance currency;

6) The columns 14 shall specify the price, with accuracy to four decimal points, reflected in the primary document, which shall confirm the implementation of the transaction (stock certificate, broker's report and/or dealer, confirmation obtained by international interbank information transfer and payment (SWIFT) system, in tenge. The price of debt securities shall be reflected as a percentage of nominal value, with accuracy up to four decimal places, taking into account the accumulated remuneration. In the case of settlement of the transaction (except for transactions with debt securities) in foreign currency, this amount shall be reflected in the market exchange rate of currencies, formed on the date of settlement of the transaction;

7) The columns 15 and 16 shall specify the prices according to the transactions on purchase (sale) of assets (depository receipts) concluded on the international (foreign) stock exchanges on which this financial instrument, according to the information and analytical systems of Bloomberg or REUTERS in currency of nominal value;

8) The columns 18 shall specify the yield on the securities as a percentage of the annual interest (on the bond transaction - the yield formed as a result of the divestment or acquisition; on repo transactions and "reverse repo" - the yield formed as a result of the transaction repo);

9) The column 19 shall specify the volume of the transaction minus the transaction costs, with accuracy to two decimal points;

10) The columns 20, 21 and 22 shall be filled in on transactions made in the international (foreign) securities market.

6. According to 2:

1) The column 3 in the case of a contribution, shall be specified the date of money transaction from the client's bank account to the bank account at the National Bank of the Republic of Kazakhstan or the second –tier bank, or the date of advance refund or in case of termination of the contract - the date of refund into a client's bank account;

2) The column 5 shall specify contribution transactions (contribution of money, payment of remuneration on contribution, advance refund of contribution or refund of contribution at the end of the term of the contract of the bank contribution);

3) The column 11 shall specify the amount taking into account the estimated remuneration following the results of operation on a contribution to within two signs after a comma.

7. According to table 3:

1) The column 3 shall specify transaction date (trade date);

2) The column 6 shall specify the type of transaction (purchase, sale);

3) The column 7 shall specify the name of types of the affined precious metals with the indication of a type of the metal account (the allocated metal account or not allocated metal account);

4) The column 9 shall specify codes of currencies according to the national classifier of the Republic of Kazakhstan NC PK 07 ISO 4217-2012 "Codes for designation of currencies and funds";

5) The column 11 shall specify the amount to two decimal points.

8. In case of absence of information, the Form shall be submitted with zero balances.

Appendix 16
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

The Form intended for collecting administrative data

The report on concluded transactions on the investment of own assets

Reporting period: on _____ 20 __

Index: 15 - RCB_DEALINGS_SA

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: the National Bank of the Republic of Kazakhstan

Submission term: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)

Table 1. Securities acquired from own assets

(in tenge)

--	--	--	--	--	--	--	--

№	Contracting date	Settlement date for the transaction	The name of the broker and/or the dealer	Type of the transaction	Market	The type of a security and the name of issuer	Identification number
1	2	3	4	5	6	7	8

continuation of the table:

Currency of nominal value	Nominal value of a security	Number of securities	Currency of payment	Purchase price (sale) per security	Minimum price per security on the date of the transaction	Maximum price per security on the date of the transaction
9	10	11	12	13	14	15

continuation of the table:

Yield on securities (percentage)	Volume of transaction	Name of contractor	Rating of contractor	
			Contracting transactions date	Reporting date
16	17	18	19	20

Table 2. Contributions in the National Bank of the Republic of Kazakhstan and second-tier banks (in tenge)

№	Date of transfer of money	Name of bank	Operations on contribution	Operation amount	Contracting date and number of contracts of a bank contribution	Contribution term (in days)	Remuneration rate (as a percentage annual)	Contribution currency	Contribution amount
1	2	3	4	5	6	7	8	9	10

Table 3. The affined precious metals acquired at the expense of own assets (in tenge)

№	Date of transaction	Name of the contractor	Paying for services	Type of the transaction	Type of the affined precious metal	Volume of the transaction (of units)	Currency of payment	Purchase price per unit	Amount of transaction
1	2	3	4	5	6	7	8	9	10

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to form of the report on concluded
transactions on the investment
of own assets

Explanation on filling of the form intended for collecting administrative data The report on the concluded transactions on the investment of own assets

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data "The report on concluded transactions on the investment of own assets" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be made monthly by the investment portfolio management. Data in the Form shall be filled in tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on filling of the Form

5. According to table 1:

1) The column 5 shall specify the type of transaction (purchase, sale, repayment, repayment of the coupon, payment of dividends, operation of the reverse repo - opening (closing) and others);

3) The column 6 shall specify the organizer of the auction in whose trading system the transaction shall be carried out or that the transaction shall be conducted in the unorganized market;

4) The column 7 shall specify the name of the issuer and a type of securities. In case of transaction in the international market shall be used trade codes on classification of REUTERS;

5) The columns 9 and 12 shall specify codes of currencies according to the national classifier of the Republic of Kazakhstan NC PK 07 ISO 4217-2012 "Codes for designation of currencies and funds";

6) The column 11 shall specify the number of securities in pieces. Debt securities shall be specified at nominal value in issuance currency;

7) The columns 13 shall specify the price, with accuracy to four decimal points, reflected in the primary document, which shall confirm the implementation of the transaction (stock certificate, broker's report and/or dealer, confirmation obtained by international interbank information transfer and payment (SWIFT) system, in tenge. The price of debt securities shall be reflected as a percentage of nominal value, with accuracy up to four decimal places, taking into account the accumulated remuneration. In the case of settlement of the transaction (except for transactions with debt securities) in foreign currency, this amount shall be reflected in the market exchange rate of currencies, formed on the date of settlement of the transaction;

7) The columns 14 and 15 shall specify the prices according to the transactions on purchase (sale) of assets (depository receipts) concluded on the international (foreign) stock exchanges on which this financial instrument, according to the information and analytical systems of Bloomberg or REUTERS in currency of nominal value;

8) The columns 18 shall specify the yield on the securities as a percentage of the annual interest (on the bond transaction - the yield formed as a result of the divestment or acquisition; on repo transactions and "reverse repo" - the yield formed as a result of the transaction repo);

9) The column 17 shall specify the volume of the transaction minus the transaction costs, with accuracy to two decimal points;;

10) The columns 18, 19 and 20 shall be filled in on transactions made in the international (foreign) securities market.

