



AIFC RULES
ON ESTABLISHMENT, MAINTENANCE AND USE OF
ASTANA INTERNATIONAL FINANCIAL CENTRE REGISTER OF
IDENTIFICATION NUMBERS AND ON FORMATION OF IDENTIFICATION
NUMBERS FOR ASTANA INTERNATIONAL FINANCIAL CENTRE BODIES, THEIR
ORGANISATIONS AND ASTANA INTERNATIONAL FINANCIAL CENTRE PARTICIPANTS

AIFC RULES NO. 4 OF 2019

Approval Date: 5 July 2019

Commencement Date: 5 July 2019



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

CONTENTS

PART 1: GENERAL	3
1.1. Name.....	3
1.2. Commencement.....	3
1.3. Legislative authority.....	3
1.4. Application of these Rules.....	3
1.5. Definitions etc.	3
1.6. Administration of these Rules.....	3
PART 2: ESTABLISHMENT, MAINTENANCE, USE OF REGISTER OF IDENTIFICATION NUMBERS AND DATA VERIFICATION	4
2.1 Establishment and maintenance of the Register of Identification Numbers.....	4
2.2 Use of the Register of Identification Numbers.....	4
2.3 Data Verification.....	5
PART 3: FORMATION OF IDENTIFICATION NUMBERS	6
3.1 General Provisions about Formation of Identification Numbers.....	6
3.2 Formation of Identification Numbers.....	6
SCHEDULE 1: INTERPRETATION	7
1.1 Definitions for these Rules.....	7
SCHEDULE 2: REGISTRATION	8
2.1 Required information for registration.....	8
SCHEDULE 3: RE-REGISTRATION, CHANGES IN REGISTERED DETAILS AND REORGANISATION	12
3.1 Required information for re-registration, changes in registered details and reorganisation.....	12
SCHEDULE 4: EXCLUSION	13
4.1 Required information for exclusion.....	13



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

PART 1: GENERAL

1.1. Name

These Rules are the *AIFC Rules on Establishment, Maintenance and Use of Astana International Financial Centre Register of Identification Numbers and on Formation of Identification Numbers for Astana International Financial Centre Bodies, their organisations and Astana International Financial Centre Participants 2019* (AIFC Register of Identification Numbers Rules).

1.2. Commencement

These Rules commence on _____ 2019.

1.3. Legislative authority

These Rules are adopted by the Governor of the AIFC under paragraph 1-2 of article 3 of the Constitutional Statute of the Republic of Kazakhstan *On Astana International Financial Centre 2015* and subparagraph 3) of paragraph 9 of *The Structure of the Bodies of the Astana International Financial Centre*, adopted by resolution of the Management Council on 26 May 2016, as amended by the resolution of the Management Council *The Amendments and supplementations to the Structure of the Bodies of the Astana International Financial Centre*, adopted on 9 October 2017.

1.4. Application of these Rules

1.4.1 These Rules apply within the jurisdiction of the AIFC.

1.4.2 These Rules provide a unified system of registration of information relating to AIFC Bodies, their organisations and AIFC Participants and define the procedure for formation of Identification Numbers for them.

1.4.3 The list of information relating to AIFC Bodies, their organisations and AIFC Participants entering the Register of Identification Numbers is defined by the Order of the Governor.

1.5. Definitions etc.

1.5.1 Schedule 1 (Interpretation) contains definitions used in these Rules.

1.5.2 Terms used in these Rules (other than terms defined in Schedule 1) have the same meanings as they have, from time to time, in the AIFC Regulations and AIFC Rules, unless the contrary intention appears.

1.6. Administration of these Rules

These Rules are administered by the Registration Authorities.



