Appendix 7 to the Internal Control Rules for Combating the Legalization (Laundering) of Proceeds Derived from Crime, the Financing of Terrorism and the Financing of the Proliferation of Weapons of Mass Destruction of JSC "Caspy Commodity Exchange"

Questionnaire JSC "Caspy Commodity Exchange"
for a Legal Entity as of _____

Full name		
Short name		
Резидентство		
Residency Name and number of the document confirming registration of the legal entity		
State registration (re-registration) number		
State registration (re-registration) date		
Authority that issued the registration (re-registration)		
Business Identification Number (BIN)		
Legal address (registration)		
Actual address/ Mailing address		
Contact phone/fax numbers		
Email address		
Information on the founders of the legal entity *(details of all founders with a participating interest of at least 10% are indicated)*		
For an individual: full name, IIN, date of birth, identity document details, contact phone number, actual address	Residency	Share (%)
For a legal entity: name, BIN, registration number, actual address		

Ultimate beneficiaries		
Full name		
Date of birth		
Citizenship		
Identity document details		
Identification Number (IIN)		
Contact details (phone, email)		
Actual residential address		
Share, %		
Information on the chief executive		
Full name		
Date of birth		
Citizenship		
Identity document details		
Identification Number (IIN)		
Contact details (phone, email)		
Information on the economic activity of the legal entity		
Main types of activity of the legal entity		
General Classifier of Economic Activities (GCEA) code		
Type of license		
Place and date of issue of the license		
Authority that issued the license		
License number		
Validity period of the license		
Charter capital		
Information on the banks where the legal entity's accounts are held		
Name and country of location of the bank(s)		
Bank code (BIC)		
Account number (IBAN)		
Beneficiary code (Kbe)		
Information on the authorized representative		
Full name		
Date of birth		
Citizenship		
Identity document		
Series/number, issuing authority, date of issue and validity period of the identity document		
Identification Number (IIN)		
Taxpayer Registration Number (RNN)		
Address of residence (registration)		
Actual residential address		
Contact phone numbers		
Email address		

Details of the document under which the representative acts (type, series, number, date of issue, issuing authority, or full name of the person who issued the document	
Number, date of issue and validity period of the visa (if a foreign passport is submitted as the identity document) (except for citizens of states entering the Republic of Kazakhstan under a visa-free regime)	
Number, date of issue and validity period of the migration card (if a foreign passport is submitted as the identity document)	
Information on combating the laundering of proceeds derived from illegal means / FATCA	
Information on the ownership and management structure	
Structure and names of the bodies (supreme body, executive body, other bodies) in accordance with the constitutive documents	
Date of the latest version of the constitutive documents on the basis of which the structure of the legal entity's bodies is established	
Information on the membership of the supreme body	
Full names (if any) of the individuals and (or) full names of the legal entities that are members of the supreme body	
Citizenship (if any) of the individuals and (or) state of registration of the legal entities that are members of the supreme body	
Individual Identification Numbers (if any) or the numbers, series (if any), dates of issue and validity periods of the identity documents of the individuals who are members of the supreme body	
Business Identification Numbers (if any) or registration numbers (codes) assigned by the authorized body in the state of registration for the legal entities that are members of the supreme body	
Date of the latest version of the constitutive documents or of the extract from the register of shareholders (participants) or another document on the basis of which the membership of the supreme body is established	
Information on the membership of the executive body	

Full name (if any) of the person performing the functions of the sole executive body, or the full names (if any) of the head and members of the collegial executive body	
Date and place of birth of the person performing the functions of the sole executive body, or of the head and members of the collegial executive body	
Citizenship (if any) of the person performing the functions of the sole executive body, or of the head and members of the collegial executive body	
Individual Identification Number (if any) of the person performing the functions of the sole executive body, or of the head and members of the collegial executive body	
Type of identity document, number, series (if any) of the person performing the functions of the sole executive body, or of the head and members of the collegial executive body	
Name of the authority that issued the identity document of the person performing the functions of the sole executive body, or of the head and members of the collegial executive body, its date of issue and validity period	
Address of residence (registration) and (or) place of stay (country/jurisdiction, postal code, locality, street/district, house number and, if any, apartment number) of the person performing the functions of the sole executive body, or of the head and members of the collegial executive body	
Contact phone number of the person performing the functions of the sole executive body, or of the head and members of the collegial executive body	
Number and date of the document (order, minutes of the general meeting, minutes of the board of directors, decision of the sole shareholder (founder) or another similar document) on the basis of which the person performs the functions of the sole executive body or of the head or a member of the collegial executive body	
Information on the membership of other management bodies (if any)	
Full names (if any) of the head and members of the management body	