6. According to table 2:

1) The column 2 in the case of a contribution, shall be specified the date of money transaction from the bank account of investment portfolio manager to the bank account at the National Bank of the Republic of Kazakhstan or the second –tier bank, or the date of advance refund or in case of termination of the contract - the date of refund into bank account of investment portfolio manager;

2) The column 4 shall specify contribution transactions (contribution of money, payment of remuneration on contribution, advance refund of contribution or refund of contribution at the end of the term of the contract of the bank contribution);

3) The column 10 shall specify the amount taking into account the estimated remuneration following the results of operation on a contribution to within two signs after a comma.

.7. According to table 3:

1) The column 2 shall specify transaction date (trade date);

2) The column 5 shall specify the type of transaction (purchase, sale and others);

3) The column 6 shall specify the name of types of the affined precious metals with the indication of a type of the metal account (the allocated metal account or not allocated metal account);

4) The column 8 shall specify codes of currencies according to the national classifier of the Republic of Kazakhstan NC PK 07 ISO 4217-2012 "Codes for designation of currencies and funds";

5) The column 11 shall specify amount to two decimal points.

8. In case of absence of information, the Form shall be submitted with zero balances.

Appendix 17
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

The form intended for collecting administrative data
Report on the performed transactions on investments of clients' assets and own assets in
derivative financial instruments
Reporting period: on _____ 20 ____

Index: 16-RCB_PFI

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: the National Bank of the Republic of Kazakhstan

Submission term: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in tenge)

№	Name of the client	Date of the transaction of the transaction	Name of the broker and (or) dealer	Date of registration of financial instruments	Settlement date for the transaction	Type of a derivative financial instrument	Identification number
1	2	3	4	5	6	7	8
1	Total pension assets						
1.1	.						
...							

2	Total assets of investment funds						
2.1	.						
...							
3	Total other assets						
3.1	.						
...							
4.	Total own assets						
4.1	x						
...	x						

continuation of the table:

Market	Basic asset and its rating	Counter agent and rating	Description of transaction terms				
			Type of transaction	Number of financial instruments, pieces	Price of the transaction, tenge	Amount of transaction, one thousand tenges	Currency of transaction
9	10	11	12	13	14	15	16
...							

continuation of the table:

Object of hedging	Number and date of the investment decision	Variable margin on the date of the deal, tenge	Initial margin on the date of the deal, %	Mode of the auction	Note
17	18	19	20	21	22
...					

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

**Explanation on filling of the form intended for collecting administrative data
The report on performed transactions on investment clients' assets and own
assets in
derivative financial instruments
Chapter 1. General provisions**

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data "The report on performed transactions on investment clients' assets and own assets in derivative financial instruments " (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be formed monthly by investment portfolio manager. The data shall be filled out in tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The column 3 shall specify the date of the conclusion of a transaction in a format "dd.mm.yyyy".

6. The column 5 shall specify the date of registration in a format "dd.mm.yyyy" for date of initial recognition in accounting.

7. The column 6 shall specify the date of payment under the transaction in a format "dd.mm.yyyy".

8. The column 7 shall specify the type of a derivative financial instrument (the option, the future, the forward, a swap and other derivative financial instruments).

9. The column 8 shall specify the identification number of the security in case a basic asset of a derivative financial instrument to be the security.

10. The column 9 shall specify the name of the organizer of the auction in which trading system the transaction, and the country of the residence in the format of "the name of stock exchange (country)" or the fact that the transaction shall be made not on the stock exchange in the "unorganized market" format.

11. The column 10 shall specify the basic asset of a derivative financial instrument (the name of the security and its issuer, currency, a remuneration rate, commodity and other basic assets) and rating of a basic asset for date of the conclusion of the transaction assigned by rating agency (if available) in the "basic asset (rating) format. (rating agency)". If the basic asset shall not have ratings, the basic asset shall be specified and the rating shall not be in the "basic asset (no rating) format."

12. The column 11, in case of the transaction shall be concluded not on the stock exchange, shall specify the contractor, the country of the residence and rating for date of the conclusion of the transaction assigned to this contractor in the "contractor/country/rating (rating agency)" format. In case of lack of rating at the contractor, information shall be specified in the format "there is no contractor/country/rating".

13. The column 12 shall specify the type of the transaction (purchase, sale and others).

14 The column 17 shall specify if the transaction shall be concluded for hedging, the words "yes" and details of an object of hedging (the identification number of the security, number, cost, volume, currency) in the format "yes / details of an object of hedging". If the transaction shall be concluded not for hedging, the word "no" shall be specified.

15. The column 18 shall specify the number and date of adoption by investment committee of the investment decision on transaction.

16. The column 19 if available shall specify the variation margin – the monetary value of change of liabilities of the bidder calculated by the exchange and taking into account the change in the quote of the fixed-term contract.

17. The column 20 if available shall specify the initial margin – the share from the total market value of a basic asset determined by the exchange, which the client shall have to bring for each open position.

18. The column 21 shall specify the mode of the auction in format T +0 or T +n, or shall describe other mode of the auction provided by rules of the exchange.

19. The column 22 shall specify conditions of emergence of requirements and liabilities at the parties of the transaction.

20. When making transactions involving the parties to conclude a transaction at the same time two operations (opening and closing) the Report shall reflect information on each transaction.

21. In case of absence of information, the Form shall be submitted with zero balances.

The form intended for collecting administrative data

The report on performed transactions on investment of assets of clients and own assets with affiliates

Reporting period: on _____ 20 __

Index: 17-RCB_AFL

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in tenge)

№	Type of assets/ name of the client	Sign of affiliation of the client	Date of transaction	Market	Type of the transaction	Name of the counterpartner in the transaction	Sign of affiliation of the counterpartner
1	2	3	4	5	6	7	8
1	Total pension assets						
1.1							
...							
2	Total assets of investment funds						
2.1							
...							
3	Total other assets						
3.1							
...							
4.	Total own assets						
4.1	x						
...	x						

continuation of the table:

Parameters of financial instrument							
				The price is	Volume of the		

Type of a financial instrument	The name of the issuer who issued (provided) a financial instrument	Identification number	over one unit	transaction (pieces)	Amount of transaction (tenge)	Expiry date of the contract of a bank deposit	Note
9	10	11	12	13	14	15	16
...							

