



**On approval of the Rules and forms for provision by an organization that maintains a system of registers of securities holders of available information on individuals holding securities, as well as on transactions of individuals with securities, and insurance (reinsurance) organizations, insurance brokers, branches of insurance (reinsurance) organizations-non-residents of the Republic of Kazakhstan, branches of insurance brokers - non-residents of the Republic of Kazakhstan of information on insurance contracts concluded by individuals**

*Unofficial translation*

Order No. 488 of the First Deputy Prime Minister of the Republic of Kazakhstan - Minister of Finance of the Republic of Kazakhstan dated May 15, 2020. Registered with the Ministry of Justice of the Republic of Kazakhstan on May 18, 2020 under No. 20653.

Unofficial translation

**Footnote. The heading as amended by Order No. 381 of the Minister of Finance of the Republic of Kazakhstan dated 23.04.2021 (shall be enforced ten calendar days after the date of its first official publication).**

In pursuance of paragraphs 14 and 17 of Article 26 of the Code of the Republic of Kazakhstan of December 25, 2017 "On Taxes and Other Obligatory Payments to the Budget (Tax Code)" **I HEREBY ORDER:**

1. Approve the attached:

1) Rules for provision by an organization that maintains a system of registers of securities holders of available information on individuals holding securities, as well as on transactions of individuals with securities in accordance with Appendix 1 to this Order;

2) the form of information on individuals holding securities in accordance with Appendix 2 to this Order;

3) the form of information on transactions of individuals with securities in accordance with Appendix 3 to this Order;

4) Rules for provision by insurance (reinsurance) companies, insurance brokers, branches of insurance (reinsurance) organizations that are non-residents of the Republic of Kazakhstan, branches of insurance brokers- non-residents of the Republic of Kazakhstan of information on insurance contracts concluded by individuals in accordance with Appendix 4 to this Order;

5) the form of information on insurance contracts concluded by individuals in accordance with Appendix 5 to this Order.

**Footnote. Paragraph 1 as amended by Order No. 381 of the Minister of Finance of the Republic of Kazakhstan dated 23.04.2021 (shall be enforced ten calendar days after the date of its first official publication).**

2. That the following shall be declared to be no longer in force:

1) Order No. 407 of the Minister of Finance of the Republic of Kazakhstan dated July 28, 2016 “On Approval of the Rules and Document Forms for Submission of Information on Individual Holders of Securities, as well as Information on Insurance Contracts Concluded by Individuals” (registered with the Register of State Registration of Regulatory Legal Acts under No. 14184, published on September 9, 2016 in Adilet, the legal information system);

2) paragraph 3 of the List of Orders of the Ministry of Finance of the Republic of Kazakhstan as amended, approved by Order of the Minister of Finance of the Republic of Kazakhstan No. 213 dated March 31, 2017 “On Amendments and Additions to Certain Orders of the Ministry of Finance of the Republic of Kazakhstan” (registered with the Register of State Registration of Regulatory Legal Acts under No. 15096, published on June 13, 2017 in the Reference Control Bank of Regulatory Legal Acts of the Republic of Kazakhstan).

3. Under a statutory procedure, the State Revenue Committee of the Ministry of Finance of the Republic of Kazakhstan shall ensure:

1) state registration hereof with the Ministry of Justice of the Republic of Kazakhstan;

2) posting this order on the web-site of the Ministry of Finance of the Republic of Kazakhstan;

3) within ten working days after the state registration hereof with the Ministry of Justice of the Republic of Kazakhstan, submit to the Legal Service Department of the Ministry of Finance of the Republic of Kazakhstan the information on implementation of the measures stipulated by sub-paragraphs 1) and 2) of this paragraph.

4. This order shall come into effect from January 1, 2021 and shall be subject to official publication.

*First Deputy  
Prime Minister of the Republic  
of Kazakhstan-Minister of Finance*

*A. Smailov*

“AGREED”

Agency of the Republic of Kazakhstan  
on Financial Market Regulation  
and Development

Appendix 1 to Order No. 488  
of the first deputy Prime Minister  
of the Republic of Kazakhstan –  
Minister of Finance  
of the Republic of Kazakhstan  
of May 15, 2020

## **Rules**

**for provision by an organization that maintains a system of registers of securities holders of available**

**information on individuals holding securities and also on transactions of individuals with securities**

Footnote. The Rules as amended by Order No. 381 of the Minister of Finance of the Republic of Kazakhstan dated 23.04.2021 (shall be enforced ten calendar days after the date of its first official publication).