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

PART 2: ESTABLISHMENT, MAINTENANCE, USE OF REGISTER OF IDENTIFICATION NUMBERS AND DATA VERIFICATION

2.1 Establishment and maintenance of the Register of Identification Numbers

- 2.1.1 The Register of Identification Numbers includes the Register of the AIFC Bodies and is established on the basis of information system as a unified system of records of registration or re-registration of AIFC Bodies, their organisations and AIFC Participants.
- 2.1.2 The Register of Identification Numbers is maintained by registering and updating the data on AIFC Bodies, their organisations and AIFC Participants provided by the Registration Authorities.

2.2 Use of the Register of Identification Numbers

- 2.2.1 Schedule 2 (Registration) contains required information on AIFC Bodies, their organisations and AIFC Participants to assign Identification Numbers in the Register of Identification Numbers.
- 2.2.2 The Section headed “Incorporators” of Schedule 2 (Registration) is not applicable for Public Companies and Investment Companies.
- 2.2.3 Subject to AIFC Companies Rules, any information in relation to a Restricted Scope Company, other than is set out in the subrule 9.5.2(e) of AIFC Companies Rules, shall not be made public or be publicly available.
- 2.2.4 Schedule 3 (Re-registration, changes in registered details and reorganisation) contains required information on AIFC Bodies, their organisations and AIFC Participants for re-registration, changes in registered details including but not limited to changes to required information under subrules 2.2.1, 2.2.2 and 2.2.3, and reorganisation in the Register of Identification Numbers, including but not limited to changes to required information under subrules 2.2.1, 2.2.2 and 2.2.3.

Note: Reorganisation of AIFC Bodies, their organisations and AIFC Participants is carried out as determined by the AIFC acts.

- 2.2.5 The Identification Number of an AIFC Body, organisation of an AIFC Body or AIFC Participant is excluded from the Register of Identification Numbers:
- (a) upon liquidation of the AIFC Body, their organisation or AIFC Participant; or
 - (b) in the event of the AIFC Body, their organisation or AIFC Participant ceasing to carry on business in the AIFC

by entering required information to the Register of Identification Numbers in accordance with Schedule 4 (Exclusion).

Note: Conditional exclusion of Identification Number from the Register of Identification Numbers is not granted.

- 2.2.6 Information in the Register of Identification Numbers, except for information that is publicly available, must not be disclosed, except for the cases of submission of information:
- (a) to bodies carrying out criminal offence prosecution in accordance with the Acting Law of the Republic of Kazakhstan; or
 - (b) to courts during the consideration of cases on criminal and other offence; or
 - (c) in other cases, stipulated by the Acting Law of the AIFC.
- 2.2.7 Information relating to AIFC Bodies, their organisations and AIFC Participants, unless it is publicly available, must not be provided to a third party unless the written consent is given by the AIFC Body, organisation of an AIFC Body or AIFC Participant.



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

- 2.2.8 Erasure of documents of Registration Authorities databases of information systems or other information carriers containing information about AIFC Bodies, their organisations and AIFC Participants, as well as their undue modification by persons who have access to this information in connection with their professional activities, are not allowed.
- 2.2.9 A contravention of subrule 2.2.8 shall be punishable by a fine of such amount as it considers appropriate in respect of the contravention up to a maximum fine of USD 10,000 and/or disciplinary proceedings.