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ___ " _____ 20 ___

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to form of the report on committed
transactions on investment
assets of clients and own
assets with affiliates

**Explanation on filling of the form intended for collecting administrative data
The report on committed transactions on investment of assets of clients and
own assets
with affiliates**

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data "The report on committed transactions on investment of assets of clients and own assets with affiliates" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be made monthly by the investment portfolio management. Data shall be filled in tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. An explanation on completing the Form

5. The form shall be filled concerning assets of investment funds, pension and own assets.

6. The column 3 shall specify the sign according to which the client shall admit in relation to the investment portfolio manager of the affiliate according to Article 64 of the Law of the Republic of Kazakhstan dated May 13, 2003 "On joint stock companies".

7. The column 4 shall specify the date of transaction in a format "dd.mm.yyyy".

8. The column 5 shall specify the name of the foreign stock exchange in which the transaction shall have been made and the country of its residency in the format of "unorganized market/name of the foreign stock exchange/country of its residence" or that the transaction shall not be done on a foreign stock exchange in an "unorganized market" format.

9. The column 6 shall specify the type of the transaction (purchase, sale, operations of opening and closing of a repo, signing of the contract of a bank deposit and other transactions). On repo operations shall also be specified the type of operations repo: direct or "the reverse repo". According to the transactions concluded in the trading system of stock exchange, the column 16 shall specify the method of the conclusion of transaction.

10. The column 7 shall specify the symbol "B" in case the organization possessing the license for implementation of broker and dealer activity in securities market acted as the broker (with the indication of the person for the benefit of which the broker acted) and a "D" symbol shall be used in case the organization possessing the license for implementation of broker and dealer activity in securities market acted as the dealer. In case of signing of the contract of a bank, contribution the name of bank in which the bank account shall be opened.

11. The column 8 shall specify the sign according to which the counter partner shall admit in relation to the organization exercising investment control of assets of clients, the affiliate according to Article 64 of the Law of the Republic of Kazakhstan dated May 13, 2003 "About joint stock companies".

12. The columns 10, 11 and 12 shall be filled out for transactions on purchase, sale, repayment, operation of "the reverse repo" - opening (closing).

13. The column 14 shall specify the amount without the expenses connected with execution of the transaction (purchase, sale, repayment, operation "reverse "repo" - opening (closing) and others), taking into account the saved-up remuneration to with accuracy to two decimal points.

14. The column 15 shall specify expiration date of the contract of a bank contribution in a format "dd.mm.yyyy".

15. In case of absence of information, the Form shall be submitted with zero balances.

Appendix 19
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

**The form intended for collecting administrative data
The report on transactions (operations) with financial instruments concluded (registered)
in unorganized securities market of the Republic of Kazakhstan
Reporting period: for _____ 20 ____**

Index: 18 - RCB_FI_NEORG

Frequency: monthly

Represent: investment portfolio managers; brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission deadline: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)

(in tenge)

№	Date of the conclusion of the transaction (operation registration)	Type of financial instrument	Identification number of financial instrument	Name of the issuer	Number of financial instruments
1	2	3	4	5	6
Total					

continuation of the table:

The price for a financial instrument	Volume of the transaction of tenge	Consumer	IIN/BIN (if available)	Seller	IIN/BIN (if available)
7	8	9	10	11	12
...					

continuation of the table:

In the capacity of whom participated in the transaction (operation)				Placement	Number, date and time of registration of the client order (order)	Note
Underwriter	Broker	Dealer	Nominal holder			
13	14	15	16	17	18	19
...						

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form on transactions
(operations) with financial
instruments, concluded
(registered) in
unorganized securities market
of the Republic of Kazakhstan

**Explanation on filling of the form intended for collecting administrative data
The report on transaction (operations) with financial
instruments, concluded (registered) in unorganized securities market of the
Republic of Kazakhstan**

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " The report on transaction (operations) with financial instruments, concluded (registered) in unorganized securities market of the Republic of Kazakhstan" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be formed monthly by brokers and (or) dealers. The data shall be filled out in tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The column 2 shall specify the date of the conclusion of transaction (carrying out operation in a system of accounting of a nominal continece in case the transaction shall be made by the client without participation of the broker) in a format " dd.mm.yyyy".

6. The column 5 shall specify the name of the issuer of the financial instrument to be a subject of the transaction (operation).

7. The column 6 shall specify the quantity of the financial instruments, which shall be a subject of the transaction (operation). In case of participation of the broker and (or) the dealer in the transaction (operation) from two parties (as the seller and the consumer at the same time), the specified transaction (operation) shall be reflected in the Form as one transaction (operation).

8. The column 7 shall specify the price for one financial instrument (in tenge) to four decimal points. In case of the conclusion of the transaction in foreign currency, the price shall be specified in tenge at the official rate established by National Bank of the Republic of Kazakhstan for date of the conclusion of the transaction. In case of implementation of payment under the transaction not in day of the conclusion of the transaction, the transaction price shall be specified in tenge at the official rate established by National Bank of the Republic of Kazakhstan for date of implementation of calculations.

9. The column 8 shall specify the volume of transactions (in tenge), to two decimal points.

10. The columns 9 and 11 shall specify a surname, a name and a patronymic name (if available) or the name of the parties of the concluded transactions or persons on whose personal accounts operation shall have been registered. In case of the conclusion of the transaction the broker and (or) the dealer at own expense and in the interests, in the corresponding column shall specify the name of this broker and (or) dealer.

The voluntary accumulative pension funds possessing the license for implementation of broker and (or) dealer activity at transactions at the expense of pension assets columns 9 and 10 shall not be filled out.

11. The column 13 shall use the symbol "A" in case if the Organization shall have been acted as the underwriter on securities of this issuer.

12. In the column 14, the "B" symbol shall be used in case the Organization shall have been acted as the broker.

13. In the column 15, the "D" symbol shall be used in case the Organization shall have been acted as the dealer.

14. In the column 16, the symbol of "ND" shall be used in case the Organization shall have been acted as the nominal holder.