## **Chapter 1. General provisions**

1. These Rules for provision by an organization that maintains a system of registers of securities holders of available information on individuals holding securities, as well as on transactions of individuals with securities (further-the Rules) have been developed pursuant to Paragraph 14, article 26 of the Code of the Republic of Kazakhstan of December 25, 2017 “On taxes and other obligatory payments to the budget” (Tax Code) and define the procedure for provision by an organization that maintains a system of registers of securities holders (further-the organization), of available information on individuals holding securities and also on transactions of individuals with securities (further- information).

## **Chapter 2. Procedure of provision by an organization that maintains a system of registers of securities holders of available information on individuals holding securities and also on transactions of individuals with securities**

2. Information shall be submitted by the organization at the request of the state revenue authority in accordance with the form of Appendix 1 and 2 to these Rules.

3. Information is submitted by the organization from the automated information system "Depository and Registrar System of Securities" of the Joint Stock Company "Central Securities Depository" to the information system "Integrated Database" of the State Revenue Committee of the Ministry of Finance of the Republic of Kazakhstan in the form approved in accordance with Appendices 2 and 3 to this order .

4. The State Revenue Committee of the Ministry of Finance of the Republic of Kazakhstan shall ensure confidentiality of the information received under these Rules.

Appendix 1  
to the Rules for provision  
by an organization that maintains  
a system of registers of securities holders,  
of available information on individuals  
holding securities, and also  
on transactions of individuals  
with securities

The form

### **Request of the state revenue authority for information**

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(name of the state revenue body)

Pursuant to paragraph 14, Article 26 of the Code of the Republic of Kazakhstan of December 25, 2017 “On taxes and other obligatory payments to the budget” (Tax Code

)  
request to provide available information on individuals holding securities  
full name

\_\_\_\_\_

Individual Identification Number

\_\_\_\_\_ as of “\_\_” \_\_ 20\_\_

Grounds for request \_\_\_\_\_

\_\_\_\_\_

The head (deputy head) of the state revenue body

\_\_\_\_\_

(full name), signature, seal)

Appendix 2  
to the Rules for provision  
by an organization that maintains  
a system of registers of securities holders,  
of available information on individuals  
holding securities, and also  
on transactions of individuals  
with securities

The form

**Request of the state revenue authority for information**

\_\_\_\_\_

(name of the state revenue body)

Pursuant to paragraph 14, Article 26 of the Code of the Republic of Kazakhstan of December 25, 2017 “On taxes and other obligatory payments to the budget” (Tax Code

)  
request to provide available information on transactions of individuals with securities  
full name

\_\_\_\_\_

Individual Identification Number

\_\_\_\_\_ for the period from \_\_ 20 \_\_ to \_\_

20 \_\_

Grounds for request

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The head (deputy head) of the state revenue body

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(full name), signature, seal)

Appendix 2 to Order No. 488  
of the first deputy Prime Minister  
of the Republic of Kazakhstan –  
Minister of Finance  
of the Republic of Kazakhstan  
of May 15, 2020

The form

**Information on individuals holding securities**

as of " \_\_ " \_\_ 20\_\_

**Footnote. The form as amended by Order No. 381 of the Minister of Finance of the Republic of Kazakhstan dated 23.04.2021 (shall be enforced ten calendar days after the date of its first official publication).**

Name of the organization

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Business identification number of the organization

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No	Individual Identification Number	Full name	Type of securities	International identification number of the security (ISIN code)	Number of securities	Nominal value (if any) of securities, KZT	Name of the mutual investment fund	Business identification number of the asset management company	Name of the asset management company
1	2	3	4	5	6	7	8	9	10

Full name of the head of the organization  
providing information, (electronic digital signature)

Phone number of the executive

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Address of the organization providing information

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Appendix to the form  
“Information on individuals  
holding securities”

**Explanation on filling out the form  
“Information on individuals holding securities”**

1. The form "Information on Individuals holding securities" (hereinafter referred to as "Information") shall indicate the following data:

in column 1 - serial number of the line;

in column 2 - individual identification number of the individual holding securities;

in column 3- full name of an individual holding securities;

in column 4 - the type of security shall be indicated, in accordance with paragraph 2 of Article 129 of the Civil Code of the Republic of Kazakhstan dated December 27, 1994, the holder of which is the individual indicated in column 3;

in column 5 - international security identification number (ISIN code);

in column 6 - number of securities of the type indicated in column 4;

in column 7 - nominal value (if any) of securities, in KZT (at the official rate established by the National Bank of the Republic of Kazakhstan on the date of information retrieval).

2. In case of providing information on shares, the following information shall be additionally indicated:

in column 8 - the name of the mutual investment fund;

in column 9 - business identification number of the management company;

in column 10 - the name of the asset management company.

