

## CLARIFICATIONS

### to select the Client Questionnaire of Kazakhstan Stock Exchange JSC on the organization of counteraction to legalization (laundering) of proceeds from crime and financing of terrorism

The questionnaires were developed in compliance with the requirements established by the Act of the Republic of Kazakhstan "On Counteracting the Legalization (Laundering) of Illegal Revenues and Financing of Terrorism" and are intended for initiators of securities admission.

The questionnaire for filling is chosen by the admittance initiator, depending on the type of company:

Item No.	Questionnaire	For company
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 surveillance of the financial market and financial organizations, as well as legal entities controlled by state bodies;</li> <li>2. Legal entities created in the organizational and legal form of state institutions or state enterprises, as well as those established by the national managing holding or legal entities, 100% of the voting shares (stakes) of which belong to the national managing holding;</li> <li>3. Second-tier banks, insurance (reinsurance) organizations, professional participants in the securities market – residents of the Republic of Kazakhstan, as well as organizations whose shares are included in the official list of the stock exchange of a foreign state;</li> <li>4. International organizations located on the territory of the Republic of Kazakhstan or a member of which is the Republic of Kazakhstan</li> </ol>
2.	<b>Questionnaire No. 2</b>	Companies not indicated in item 1 of this table
3.	<b>Questionnaire No. 3</b>	Filled in following a request from the Exchange <sup>1</sup>
4.	<b>Questionnaire No. 1 of foreign financial organizations (hereinafter - FFO)</b>	FFOs whose shares are included in the official list of the stock exchange of a foreign state
5.	<b>Questionnaire No. 2 of FFO</b>	FFOs, not indicated in item 4 of this table
6.	<b>Questionnaire No. 3 of FFO</b>	Filled in following a request from the Exchange <sup>2</sup>

An existing listed company that submits documents for the purpose of listing other securities, or a member of the Exchange, on whose initiative the securities are included (admitted) in the official list of the stock exchange, when there is a change in the AML&FT questionnaire of:

- **more than five pieces of information** – provides the original of the updated AML&FT questionnaire and originals or notarized copies of documents confirming the accuracy of the information specified in the AML&FT questionnaire;
- **five or less pieces of information** – provides an official letter with the attachment of originals or notarized copies of documents confirming the accuracy of the changed information specified in the AML questionnaire.

<sup>1</sup> In order to comply with the legislation of the Republic of Kazakhstan in the field of organizing countering the legalization (laundering) of proceeds from crime and the financing of terrorism, the Exchange may request a different questionnaire from the client.