Annex 7

to the Regulation on Clearing Participants

L I S T

**of documents to be submitted to the Clearing Centre by its clearing participants – legal entities of the Republic of Kazakhstan**

Table 1. Periodic reporting to be submitted annually

on or before June 30 of a year preceding the reporting year

|  |  |  |
| --- | --- | --- |
| **No.** | **Document** | **Notes** |
| **A** | **1** | **2** |
| 1. | Annual financial statements of the clearing participant for the last completed financial year (in case of a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements of the clearing participant), confirmed by an auditor's report. | The specified financial statements must be prepared subject to international financial reporting standards and the laws of the Republic of Kazakhstan on accounting and financial reporting and provided in electronic form in .pdf format and must be a scanned copy of the paper version of these statements |

Table 2. Periodic reporting to be submitted quarterly

on or before the 10th business day of a month following the reporting quarter (does not cover clearing participants being banks)

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| --- | --- | --- |
| **No.** | **Document** | **Notes** |
| **А** | **1** | **2** |
| 1. | Interim financial statements of the clearing participant for the reporting quarter (in case of a subsidiary (subsidiaries) – consolidated financial statements and separate financial statements of the clearing participant) | The specified financial statements must be prepared subject to forms established by the Authorized Agency and must consist of reports |
| 2. | Report on compliance with prudential standards as of the first day of the first month following the reporting quarter | The specified information must be prepared subject to requirements of the Authorized Agency and provided electronically in .xls (.xlsx) format |

Table 3. Periodic reporting to be submitted monthly

on or before the 10th business day of a month following the reporting month, of the clearing participant in the "currency" category being banks

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| --- | --- | --- |
| **No.** | **Document** | **Notes** |
| **A** | **1** | **2** |
| 1. | Report on balances on balance and off-balance accounts as of the first day of the month following the reporting month | This report must be prepared in form and subject to requirements of the Authorized Agency and submitted in electronic format .xls (.xlsx) |
| 2. | Report on compliance with prudential standards as of the first day of the month following the reporting month | This report must be prepared in form and subject to requirements of the Authorized Agency and submitted in electronic format .xls (.xlsx) |
| 3. | Report on breakdown of the liquidity coverage ratio as of the first day of the month following the reporting month | This report must be prepared in form and subject to requirements of the Authorized Agency and submitted in electronic format .xls (.xlsx) |
| 4. | Report on the breakdown of the net stable funding ratio as of the first day of the month following the reporting month | This report must be prepared in form and subject to requirements of the Authorized Agency and submitted in electronic format .xls (.xlsx) |

Table 4. Documents and information to be submitted within timeframe fixed in this annex

|  |  |  |  |
| --- | --- | --- | --- |
| **No.** | **Document** | **Deadline of submission** | **Notes** |
| **A** | **1** | **2** | **3** |
| 1. | Information about violation by the clearing participant of prudential standards and other standards and limits established by the authorized agency | Within one business day from the date of occurrence of the violation | The specified information shall be submitted in the form of an official letter indicating the violated standard (standard, limit) and the date of such violation and the actions taken to eliminate it. The letter must be submitted electronically in .pdf format and be a scanned copy of the paper version of this letter. |
| 2. | Updated questionnaire of the clearing participant on issues of organizing the internal control in terms of ensuring compliance with the international economic sanctions regime | Within three business days after the date of receipt by the clearing participant of information and/or documents which confirm the change of data in the previously submitted questionnaire |  |
| 3. | Information about a change (changes, including election) in the composition of the executive body of the clearing participant, as well as in the | Within three business days following the day of the relevant decision. | In .pdf format |