3. The information shall be certified by an electronic digital signature of the head of the organization.

Appendix 3 to Order No. 488  
of the first deputy Prime Minister  
of the Republic of Kazakhstan –  
Minister of Finance  
of the Republic of Kazakhstan  
of May 15, 2020

The form

**Information on transactions of individuals with securities  
in the period from \_\_ 20 \_\_ to \_\_ 20 \_\_**

**Footnote. The order has been supplemented by Appendix 3 in accordance with Order No. 381 of the Minister of Finance of the Republic of Kazakhstan dated 23.04.2021 (shall be enforced ten calendar days after the date of its first official publication).**

Name of the organization \_\_\_\_\_

Business identification number of the organization \_\_\_\_\_

No	Individual Identification Number	Full name	Transactions / operations with securities	Date and time of registration of transaction or operation with securities	Individual Identification Number or Business Identification Number of the counterparty	Full name or name of the counterparty	International Identification Number of a security (ISIN code)	Name of the mutual investment fund
1	2	3	4	5	6	7	8	9

Table continuation

Business identification number of the issuer or management company	Name of the issuer or asset management company	Number	Volume of transaction or operation	Currency of transaction or operation	Type of transaction or operation	Sign of money transfer by the Central Securities Depository	Sign of transaction, made on the Exchange
10	11	12	13	14	15	16	17

Full name of the head of the organization providing the information, (electronic digital signature)  
Phone number of the executive \_\_\_\_\_

Address of the organization providing the information \_\_\_\_\_

Application to the form  
“Information on transactions of individuals with securities”

**Explanation on filling out the form  
“Information on transactions of individuals with securities”**

1. The form "Information on transactions of Individuals with securities" shall indicate the following data:
  - in column 1 - serial number of the line;
  - in column 2 - individual identification number of the individual on whom the Information is provided;

in column 3 – full name of the individual on whom the Information is provided;  
in column 4 – it shall be indicated whether a transaction or operation with securities has been carried out;  
in column 5 – the date and time of the transaction or operation with securities;  
in column 6 - the individual identification number or business identification number of the counterparty;  
in column 7 – full name of the counterparty;  
in column 8 - the international identification number of the security (ISIN code);  
in column 9 - the name of the mutual investment fund;  
in column 10 - the business identification number of the issuer or asset management company;  
in column 11 - the name of the issuer or asset management company;  
in column 12 - the number of securities;  
in column 13 - the volume of the transaction or operation;  
in column 14 - the currency of the transaction or operation;  
in column 15 - the type of transaction or operation;  
in column 16 - the sign of money transfer by the Central Securities Depository. If the money transfer was made by the Central Securities Depository, then the symbol “Y” shall be indicated, in other cases the symbol “N” shall be indicated;  
in column 17 - the sign of the transaction concluded on the exchange. If the transaction was concluded on the exchange, then the symbol "Y" shall be indicated, in other cases the symbol "N" shall be indicated.

Appendix 4 to Order No. 488  
of the first deputy Prime Minister  
of the Republic of Kazakhstan –  
Minister of Finance  
of the Republic of Kazakhstan  
of May 15, 2020

The form

## **Rules**

**for provision by insurance (reinsurance) organizations, insurance brokers, branches of insurance (reinsurance)**

**organizations-non-residents of the Republic of Kazakhstan, branches of insurance brokers-non-residents**

**of the Republic of Kazakhstan of information on insurance contracts concluded by individuals**

**Footnote. The Rules as amended by Order No. 381 of the Minister of Finance of the Republic of Kazakhstan dated 23.04.2021 (shall be enforced ten calendar days after the date of its first official publication).**

## **Chapter 1. General provisions**

1. These Rules for provision by insurance (reinsurance) organizations, insurance brokers, branches of insurance (reinsurance) organizations that are non-residents of the Republic of Kazakhstan, branches of insurance brokers - non-residents of the Republic of Kazakhstan of information on insurance contracts concluded by individuals (further- the Rules), have been developed pursuant to Paragraph 17, article 26 of the Code of the Republic of Kazakhstan of December 25, 2017 “On taxes and other obligatory payments to the budget” (Tax Code) and define the procedure for provision by insurance (reinsurance) organizations, insurance brokers , branches of insurance (reinsurance) organizations -non-residents of the Republic of Kazakhstan, branches of insurance brokers-non-residents of the Republic of Kazakhstan ( hereinafter -the insurance organization) of information on insurance contracts concluded by individuals (hereinafter referred to as Information).

**Chapter 2. Procedure for provision by insurance (reinsurance) organizations, insurance brokers, branches of insurance (reinsurance) organizations that are non-residents of the Republic of Kazakhstan, branches of non-resident insurance brokers of the Republic of Kazakhstan of information on insurance contracts concluded by individuals**

2. The information shall be submitted by an insurance organization at the request of the state revenue authority in accordance with the form of the Appendix to these Rules.