2.3 Data Verification

- 2.2.10 The following checks should be conducted through the integrated "State database "Legal persons" in the Register of Identification Numbers:
- (a) in the information system "State database "Natural persons"- check of a natural person who is the incorporator (participant) and (or) the head of the AIFC Body, its organisation and the AIFC Participant, for the establishment of his status (deemed incapacitated or severally incapacitated, and (or) is deemed as missing, and / or declared dead, and / or has an unserved or unexpunged conviction for crimes under articles 237, 238 and 240 of the Criminal Code of the Republic of Kazakhstan);
 - (b) in the information system "State database "Legal persons"- check of a natural person who is the incorporator (participant) and (or) the head of the AIFC Body, its organisation and the AIFC Participant, according to the information updated with the State Revenue Committee of the Ministry of Finance of the Republic of Kazakhstan, with a view of finding him in the list of founders (participants) and (or) heads of inactive legal entities;
 - (c) in the information system "State database "Legal persons "- checking of a natural person who is the incorporator (participant) and (or) the head of the AIFC Body, its organisation and the AIFC Participant, with a view of finding persons and organizations associated with the financing of terrorism and extremism, in accordance with the legislation of the Republic of Kazakhstan;
 - (d) in the automated information system of the enforcement authorities of the Republic of Kazakhstan - check of a incorporator (a natural and (or) a legal person) and (or) the head of the AIFC Body, its organisation and the AIFC Participant for the purpose of finding the debtor in the enforcement document, with the exception of a person who is a debtor on enforcement proceedings on collection of periodic payments and who is not in arrears in the enforcement proceedings for periodic penalties for more than three months;
 - (e) in the information system "Centralized unified personal accounts" - checking for the presence / absence of debt to the state during liquidation;
 - (f) in the information system of the Customs Control Committee - checking for the presence / absence of customs debts in liquidation;
 - (g) in the information system "Address register" - obtaining the registering code of the address, which is the location for the registered AIFC Body, its organisation and AIFC Participant;
 - (h) in the information system "Register of movable property" - checking for presence / absence of a pledge on the share of the founders of a legal entity in the share capital.



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

PART 3: FORMATION OF IDENTIFICATION NUMBERS

3.1 General Provisions about Formation of Identification Numbers

Formation of Identification Numbers for the AIFC Bodies, their organisations and AIFC Participants is carried out to preserve information related to the AIFC Body, organisation of AIFC Body or AIFC Participant in the Register of Identification Numbers, information system of state bodies and other state agencies.

3.2 Formation of Identification Numbers

The Identification Number contains 12 digits and consists of five parts:

- (a) the first part consists of 4 digits and includes the year (last two digits) and the month of registration or re-registration of the AIFC Bodies, their organisations and AIFC Participants;
- (b) the second part consists of 1 digit and outlines the residential status of AIFC Bodies, their organisations and AIFC Participants. Specific values are:
 - i. 4 – for residents;
 - ii. 5 – for non-residents;
- (c) the third part consists of 1 digit and outlines as follows:
 - i. 0 – new legal entity;
 - ii. 1 – branch of a legal entity;
- (d) the fourth part consists of 5 digits starting from 90001 to 99999 inclusively;
- (e) the fifth part consists of 1 random digit determined automatically.



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

SCHEDULE 1: INTERPRETATION

Note: See rule 1.5.

1.1 Definitions for these Rules

In these Rules:

AIFC Bodies has the meaning given by article 9 of the Constitutional Statute and the document entitled The Structure of the Bodies of the Astana International Financial Centre adopted by the Management Council on 26 May 2016.

AIFC Participant has the meaning given by paragraph 5) of article 1 of the Constitutional Statute.

Register of Identification Numbers has the meaning given by paragraph 8) of article 1 of the Constitutional Statute.

Identification Number has the meaning given by paragraph 9) of article 1 of the Constitutional Statute.

Formation of Identification Number means the process as a result of which the identification number is formed in the Register on the basis of information on AIFC Bodies, their organisations and AIFC Participants.

Registration Authorities means the Governor of the AIFC and/or the AIFC Authority, carrying out the establishment and maintenance of the Register of the AIFC Bodies and the issuance of documents with an Identification Number, and the Astana Financial Services Authority (the “AFSA”), carrying out the registration of data related to the organisations of the AIFC Bodies and AIFC Participants and the issuance of documents with an Identification Number.

Register of AIFC Bodies has the meaning given by section 5 of Rules on Registration of the AIFC Bodies approved by the Order of the Governor of the AIFC No. 2 dated 27 January 2017.