15. In column 17, the following symbols shall be used:

"1" - primary placement of securities;

"2" - the secondary circulation of securities.

16. In column 18 at the conclusion the broker and (or) the dealer of the transaction within dealer activity and also in case of the conclusion of the transaction the voluntary accumulative pension fund possessing the license for implementation of broker and (or) dealer activity in securities market shall specify number and date of adoption by investment committee of the investment decision on the conclusion of the transaction.

In case of registration of operation in a system of accounting of a nominal holding, the column 16 shall specify number, date and time of registration of the order.

Transactions (operation) with financial instruments specified in shape shall not be specified in the Report on the transaction with financial instruments concluded in the international (foreign) securities markets.

In Form of transactions (operations) with financial instruments concluded by the Organization in the unorganized market in which the Organization acted as the broker and (or) the dealer and operations in which the Organization acted as the nominal holder shall be specified. At registration of operations, which led to change of ownership, rights with securities in Form shall be specified in a system of accounting of a nominal holding of the Organization (except for repayment and converting of securities).

17 In case of absence of information, the Form shall be submitted with zero balances.

Appendix 20
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

The form intended for collecting administrative data

Data on the organization possessing the license for implementation of broker and (or) dealer

activity in securities market of the Republic of Kazakhstan

Reporting period: on " ___ " _____ 20 ___

Index: 19 - RCB_SVED_BD

Frequency: quarterly

Represent: brokers and/or dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: quarterly, no later than the last date following reporting quarter

Form

(name of the Organization)

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№ r/ n	Name of the indicator	Data
1	Information about the workers participating in implementation of broker and (or) dealer activity in securities market (a surname, a name, if available - a middle name, a post, date of employment)	
2	Information about the structure of the investment committee, carrying out adoption of investment decisions concerning own assets of the organization (a surname, a name, if available a patronymic name, a post, date and number of the decision on election in the structure of investment committee from what date the worker shall be included in the structure of investment committee)	
3	Information about the Board (a surname, a name, if available a patronymic name, a post, date and number of the decision on election in board, date of inclusion in structure)	
4	Information about the structure of the board of directors (a surname, a name, if available a patronymic name, a post, date and number of the decision on election in the structure of the board of directors, date of inclusion in structure)	
5	Information about the persons owning ten and more percent of voting shares (ten and more percent of shares in authorized capital) the organizations: 1) r e s i d e n t s : for the legal entity: name of the legal entity; data on the state (re) registration of legal entity; business identification number; a ratio of number of the actions belonging to the legal entity to total number of voting shares of the organization or share in authorized capital of the organization (as a percentage); for the individual: a surname, a name, if available - a patronymic name; date of birth; a ratio of number of the shares belonging to the individual, to total number of voting shares of the organization or share in authorized capital of the organization (as a percentage); 2) n o n - r e s i d e n t s : : for the legal entity: name of the legal entity; the postal address and (or) a place of registration and a place of residence of the legal entity (in case the legal entity registered in the territory of an offshore zone, then this offshore zone in compliance by the resolution of the Board of the Agency of the Republic of Kazakhstan on regulation and supervision of the financial market and the financial institutions dated October 2, 2008 №. 145 "On the approval of the list of offshore zones for bank and insurance activity, activity of professional participants of securities market and other licensed types of activity in securities market shall be specified, activity of the accumulative pension funds and joint-stock investment funds" (registered in the Register of the State Registration of Regulatory Legal Acts under № 5371); a ratio of number of shares belonging to the legal entity to total number of voting shares of the organization or share in authorized capital of the organization (as a percentage); for the individual: a surname, a name, if available - a patronymic name; citizenship; legal address and (or) residence; a shares ratio belonging to the individual to total number of voting shares of the organization or share in authorized capital of the organization (as a percentage)	
6	Data on the number of the contracts signed with clients within rendering broker services: the number of contracts on rendering the broker services, not providing provision of services of a nominal holding ; the number of contracts on rendering the broker services providing provision of services of a nominal holding	
7	The name of participants of securities market, concluded contracts with organization for rendering services in professional activity in securities market: date of contract conclusion ; type of service, presented to the organization within the contract conclusion	

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to data form on the organization,
possessing license for
implementation broker and (or)
dealer activity in the market
securities of the
Republic of Kazakhstan

**Explanation on completing the form intended for collecting administrative data
Data on the organization possessing license for implementation of broker and (or) dealer**

activity in securities market of the Republic of Kazakhstan

Chapter 1. General provisions

1. 1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form "Data on the organization possessing the license for implementation of broker and (or) dealer activity in securities market of the Republic of Kazakhstan" (hereinafter - the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be made quarterly by the broker and (or) the dealer.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. An explanation on completing the Form

5. Line 2, 3 and 4 shall not be filled with the second-tier bank, possessing the license for implementation of broker and (or) dealer activity in securities market and the National Mail Operator.

6. Line 5 shall not be filled with the second-tier bank possessing the license for implementation of broker and (or) dealer activity in securities market.

7. Line 6 shall not be filled with the voluntary accumulative pension fund possessing the license for implementation of broker and (or) dealer activity in securities market.

8. In case of absence of information, the Form shall be submitted with zero balances.

Appendix 21
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

The form intended for collecting administrative data

The report on the transactions with financial instruments concluded in the international

(foreign) securities markets

Reporting period: for _____ 20 __

Index: 20 - RCB_DEALINGS_MR

Frequency: monthly

Represent: brokers and/or dealers

Where to submit the form: the National Bank of the Republic of Kazakhstan

Submission deadline: monthly no later than the fifth working day of the month following the reporting month

Form

(name of Organization)

№	Date and time of transaction conclusion	Date of implementation of payment under transaction	Number, date and time of registration of the client order	Type of transaction	Market	Name of the broker and country of the residence	Name of bank custodian
1	2	3	4	5	6	7	8
Total							

continuation of the table:

Name of the foreign nominal holder	International (foreign) settlement and depository system	Identification number of a financial instrument	Type of a financial instrument	Rating	Name of the issuer and country of his residence	The country according to which legislation the release of financial instruments is registered	Quantity of financial instruments
9	10	11	12	13	14	15	16
...							

continuation of the table:

Currency of par value/ Currency of payment	Who was involved in the transaction	Client and country of his residence	The price for a financial instrument		Transaction volume		Note
			in foreign currency	i n tenge	in foreign currency	i n tenge	
17	18	19	20	21	22	23	24
...							