3. The information shall be submitted by the insurance organization electronically by transmission via information and communication network that provides protection, authentication, verification of integrity; checking and encryption of data transmitted over the network in accordance with the form of Appendix 5 to this order, and shall be certified by the electronic digital signature of the chief executive.

The information provided by the insurance organization on insurance contracts concluded by individuals shall be presented separately on each insurance contract (policy).

4. If it is impossible to submit the Information via the information and communication network, and also in the event of technical errors, the Information is submitted electronically in the Microsoft Excel or Microsoft Access format.

Appendix  
to the Rules for provision  
by insurance (reinsurance) organizations,  
insurance brokers, branches of insurance (reinsurance)  
companies-non-residents of the Republic  
of Kazakhstan,  
branches of insurance brokers -  
non-residents  
of the Republic of Kazakhstan of  
information  
on insurance contracts concluded by  
individuals

The form

**Request of the state revenue authority for information**

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(name of the state revenue body)

Pursuant to paragraph 17, Article 26 of the of the Code of the Republic of Kazakhstan of December 25,

2017 “On taxes and other obligatory payments to the budget” (Tax Code)

request to provide available information on insurance contracts concluded by individuals full name

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Individual Identification Number

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in the period from \_\_ 20 \_\_ to \_\_ 20 \_\_ года

Grounds for request

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The head (deputy head) of the state revenue body

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(full name, signature, seal)

Appendix 5  
to Order No. 488  
of the first deputy Prime Minister  
of the Republic of Kazakhstan –  
Minister of Finance  
of the Republic of Kazakhstan  
of May 15, 2020

The form

**Information on insurance contracts concluded by individuals in the period from \_\_ 20 \_\_ to \_\_ 20 \_\_**

Footnote. The Form as amended by Order No. 381 of the Minister of Finance of the Republic of Kazakhstan dated 23.04.2021 (shall be enforced ten calendar days after the date of its first official publication).

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name of the insurance (reinsurance) organization, branch of insurance (reinsurance) organization –non-resident of the Republic of Kazakhstan (insurance broker, branch of the insurance broker - non-resident of the Republic of Kazakhstan)

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business identification number of the insurance (reinsurance) organization, branch of the insurance (reinsurance) organization - non-resident of the Republic of Kazakhstan  
(insurance broker, branch of insurance broker - non-resident of the Republic of Kazakhstan)

№	Individual Identification Number of the individual	Full name of the individual	Form of insurance	Insurance contract (policy)		Insurance benefit		Insurance premium		Redemption sum	
				date	number	date	sum (KZT)	date	sum (KZT)	date	sum (KZT)
1	2	3	4	5	6	7	8	9	10	11	12

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full name of the head of the insurance (reinsurance) organization, branch of the insurance (reinsurance) organization –non-resident of the Republic of Kazakhstan (insurance broker, branch of insurance broker - non-resident of the Republic of Kazakhstan), providing information, (electronic digital signature)  
Phone number of the executive \_\_\_\_\_  
Address of the insurance (reinsurance) organization, branch of the insurance (reinsurance) organization –non-resident of the Republic of Kazakhstan (insurance broker, branch of insurance broker - non-resident of the Republic of Kazakhstan), providing information \_\_\_\_\_

Application to the form  
“Information on insurance contracts concluded by individuals”

## **Explanation on filling out the form “Information on insurance contracts concluded by individuals”**

1. The form "Information on insurance contracts concluded by individuals" (hereinafter - "Information") shall indicate the following data:

in column 1 - serial number of the line;

in column 2 - individual identification number of the individual;

in column 3 – full name of the individual;

in column 4 - the form of insurance (accumulative or non-accumulative);

in column 5 - the date of conclusion of the contract (policy) of insurance;

in column 6 - the number of the contract (policy) of insurance;

in column 7 - the date of the insurance payment;

in column 8 - the amount of insurance payment, in KZT;

in column 9 - the date of payment of the insurance premium;

in column 10 - the amount of the insurance premium, in KZT;

in column 11 - the date of payment of the redemption amount paid in the event of early termination of insurance contracts shall be indicated;

in column 12 - the amount of the redemption amount paid in case of early termination of insurance contracts, in KZT.

2. Information shall be certified by an electronic digital signature of the head of the insurance (reinsurance) organization, a branch of the insurance (reinsurance) organization - non-resident of the Republic of Kazakhstan (the insurance broker, the branch of insurance broker-non-resident of the Republic of Kazakhstan).