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| --- | --- | --- | --- |
| **No.** | **Document** | **Deadline of submission** | **Notes** |
| **A** | **1** | **2** | **3** |
|  | composition of the management body indicating the composition of the relevant body of the clearing participant | If the clearing participant is a legal entity, 50 and more percents of the total number of issued shares or of the paid authorized capital of which belongs to the state, the National Bank of the Republic of Kazakhstan, a national holding or a national management holding, the information set out in the first paragraph of this item shall be provided to the Clearing Centre as it is prepared, but no later than 10 business days after the date of the relevant decision |  |
| 4. | Information about changes in the registered office and/or visiting address of the clearing participant | No later than five business days after the day of the change | In .pdf format |
| 6. | Information about affiliates of the clearing participant as of the first day of the month following the last expired calendar quarter | Quarterly, but no later than the last calendar day of the first month following the last lapsed calendar quarter | Information must be provided to the Clearing Centre in the form established by the Authorized Agency for joint stock companies for the purpose of posting lists of their affiliates on the Internet resource of the financial reporting depository *(text of this line was changed following a decision of the Board of Directors of the Clearing Centre dated August 1, 2024)* |

Table 5. Documents and information to be submitted by the clearing participants within 10 business days after the event takes place.

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| --- | --- | --- | --- |
| **No.** | **Document/ information** | **Date of occurrence** | **Notes** |
| **A** | **1** | **3** | **3** |
| 1. | Document which confirms state (re)registration of the clearing participant | Date of receipt by the clearing participant of the certificate (statement) of state re- registration | In .pdf formatSubject to the applicable laws.Also provided in the form of the original or a notarized copy.In case of providing an electronic document, notarization is not required if it is possible to verify authenticity of the document through the Internet resource of the authority that issued this electronic document |
| 5. | Information about court decision on compulsory liquidation or reorganization of the clearing participant, as well as on compulsory liquidation or reorganization of its subsidiaries and related entities | Date of entry into force of the relevant court decision | In .pdf format |
| 6. | Information about decisions taken by the general meeting of shareholders or the sole shareholder of the clearing participant | Date of taking the decision by the general meeting of shareholders (participants) or the sole shareholder (participant) | In .pdf format |
| 9. | Information about composition of shareholders of the clearing participant, and/or on a change in the composition of shareholders holding 10 and more percents of the voting shares (interests) of the clearing participant | Date of receipt by the issuer of documents which confirm registration of changes in the system of registers of securities holders or the accounting system of nominal holding or the National Register of Business Identification Numbers | In .pdf format |

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| --- | --- | --- | --- |
| **No.** | **Document/ information** | **Date of occurrence** | **Notes** |
| **A** | **1** | **3** | **3** |
| 10. | Information about decision of the board of directors of the clearing participant or the relevant body of the clearing participant:* convening an annual and extraordinary general meeting of shareholders;
* placement (sale) of shares, including number of shares being placed (sold) within the number of declared shares, the method and price of their placement (sale);
* redemption of placed shares by the clearing participant, if the number of shares being redeemed exceeds one percent of the total number of placed shares, and the price of their redemption;
* issue of bonds and derivative securities
 | Date of taking the decision by the board of directors of the clearing participant or the relevant body of the clearing participant authorized to make the decision. | In .pdf format |
| 11. | Information about occurrence of circumstances of an extraordinary nature, as a result of which property of the clearing participant was destroyed book value of which amounted to 10 and more percents of the total assets of the clearing participant | Date of occurrence of circumstances of an extraordinary nature | In .pdf format |

Table 6. Documents and information to be submitted by the clearing participants within three business days after the event takes place