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form of the transactions
with financial instruments,
concluded on international
(foreign) securities markets

**Explanation on filling of the form intended for collecting administrative data
The report on the transactions with financial instruments concluded in the
international
(foreign) securities markets**

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on the transactions with

financial instruments, concluded on international(foreign) securities markets " (hereinafter - the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be made monthly the broker and (or) the dealer.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. An explanation on completing the Form

5. The column 2 shall specify the date and time of the conclusion of the transaction on the time of Astana city in the format "hours: minutes date. month. year".

In the absence of a source document that shall confirm the implementation of the transaction (broker's report, confirmation received by the international interbank information transfer and payment system (SWIFT)) the time of the transaction in this column shall indicate its date.

6. According to column 4, in case of a broker and/or dealer transaction within the dealership activities, as well as in the case of a transaction by a voluntary accumulative pension fund (at the expense of pension assets) or an investment portfolio manager (at the expense of clients' assets), the possessing license to carry out brokerage and/or dealership activities in the securities market, shall be specified by the number and date of the investment committee's decision to conclude the transaction.

7. The column 5 shall indicate the type of transaction (purchase, sale, repo, etc.).

8. The column 6 shall specify the name of foreign stock exchange in which trading system the transaction shall be carried out, and the country of its residence in the "unorganized market / name of foreign stock exchange / country of its residence" format or the fact that the transaction shall be made not on the foreign stock exchange in the "unorganized market" format.

9. The column 7 specify the name of the broker who executed the client's order. If the transaction shall have been executed by another broker (including a foreign broker) who made the transaction on behalf of the organization possessing a license to carry out brokerage and dealership activities in the securities market, the broker and the country of its residence shall be specified. in the "name broker/country" format.

10. The column 10 shall specify the name of the international (foreign) settlement and depository system through which calculations for transactions with financial instruments shall have been performed.

11. The column 13 shall specify the rating assigned to a financial instrument, the debt security, the share security or the rating of the issuer of the share security (in case of lack of rating at the share security shall be specified the rating of the issuer of the share security). All assigned rating shall be specified in case ratings shall be assigned to a financial instrument, the debt security / the share security (the issuer of the share security) by several rating agencies. Ratings shall be specified in the "rating (rating

agency)" format. In case at a financial instrument, the debt security / the share security (the issuer of the share security) ratings shall be absent, then the word "no" shall be used.

12. The column 14 shall specify the name of the issuer of a financial instrument (a basic asset of a financial instrument) and the country of its residence in the "name issuer/country" format.

13. The column 16 shall specify the number of securities in pieces. Debt financial instruments shall be specified at face value in the issuance currency.

14. The column 17 shall specify codes of currencies according to the national classifier of the Republic of Kazakhstan PK 07 ISO 4217-2012 "Codes for designation of currencies and funds". The currency of the face value of financial instruments and the currency of payment under these financial instruments shall be specified in the format of "Currency of face value/currency of payment."

15. In the column 18 the symbol "B" shall be used in case the organization possessing the license for implementation of broker and dealer activity in securities market acted as the broker and a "D" symbol in case the organization possessing the license for implementation of broker and dealer activity in securities market acted as the dealer.

16. If the organization possessing the license for implementation of broker and dealer activity in securities market acted as the broker, the column 19 in the "Full Name or Name client/country" format shall be filled out and a surname, the name and a patronymic name (if available) or the name of the client of this broker, for the account and for the benefit of which the transaction, and the country of the residence shall have been concluded.

The investment portfolio manager with the right of attraction of voluntary pension contributions possessing the license for implementation of broker and (or) dealer activity at transactions at the expense of pension assets shall not fill out this column.

17. The columns 20, 21, 22, 23 shall specify with accuracy to four characters after the comma, the volume of transactions up to two decimal points, reflected in the primary document, which shall confirm the implementation of the transaction (broker's report, confirmation received by international interbank information transfer and payments (SWIFT) document, based on accumulated remuneration. The price of a debt financial instrument shall be reflected in columns 20 or 21 (depending on the currency of the financial instrument issue) as a percentage of the face value with accuracy to four decimal points, taking into account the accumulated remuneration.

When carrying out payment under the transaction with financial instruments in foreign currency shall be filled the columns 20, 21, 22, 23. In case of payment of the acquired financial instrument in foreign currency, this sum shall be reflected at the market rate of a currency exchange which developed for date of implementation of

In whose capacity participated in the transaction	Number, date and time of registration of the client order	Client and country of his residence	Variation margin for date of the conclusion of the transaction, tenge	Initial margin for date of the conclusion of the transaction, %	Mode of the auction	Condition of obligations under the transaction	Note
17	18	19	20	21	22	23	24

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form of transactions
with derivative financial
instruments

Explanation on filling of the form intended for collecting administrative data Report on transactions with derivative financial instruments

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on transactions with derivative financial instruments" (hereinafter - the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be formed quarterly by the broker and (or) the dealer. Data shall be filled out in tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. An explanation on completing the Form

5. When filling columns 2, 3 and 4 the date of conclusion of the transaction, the date of statement of financial instruments on account at the broker and (or) the dealer in the system of internal account and also the date of payment under the transaction shall be specified in a format "dd.mm.yyyy". Time of the conclusion of the transaction shall be specified in "hours/minute/second" format (for transaction concluded in the organized market).

6. The column 3 shall reflect the date of initial recognition in accounting.

7. The column 5 shall specify the type of a derivative financial instrument (the option, the future, the forward, a swap and other derivative financial instruments).

8. The column 6 shall be filled out in case a basic asset of a derivative financial instrument to be a security.

9. The column 7 shall specify the name of the exchange in which trading system shall carried out the transaction, and the country of the residence in the "name exchange/country" format or the fact that the transaction shall be made not at the exchange in the "unorganized market" format.