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

SCHEDULE 2: REGISTRATION

Note: See subrules 2.2.1, 2.2.2 and 2.2.3

2.1 Required information for registration

No	Section Name
	Information about the registration authority
1.	Name of the registration authority
	Registration information
2.	First name, middle name and surname of the Authorised Signatory
3.	Date of submitting the application package
4.	Type of incorporation (primary, re-registration)
5.	Method of formation (by establishing a new legal entity or reorganisation of an existing legal entity). In case of reorganisation, specify the type of reorganisation (merge, transformation, split, or separation)
6.	Form of organisation (new legal entity, branch)
7.	Full name in Kazakh, Russian, English language (organisational-legal form and name of the applicant)
8.	Abbreviated name of the applicant in Kazakh, Russian, English language (<i>if applicable</i>)
9.	Date of the Order of the Governor, AFSA
10.	Number of the Order of the Governor, AFSA
11.	Organisational-legal form
12.	Form of ownership (state or private)
13.	Is the applicant using standard articles of association?
14.	Type of legal entity/branch (commercial or non-commercial)
15.	Type of private enterprise (small, medium or large)
16.	Subsidiary (yes/no)
17.	International organisation (yes/no)
18.	Are foreign investors participating in the entity?
19.	Is a legal entity a Value Added Tax (VAT) payer?
	Information about the head organisation (in case of registration of a branch)
20.	Resident / non-resident
21.	Business Identification Number of the head organisation (if applicable)
22.	Full name of the head organisation
	<i>Information on the head organisation - Non-resident in the Republic of Kazakhstan</i>
23.	Date of starting the activities in the Republic of Kazakhstan (or the date of submission of the application for registration) (if applicable)
24.	Country of incorporation



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

25.	Registration number in the country of incorporation
26.	Date of incorporation in the country of incorporation
27.	Tax registration number in the country of incorporation
28.	Type of organisation
29.	Type of business activity
30.	Country of residence
31.	Name of registration authority
32.	Address of registration authority
33.	Surname, name and middle name of the CEO of the head organisation
34.	The legal address of the head organisation in the country of registration
35.	Phone number (if available)
36.	Email (if available)
37.	International organisation (yes/no)
38.	Regime of registration (Special Economic Zone, Offshore or another regime)
39.	Type of share capital
40.	Size of share capital
	The legal address
41.	Registration Code of the Address (in the case of the availability of a RCA, columns 43-49 need not to be filled in) (if available)
42.	Postal address
43.	Name of the district in Nur-Sultan
44.	Type of construction (if available)
45.	Building number
46.	Block (if available)
47.	Housing (if available)
48.	Type of accommodation (if available)
49.	Number of apartment, non-residential premises (if available)
50.	Office number (if available)
51.	Telephone (if available)
	Information about the CEO
52.	Citizenship (citizen of the Republic of Kazakhstan / foreign / statelessness)
53.	Individual Identification Number of the CEO
54.	Country of citizenship (not required for stateless persons)
55.	Country of main residence



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

	Type of economic activity
56.	The name of the activity (as indicated by the Authorised Signatory)
57.	The code according to the Unified Classification of Economic Activities of the Republic of Kazakhstan
58.	Belonging to the main economic activity
59.	Expected number of employed people
	Information about the share capital of a legal entity
60.	The amount of the share capital, in KZT or USD
	<i>Share of state capital:</i>
61.	amount in KZT or USD
62.	share in %
	<i>Share of private capital:</i>
63.	amount in KZT or USD
64.	share in %
65.	Number of shareholders
	Incorporators – Natural persons (if applicable). <i>This section is not applicable to Public Companies and Investment Companies.</i>
66.	Citizenship (citizen of the Republic of Kazakhstan / foreign / statelessness)
67.	Individual Identification Number (IIN) (in case of availability of IIN, items 71-74 are not filled)
68.	Surname, first name and middle name
69.	Country of citizenship
70.	Country of main residence
	<i>Information about a foreign person without Individual Identification Number of the Republic of Kazakhstan</i>
71.	Tax registration number in the country of incorporation
72.	ID document
73.	Document Number
74.	Date of issue of the document
75.	Share in the share capital, %
76.	Amount in KZT or USD
	Incorporators – Legal entities (if applicable). <i>This section is not applicable to Public Companies and Investment Companies.</i>
77.	Resident / non-resident
78.	Business Identification Number (BIN) (in case of BIN availability items 80-83 are not filled)
79.	Full name