Date and place of birth of the head and members of the management body	
Citizenship (if any) of the head and members of the management body	
Individual Identification Number (if any) of the head and members of the management body	
Information on the beneficial owner	
A note on the presence/absence of an individual(s) who directly or indirectly owns more than twenty-five percent of the participating interest in the charter capital or of the outstanding (less preferred and treasury) shares of the legal entity	
A note on the presence/absence of an individual(s) exercising control over the legal entity on other grounds	
A note on the presence/absence of an individual(s) in whose interest the legal entity establishes business relations (carries out transactions)	
Full name of the beneficial owner	
Citizenship (if any) of the beneficial owner	
Individual Identification Number (if any) of the beneficial owner	
Type of identity document, number, series (if any) of the beneficial owner	
Name of the authority that issued the beneficial owner's identity document, its date of issue and validity period	
Tax residency, including the taxpayer number in a foreign state of the beneficial owner	
Contact phone number (if any) of the beneficial owner	
Is the beneficial owner referred to above a foreign public official	
Does the beneficial owner have a family member and/or close relative who is a foreign public official	
Description of the beneficial owner's financial standing (presence of)	□ Real estate □ Valuables □ equity stake/percentage of shares in another legal entity (specify) _____ □ other (specify) _____ _____
Additional information on the branch (representative office) of the legal entity	

Name of the branch (representative office)	
Business Identification Number (if any)	
Type of the document confirming registration, its date of issue, number (if any)	
Name of the registering authority and date of registration (re-registration)	
Type(s) of activity carried out and General Classifier of Economic Activities (GCEA) code (if any)	
Number, date of issue and validity period of the license (if the activity carried out is subject to licensing)	
Address of the location of the branch (representative office) in accordance with the document confirming registration (country, postal code, locality, street/district, building number)	
Contact phone number	
Email address (if any)	
Information on the sources of financing of the transactions carried out	
Sources of the legal entity's income and of financing of the transactions carried out (income from entrepreneurial activity, dividends, voluntary property contributions and donations, other)	□ regular income received as a result of core activity; □ profit from occasional transactions and deals □ contributions of participants (shareholders) □ borrowed funds (specify from whom) □ dividends □ voluntary property contributions □ donations □ receipts from purchasers or recipients of goods/services □ other (specify)_____
Accounts at other banks/financial organizations (if any) (name of the bank/financial organization where the account is held)	
Description of the Client's financial standing	□ real estate □ valuables □ equity stake/percentage of shares in another legal entity (specify)_____ □ Other (specify) _____

AML/CFT information	
Is your Organization a financial monitoring entity?	☐ YES ☐ NO
Does your Organization have a written anti-money laundering policy applicable to all structural units and other offices? If "No", when is its adoption planned?	☐ YES ☐ NO
Does your Organization have a responsible employee for the implementation and compliance with Internal Control Rules for AML/CFT purposes	☐ YES ☐ NO
Does the employee responsible for the implementation and compliance with the Rules of Internal Control for AML/CFT purposes have a certificate of completion of testing for knowledge of the legislation of the Republic of Kazakhstan on AML/CFT/FMT	☐ YES ☐ NO
Upon request, are you prepared to provide us with copies of your AML (AntiMoney Laundering) policy?	☐ YES ☐ NO
Does your Organization have procedures that require you to obtain general information and documentation on all your clients before establishing a business relationship?	☐ YES ☐ NO
Does your Organization maintain/retain all records relating to client identification and their transactions? If "Yes", for how long?	☐ YES ☐ NO _____
Does your Organization have anonymous accounts?	☐ YES ☐ NO
Does your Organization provide services to occasional clients?	☐ YES ☐ NO
Does your Organization deal with offshore companies that have no actual presence in any country?	☐ YES ☐ NO
Does your Organization provide all employees with training on anti-money laundering laws and regulations?	☐ YES ☐ NO
Does your Organization verify client identity when carrying out large transactions?	☐ YES ☐ NO
Does your Organization monitor client account activity and other transactions to identify large and suspicious transactions?	☐ YES ☐ NO
Does your Organization report suspicious transactions to the relevant government authorities?	☐ YES ☐ NO

Is any of the managers or owners of your Organization a foreign public official (a foreign public official is a person appointed or elected to hold any position in the legislative, executive, administrative or judicial body of a foreign state, and any person performing any public function for a foreign state)?	☐ YES ☐ NO

We hereby confirm the accuracy and completeness of the above information provided to JSC “Caspy Commodity Exchange”, and accept responsibility for providing inaccurate data in this Questionnaire.

We consent to the processing of the specified data and to the verification of the accuracy of the information, including obtaining additional information, and we also consent to the disclosure of information to state bodies, including: the National Bank of the Republic of Kazakhstan, the Financial Monitoring Agency and the executive body authorized to control and supervise taxes and levies.

In the event of any changes to the information provided, we undertake to report all such changes.

Position and full name of the authorized person

_____

Signature_____ Seal_____

Notes of a JSC “Caspy Commodity Exchange”

employee Questionnaire update date _____

Client risk level _____