10. The column 8 shall specify the basic asset of a derivative financial instrument (the name of the security and its issuer, currency, a remuneration rate, goods and other basic assets) and rating of a basic asset assigned by rating agency (if available) in the "basic asset / rating (rating agency)" format. In case at a basic asset ratings shall be absent, then the basic asset and the instruction shall be indicated that the rating be absent in the "basic asset / no rating" format.

11. The column 9 shall specify the word "yes", in case of the conclusion at the exchange of the transaction with participation of the central contractor. The word "no", shall be specified in case of the conclusion at the exchange of the transaction without participation of the central contractor.

12. The column 10 shall specify in case the transaction shall be concluded not at the exchange, the contractor, the country of the residence and rating assigned to this contractor in the "contractor/country/rating (rating agency)" format. In case of lack of rating at the contractor, information shall be specified in the format " no contractor/country/rating".

13. When filling the column 16 if the transaction shall be concluded for hedging, the word "yes" and details of an object of hedging (the identification number of the security, number, cost, volume, and currency) shall be specified in the format "yes / details of an object of hedging". If the transaction shall be concluded not for hedging, the word "no" shall be specified.

14. The column 17 shall specify the "B" symbol if the organization possessing the license for implementation of broker and dealer activity in securities market acted as the broker, a "D" symbol in case the organization possessing the license for implementation of broker and dealer activity in securities market acted as the dealer.

15. When filling out the column 18 in the event of a contract by an organization licensed to carry out brokerage and dealership activities in the securities market, a dealership transaction, and in the event of a voluntary accumulative pension fund (at the expense of pension assets) or an investment portfolio manager (at the expense of clients' assets) licensed to carry out brokerage and/or dealer activities in the securities market, shall specify the number and the date of the investment committee's decision on the transaction.

16. licensed to carry out brokerage and/or dealer activities in the securities market acted as the broker, information shall be specified in the "full name or client's name / country" format and a surname, the name and a patronymic name (if available) or the name of the client of this broker, for the account and for the benefit of which the transaction and the country of the residence shall have been concluded.

The voluntary accumulative pension funds possessing the license for implementation of broker and (or) dealer activity at transactions at the expense of pension assets, shall not be filled out in this column.

17. The column 20 shall specify variation margin - the monetary value of change of liabilities of the bidder calculated by the exchange and considering change of quotation of the urgent contract.

18. The column 21 shall specify the initial margin - the share from the total market value of a basic asset determined by the exchange, which the client must bring for each open position.

19. The column 22 shall specify the mode of the auction in format T+0 or T+n, or other mode of the auction provided by rules of the exchange shall be described.

20. The column 23 shall specify one of the following states according to the transaction:

1) obligations shall be stopped properly or stopped in advance, except for the advance termination of the transaction owing to violations of the terms of transaction or events connected with insolvency of one of the parties;

2) performance of obligations shall be overdosed;

3) performance of obligations shall be suspended on the bases provided by the contract;

4) obligations shall be stopped owing to violation by the party of the terms of transaction or events connected with insolvency of one of the parties;

5) extension of a date of performance of the transaction as a result of approach of the provided circumstance or an event.

21. The transaction detention center shall be specified in column 24.

22. The Form shall not join transactions with depository receipts.

23. In case of absence of information, the Form shall be submitted with zero balances.

The form intended for collecting administrative data

Report on concluded transactions with affiliates

Reporting period: on _____ 20 __

Index: 22 - RCB_AFL

Frequency: quarterly

Represent: brokers and (or) dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: quarterly, no later than the last date following reporting quarter

Form

(name of the Organization)

(in tenge)

№	In whose capacity the organization participated in the transaction	Name of the client	Sign of affiliation of the client	Date of the conclusion of the transaction	Market	Type of the transaction	Name of the counterpartner in the transaction	Sign of affiliation of the counterpartner
1	2	3	4	5	6	7	8	9

continuation of the table:

Parameters of a financial instrument							Note
Type of a financial instrument	The name of the issuer who issued (provided) a financial instrument	Identification number	The price is over one unit	Volume of the transaction, pieces	Amount of transaction, tenge	Expiry date of the contract of a bank deposit	
10	11	12	13	14	15	16	17

First supervisor or person authorized to sign the report

_____ full name signature

Chief accountant or a person authorized to sign the report

_____ full name signature

Executor _____

_____ full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form on
concluded transactions with
affiliates

Explanation on filling of the form intended for collecting administrative data Report on concluded transactions with affiliates

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data "Report on concluded transactions with affiliates" (hereinafter - the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be formed quarterly by the broker and (or) the dealer. The data in the form shall be filled in thousands of tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. An explanation on competing the Form

5. When filling out the Form, the broker and/or dealer filling out the Form shall reflect transactions made at the expense of the clients' own assets and assets with its affiliates, which shall be its counter-partners. When a broker and/or dealer shall fill out a Form, transactions at the expense of clients' assets in the Form shall reflect transactions with affiliates of the organization, which shall be its counter-partners, regardless of whether the clients of the broker and/or the dealer filling the form, its affiliates or to be not.

6. In column 2 shall be used the "B" symbol in case of the organization licensed to operate and dealership in the securities market acted as a broker (indicating the person for whom the broker shall have been acting), the "D" symbol in the if an entity licensed to operate and dealership in the securities market acted as a dealer.

7. The column 4 shall indicate a sign that a client shall be recognized as having a license to carry out brokerage and dealership activities in the securities market, affiliated in accordance with Article 64 of the Law of the Republic of Kazakhstan dated May 13, 2003 "On Shareholders' Societies." If the client shall not be recognized as an affiliate in relation to the Organization, the word "no" shall not be specified.

8. The column 5 shall specify the date of the conclusion of the transaction in a format "dd.mm.yyyy".

9. The column 6 shall specify the name of the stock exchange in which the transaction shall have been made and the country of its residency in the format of "name of stock exchange/country" or the fact that the transaction shall not have been made on the stock exchange in the format of "unorganized market" or "in international market."

10. The column 7 shall specify the type of transaction (purchase, sale, operations of opening and closing of "repo", conclusion of the contract of a bank deposit and other transactions). On "repo" operations, the type of "repo" operations shall also be specified: direct or reverse "repo". According to transactions concluded in the trading system of the stock exchange, the column 17 shall specify the method of making a transaction.