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

	<i>Information of the non-resident incorporator</i>
80.	Country of registration
81.	Registration number in the country of registration
82.	Tax registration number in the country of incorporation
83.	Date of registration
84.	Type of activity (for the non-resident of Kazakhstan, fill in regardless of the presence / absence of the BIN)
85.	Share in the share capital, %
86.	Amount in KZT or USD
	Details of Reorganisation (if the method of formation is reorganisation)
87.	Type of reorganisation
88.	Number of legal entities participating in the reorganisation
89.	Participants in the reorganisation
90.	BIN
91.	Full name
	Registration of tax payers
92.	Is it required to register as a Value Added Tax (VAT) payer? (yes/no)



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

SCHEDULE 3: RE-REGISTRATION, CHANGES IN REGISTERED DETAILS AND REORGANISATION

Note: See subrule 2.2.4

3.1 Required information for re-registration, changes in registered details and reorganisation

No.	Section Name
	Information about the registration authority
1.	Name of the registration authority
	Registration information
2.	Action (re-registration, change in registered details)
3.	First name, middle name and surname of the applicant
4.	Date of submission of an application form
5.	BIN
6.	Type of reorganisation (merger, separation)
7.	The basis for re-registration, change in registered details
8.	Full name in Russian language (organisational-legal form and name of the applicant)
9.	Full name in Kazakh and English languages (organisational-legal form and name of the applicant)
10.	Abbreviated name in Kazakh, Russian and English languages (if the name has been changed)
11.	Date of the Order of the Governor, AFSA and the date of re-registration, change in registered details
12.	Number of the Order of the Governor, AFSA on re-registration, changes in registered details
13.	Form of ownership (state or private)
14.	Is the applicant using standard articles of association?
15.	Type of legal entity/branch (commercial or non-commercial)
16.	Type of private enterprise (small, medium or large)
17.	Is it a branch?
18.	Is it an international organisation?
19.	Are foreign investors participating in the entity?
	The following information is to be filled in if there are changes according to the Schedule 1
	The legal address
	Information about the CEO
	Type of economic activity
	Information about the share capital of a legal entity
	Information about the incorporators
	Participants of the reorganisation (merger, separation)



AIFC REGISTER OF IDENTIFICATION NUMBERS RULES

SCHEDULE 4: EXCLUSION

Note: See subrule 2.2.5

4.1 Required information for exclusion

No.	Section name
	Information about the registration authority
1.	Name of the registration authority
	Registration information
2.	First name, middle name and surname of the applicant
3.	Date of submission of an application form
4.	BIN
5.	Full name in Russian language (organisational-legal form and name of the applicant)
6.	Date of the Order of the Governor, AFSA on termination of the activity
7.	Number of the Order of the Governor, AFSA on termination of the activity
	Information about termination of the activity
8.	Type of termination of the activity (voluntary and involuntary)
9.	Type of reorganisation (merger, separation)
10.	The basis for activity termination (application of the entity, revocation of the licence, bankruptcy, cancellation of the order on registration, extrajudicial liquidation procedure, compulsory liquidation, court decision on recognition of the legal entity as invalid)
11.	Number of the court decision on activity termination
12.	Date of the court decision
13.	The name of the body that took decision to terminate the activity
14.	BIN of the legal entity - successor (BIN is filled in case of merger to another legal entity)
15.	Name of the legal entity – successor (if any)