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| --- | --- | --- | --- |
| **No.** | **Document/ information** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 2. | Information about receipt by the clearing participant of a permit (license) to carry out any types of activities, suspension or termination of permits (licenses) previously received by the clearing participant to carry out any types of activities (actions), with attached copies of relevant documents (permits, licenses, etc.) | Date of receipt by the clearing participant of relevant documents which confirm receipt by the listed company of a permit (license) to carry out any types of activities (actions), suspension or termination of permits (licenses) previously received by the clearing participant to carry out any types of activities (actions) | In .pdf formatLicense to carry out brokerage and dealer activities on the securities market and to conduct banking operations in foreign and national currencies shall also be provided in the form of a notarized copy. |
| 3. | Information about execution by the clearing participant of major transactions and/or transactions that simultaneously meet the following conditions: transactions in the execution of which the clearing participant has an interest, and related to acquisition or alienation of property, value of which is 10 and more percents of the total book value of the assets of the clearing participant on the date of the decision by its authorized agency to close such transactions | Date of entry into the agreement or addendum to the agreement and/or receipt by the clearing participant of documents which confirm state or other registration of the transaction in case that mandatory state or another registration is required to close a major transaction and/or a related- party transaction. | In .pdf formatInformation about a transaction resulting in acquisition or alienation of property in the amount of 10 and more percents of the total book value of the assets of the clearing participant must include information about the parties to the transaction, acquired or alienated assets, terms and conditions of the transaction, nature and volume of interests of the parties involved, as well as, if any, other information about transaction |
| 5. | Information about seizure of property (release of property from seizure) of the clearing participant, value of which is 10 and more percents of the total book value of the assets of the clearing participant | Date of receipt by the clearing participant of a decision on seizure of the property (release of property from seizure) of the clearing participant | In .pdf format |
| 6. | Information about initiation of a corporate dispute case in a court | Within three business days after the date of receipt by the clearing participant of the relevant court notice (summons) in a civil corporate dispute case | In .pdf format |

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| --- | --- | --- | --- |
| **No.** | **Document/ information** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 7. | Information about transfer into (re)pledge of property of the clearing participant in an amount equal to 10 and more percents of the total book value of the clearing participant, as well as removal of the (re)pledge of the property of the clearing participant in an amount equal to 10 and more percents of the total book value of the assets of this clearing participant | Date of receipt by the clearing participant of documents which confirm registration of a (re)pledge agreement – in relation to property pledge of which is subject to registration under to legislative acts of the Republic of Kazakhstan.Date of entry into the agreement for (re)pledge of property of the clearing participant – in relation to the property pledge of which is not subject to registration under legislative acts of the Republic of Kazakhstan.Date of receipt by the clearing participant of documents which confirm removal of (re)pledge of property of the clearing participant. | In .pdf format |
| 8. | Information about obtaining by the clearing participant of a loan in an amount equal to 25 and more percents of the total book value of the assets of the clearing participant, as well as about full repayment of the principal debt and interest charged on this loan | Date of entry by the clearing participant into a loan agreement or a credit facility agreement or full repayment by the clearing participant of the principal debt and charged interest on this loan or credit facility.When the total amount of received and outstanding loans, given the charged interest within one credit line, reaches 25 and more percents of the total book value of the assets of the clearing participant. | In .pdf format |

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| --- | --- | --- | --- |
| **No.** | **Document/ information** | **Date of occurrence** | **Notes** |
| **A** | **1** | **2** | **3** |
| 11. | Information about other events affecting the interests of the shareholders of the clearing participant and/or investors, subject to the charter of the clearing participant, as well as the prospectus for issue of its securities | Date of occurrence of other events affecting the interests of the shareholders of the clearing participant and/or investors, subject to the charter and prospectus of the issue of its securities, unless the Joint Stock Companies Law and the Securities Market Law provide for other deadlines to communicate the information to holders of securities. Date of non-compliance by the clearing participant with the deadlines and conditions stipulated by the prospectus for the issue of non-government bonds. | In .pdf format |
| 12. | Information about a change in its core activities by the clearing participant | Date of receipt of the charter and/or amendments to the charter registered with the authorized agency | In .pdf format |
| 13. | Information about decision taken by the general meeting of shareholders (the sole shareholder) or the board of directors of the clearing participant on conclusion of major transactions **and/or** transactions that simultaneously meet the following conditions: are transactions in which the issuer has an interest and is related to acquisition or alienation of property, value of which is 10 and more percents of the total book value of the issuer's assets on the date of the decision by the issuer's authorized agency to close such transactions | Date of decision making by the board of directors of the clearing participant or the relevant body of the clearing participant authorized to make the decision | In .pdf format |

Notes to the tables:

1. For Kazpost JSC, the deadline for submitting the reports and information set out in Table 2 is no later than the 25th day of the month following the reporting quarter.
2. Development Bank of Kazakhstan JSC does not provide the Clearing Centre with the information set out in lines 2-4 of Table 3.