11. When filling out the column 8, a counter partner shall be understood to be in a transaction in which an organization licensed to carry out brokerage and dealership activities in the securities market, filling out the Form, shall participate simultaneously with two parties - the client of the organization, licensed to carry out for the brokerage and dealership activity in the securities market, which shall be affiliated with the entity licensed to carry out brokerage and dealership activities in the securities market. In this case, the "B" symbol shall be specified if the organization that shall have a license to carry out brokerage and dealership activities in the securities market acted as a broker (indicating the client in the interests of the broker) in the "B/" name or surname, name (if available - the client's patronymic name)" format;

another broker and/or dealer, affiliated in relation to an organization licensed to operate and conduct brokerage and dealership activities in the securities market that shall fill out the Form. In this case, the name of the broker shall be specified; client of another broker and/or dealer who shall be affiliated with an organization licensed to carry out brokerage and dealership activities in the securities market that shall fill out the Form. If the name or surname, name (if any) of the client's patronymic name of another broker and/or dealer is known, the name or surname (if any - the middle name) of the affiliate, who is a client of another broker and/or dealer in "name or surname, name (if available - patronymic name) of an affiliate/name of another broker and/or dealer." The name of the affiliate shall be given in italics;

in case of a bank contribution agreement by a broker and/or dealer or other broker and/or the dealer, the name of the bank shall be specified in which shall be opened the bank account.

12. The column 9 shall specify the sign according to which the counter partner shall be admitted in relation to the organization possessing the license to carry out broker and dealer activity in securities market, by the affiliate according to Article 64

of the Law of the Republic of Kazakhstan dated May 13, 2003 "On joint stock companies".

13. The column 15 shall specify the sum without the expenses connected with execution of the transaction (purchase, sale, operation of the reverse repo - opening/closing and others), taking into account the saved-up remuneration with accuracy to two decimal points.

14. The column 16 shall specify expiration date of the agreement of a bank contribution in a format "date.month.year".

15. In case of absence of information, the Form shall be submitted with zero balances

Appendix 24
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

The form intended for collecting administrative data
Report on the balances of money in the broker's accounts
Reporting period: for _____ 20 ____

Index: 23 - RCB __ _DS REST

Frequency: monthly

Represent: brokers and (or) dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: monthly not later than the fifth working day of the month following the reporting month

(name of the Organization)

Date	Cash balance	Cash balance on client account
1	2	3
dd.mm.yyyy		
...		
dd.mm.yyyy		

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

_____ full name signature

Phone number: _____

Date of signing the report " ___ " _____ 20 ___

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form
on the balances of money
in the broker's accounts

Explanation on filling of the form intended for collecting administrative data Report on the balances of money in the broker's accounts

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data "Report on the balances of money in the broker's accounts" (hereinafter – the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be formed monthly by the broker and (or) the dealer. The data in the form shall be filled in thousands of tenge.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. An explanation on completing the Form

5. The Form shall be filled in tenge at the official rate established by the National Bank of the Republic of Kazakhstan for reporting date.

6. The second – tier banks licensed to carry out broker and (or) dealer activity in securities market shall not fill out the column 2.

7. When filling the column 3 shall be specified the balances of money in the broker's accounts opened for transactions with issue securities and other financial instruments on an assignment for the account and for the benefit of the client.

8. In case of absence of information, the Form shall be submitted with zero balances.

**The form intended for collecting administrative data
Report on rendering services by the broker and (or) dealer
Reporting period: on _____ 20 __**

Index: 24 - RCB_USLUG

Frequency: quarterly

Represent: brokers and (or) dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: quarterly, no later than the last date following reporting quarter

Form

(name of the Organization)

№ r/ n	Identification number of a financial instrument	Name of a financial instrument	Name of the issuer / client	Signing date of the agreement	Starting date of rendering services	Type of service
1	2	3	4	5	6	7
1						
...						
n						
Total						

continuation of the table:

Minimum volume of obligatory quotation	Spread	Number of the trading account from which quotations appear	Way of placement of securities according to the agreement	Note
8	9	10	11	12
...				

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor _____

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Explanation on completing the form intended for collecting administrative data Report on rendering services by the broker and (or) dealer

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data "Report on rendering services by the broker and (or) the dealer" (hereinafter - the Form)

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The form shall be formed quarterly by the broker and (or) the dealer.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. Explanation on completing the Form

5. The form shall be filled within rendering services by the broker and (or) dealer with the right of maintaining customer accounts as the nominal holder.

6. The column 4 shall specify the name of the issuer of a financial instrument.

7. The columns 5 and shall be filled out in a format "dd.mm.yyyy".

8. The column 7 shall specify types of rendered services: release and (or) placement of issue securities, market-maker, consultation on the questions connected with activity in securities market, the representative of holders of bonds, the representative of holders of Islamic securities, etc.

9. The column 8, 9, 10 shall be filled when filling line 4.

10 In case of absence of information, the Form shall be submitted with zero balances.

The form intended for collecting administrative data

Report of securities held in nominal holding

Reporting period: on " ___ " _____ 20 ___

Index: 25 - RCB_NOM_DER

Frequency: quarterly

Represent: brokers and (or) dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: quarterly, no later than the last date following reporting quarter

Form

(name of Organization)

№	Identification number	Name of the issuer	Number of the securities held on customer accounts of the broker as of the end of the reporting period (pieces) and number of holders of securities			
			total		Second-tier banks of the Republic of Kazakhstan (owners)	
			securities (pieces)	(holders of securities)	securities (pieces)	holders of securities
1	2	3	4	5	6	7
Total						

continuation of the table:

Number of the securities held on customer accounts of the broker as of the end of the reporting period (pieces) and number of holders of securities					
insurance (reinsurance) companies of the Republic of Kazakhstan (owners)		brokers and (or) dealers of the Republic of Kazakhstan (owners, not being the second – tier banks of the Republic of Kazakhstan)		other licensees of the financial market of the Republic of Kazakhstan (owners)	
securities (pieces)	(securities holders)	securities (pieces)	securities holders	securities (pieces)	(securities holders)
8	9	10	11	12	13
...					

continuation of the table:

Number of securities held on customer accounts of the broker as of the end of the reporting period (pieces) and number of holders of securities							
other legal entities of residents of the Republic of Kazakhstan		other legal entities of non-residents of the Republic of Kazakhstan		individuals of residents of the Republic of Kazakhstan		individuals of non-residents of the Republic of Kazakhstan	
securities (pieces)	(securities holders)	securities (pieces)	(securities holders)	securities (pieces)	(securities holders)	securities (pieces)	(securities holders)
14	15	16	17	18	19	20	21
...							

