

# EXPLANATIONS

## for selection of a Client Questionnaire of KASE Clearing Center JSC on issues of organizing countermeasures against legalization (laundering) of proceeds from crime and financing of terrorism

The questionnaires were developed in compliance with requirements established by the Republic of Kazakhstan's Law "On combating the legalization (laundering) of proceeds from crime and the financing of terrorism" and are intended for the clearing participants.

The questionnaire to be filled out is selected by a clearing participant depending on the type of company:

| Item No. | Questionnaire  | For which companies   |
|----------|--|---|
| 1.       | <b>Questionnaire No. 1</b>   | <ol style="list-style-type: none"> <li>1. State bodies of the Republic of Kazakhstan, including the National Bank of the Republic of Kazakhstan, the authorized body for regulation, control and supervision of the financial market and financial organizations, as well as legal entities controlled<sup>1</sup> by the state bodies;</li> <li>2. Legal entities created with the organizational and legal form of state institutions or state enterprises, as well as the national managing holding or legal entities with 100% of the voting shares (participation interest) belonging to the national managing holding;</li> <li>3. Second-tier banks, insurance (reinsurance) organizations, professional participants of the securities market – residents of the Republic of Kazakhstan, as well as organizations which shares are included in the official list of a stock exchange of a foreign state;</li> <li>4. International organizations located on the Republic of Kazakhstan's territory or those where the Republic of Kazakhstan is a participant.</li> </ol> |
| 2.       | <b>Questionnaire No. 2</b>   | Companies not listed in paragraph 1 of this table   |
| 3.       | <b>Questionnaire No. 3</b>   | To be filled in at the Clearing Center's request <sup>2</sup>   |
| 4.       | <b>Questionnaire No. 1 for foreign financial institutions (hereinafter, FFI)</b> | FFIs which shares are included in the official list of a stock exchange of a foreign state  |
| 5.       | <b>Questionnaire No. 2 for FFIs</b>  | FFIs not listed in paragraph 4 of this table  |
| 6.       | <b>Questionnaire No. 3 for FFIs</b>  | To be filled in at the Clearing Center's request <sup>2</sup>   |

A clearing participant, in case of changes affecting in the AML/CFT questionnaire:

- **more than five** details – shall provide the original updated AML/CFT questionnaire and the originals or notarized copies of documents confirming the accuracy of the information specified in the AML/CFT questionnaire;
- **five or less** details – shall provide an official letter with attached originals or notarized copies of documents confirming the accuracy of the changed information specified in the AML/CFT questionnaire.

<sup>1</sup> A state body controls a legal entity if the state owns a controlling stake (more than 50 percent of the voting shares of a joint-stock company) or a controlling participation interest (more than 50 percent of the participation interest in a limited liability partnership) in such legal entity.

<sup>2</sup> In order to comply with the Republic of Kazakhstan's legislation in the field of organizing the countermeasures against the legalization (laundering) of proceeds from crime and the financing of terrorism, the Clearing Center has the right to request another questionnaire from a client