First supervisor or person authorized to sign the report

full name signature

Chief accountant or a person authorized to sign the report

full name signature

Executor

full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form on securities,
being in nominal holding

Explanation on completing the form intended for collecting administrative data Report on the securities being in nominal holding

Chapter 1. General provisions

1. This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on the securities held in nominal holding" (hereinafter - the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be formed quarterly by the broker and (or) the dealer.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. An explanation on completing the Form

5. Form shall be filled within rendering by the broker and (or) dealer with the right of maintaining customer accounts as the nominal holder.

6. The columns 6, 8, 10, 12, 14, 16, 18 and 20 shall specify the number of securities held on customer accounts of the broker depending on activity and residence of the legal entity and (or) residence of the individual.

7. The columns 7, 9, 11, 13, 15, 17, 19 and 21 shall specify the number of holders of securities depending on activity and residence of the legal entity and (or) residence of the individual.

8. In case of absence of information, the Form shall be submitted with zero balances.

Appendix 27
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

The form intended for collecting administrative data

The report on the securities issued according to the legislation of a foreign state, held in

nominal holding

Reporting period: on " ___ " _____ 20 ___

Index: 26 - RCB_NOM_DER_IN

Frequency: quarterly

Represent: brokers and (or) dealers

Where to submit the form: National Bank of the Republic of Kazakhstan

Submission term: quarterly, no later than the last date following reporting quarter
Form

(name of the Organization)

№ r/ n	Identification number	Name of the issuer	Name of the foreign nominal holder	The name of the nominal holder who renders services in a nominal holding of the securities issued according to the legislation of a foreign state	The name of the owner of the securities issued according to the legislation of a foreign state	The number of the securities issued according to the legislation of a foreign state, held on customer accounts of the broker being the nominal holder as of the end of the reporting period (pieces)
1	2	3	4	5	6	7
1						
...						
n						
Total	x	x	x	x	x	

First supervisor or person authorized to sign the report

_____ full name signature

Chief accountant or a person authorized to sign the report

_____ full name signature

Executor _____

_____ full name signature

Phone number: _____

Date of signing the report " ____ " _____ 20 ____

Note: An explanation for completing the form for the collection of administrative data shall be provided in the Appendix to the present form.

Appendix
to report form on securities,
released according to
legislation of foreign
states, being in
nominal holding

Explanation on completing the form intended for collecting administrative data The report on securities issued according to the legislation of a foreign state, held in a nominal holding

Chapter 1. General provisions

1 This explanation (hereinafter – the Explanation) shall define the unified requirements for filling in the form intended for collection of administrative data " Report on securities issued according to the legislation of a foreign state, held in nominal holding" (hereinafter - the Form).

2. The Form shall be developed in accordance with subparagraph 6) of paragraph 1 of Article 9 of the Law of the Republic of Kazakhstan dated July 4, 2003 "On State Regulation, Control and Supervision of Financial Market and Financial Organizations "

3. The Form shall be formed quarterly by the broker and (or) the dealer.

4. The Form shall be signed by the first head, chief accountant or persons authorized to sign the report, and the executor.

Chapter 2. An explanation on completing of the Form

5. The column 4 shall specify the name of the foreign nominal holder rendering services of nominal holding of securities of nonresident issuers of the Republic of Kazakhstan to the organizations specified in column 5.

6. The column 5 shall specify the name of the organization rendering services in nominal holding of securities of nonresident issuers of the Republic of Kazakhstan to the broker and (or) the dealer (bank – custodian, central Securities depository and the other settlement organizations).

7. The column 6 shall specify the name of the final owner of securities (a surname, a name (if available - a patronymic name) for the individual, the name for the legal entity) - the client of the broker and (or) the dealer being the nominal holder

8. In case of absence of information, the Form shall be submitted with zero balances.

Appendix 28
to resolution № 162 of the Board
of the National Bank
of the Republic of Kazakhstan
dated July 30, 2018

Reporting rules by organizations conducting investment portfolio management, brokerage and/or dealership activity in the securities market of the Republic of Kazakhstan

These Reporting Regulations by organizations conducting investment portfolio management, brokerage and/or dealership activity in the securities market of the Republic of Kazakhstan (hereinafter - Rules) shall be developed in accordance with the Law dated July 4, 2003, "On State Regulation, Control and Supervision of Financial Market and Financial Organizations " and shall determine how reporting shall be reported by organizations, carrying out investment portfolio management, brokerage and/or dealership activity in the securities market of the Republic of Kazakhstan (hereinafter - the Organization) to the National Bank of the Republic of Kazakhstan (hereinafter - the authorized body).

2. Paper reporting as of the reporting date shall be signed by the first head of the Organization (for the period of his absence - the person who shall replace him), the Organization's chief accountant and executor, and shall be kept with the Organization.

3. Electronic reporting shall be provided using a transport system to ensure the delivery of information with cryptographic protections that shall ensure confidentiality and incorrect data.

4. The identity of the data provided electronically on paper shall be provided by the first head of the Organization (for the period of his absence - the person who shall replace him) and the chief accountant of the Organization.

5. Voluntary pension accumulative funds, after checking with the bank-custodian weekly no later than Thursday of the current week, shall make paper based reporting for the period from Tuesday of the last week to Monday of the current week inclusive.

6. The data in the report shall be listed in the national currency of the Republic of Kazakhstan - tenge.

7. In order to form a report, foreign currency assets shall be listed in the market exchange rate, as defined by the Resolution of the Board of the National Bank 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 establishment of the

order of determining and applying the market exchange rate of currency exchange" (registered in the Register of State Registration of Regulatory Legal Acts under № 8378).

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