

**LIST OF DOCUMENTS FOR OPENING A BROKERAGE ACCOUNT IN
FREEDOM FINANCE JSC**

INDIVIDUAL		
#	Document name	Document form
1	Identity document	
	<u>for residents of the Republic of Kazakhstan:</u> (1) passport <i>or</i> (2) identity card	(1) an electronic document from a digital document service integrated with the portal of the electronic government of the Republic of Kazakhstan <i>or</i> (2) a copy with the provision of the original for verification of the document* <i>*the copy shall contain a clear photograph of the document holder, date of birth and a legible signature, date of issue, expiration date and document number</i>
	<u>for foreign residents:</u> (1) a foreign passport (passport of a resident of a foreign state); <i>or</i> (2) a residence permit for a foreigner in the Republic of Kazakhstan; <i>or</i> (3) another document recognized in accordance with an international treaty ratified by the Republic of Kazakhstan as an identity document on the basis of which the civil transactions are entered into on the territory of the Republic of Kazakhstan; (4) a document confirming registration with the authorized bodies of the Republic of Kazakhstan for the right of entry, exit and stay of an individual - a non-resident on the territory of the Republic of Kazakhstan, unless otherwise provided by international treaties ratified by the Republic of Kazakhstan.	(1) an electronic document (for documents issued by the authorized state bodies of the Republic of Kazakhstan) <i>or</i> (2) a notarized copy of the document, apostilled or legalized in accordance with the requirements of the legislation of the Republic of Kazakhstan; <i>or</i> (3) a copy with the provision of the original for verification of the document <i>*the copy shall contain a clear photograph of the document holder, date of birth and a legible signature, date of issue, expiration date and document number</i>
2	A document confirming the taxpayer identification number in the country of tax residence	
	<u>for residents of the Republic of Kazakhstan:</u> (1) passport <i>or</i> (2) identity card	(1) an electronic document; <i>or</i> (2) copy
	<u>for foreign residents:</u> (1) a document confirming the taxpayer identification number in the country of tax residence	(1) an electronic document (for documents issued by the authorized state bodies of the Republic of Kazakhstan); <i>or</i> (2) copy
3	Document confirming the address of residence (registration) (for foreign residents)	

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	<ul style="list-style-type: none"> (1) a passport page confirming registration; <i>or</i> (2) a document from a state register; <i>or</i> (3) a bank statement; <i>or</i> (4) a utility bill; <i>or</i> (5) another document indicating the relevant addresses and the full name of an individual 	<ul style="list-style-type: none"> (1) an electronic document; <i>or</i> (2) copy
4	Application for accession to the Agreement on the provision of brokerage services (with nominal holding) to an individual	
	(1) a filled in and signed by the parties Application for accession to the Agreement on the provision of brokerage services (with nominee holding) to an individual	
5	Client Application Form	
	(1) a filled in and signed Client Application Form for Individuals" indicating the date of filling in	
6	Document confirming the authority of the authorized representative (in case of transfer of rights from the client to the authorized representative)	
	<ul style="list-style-type: none"> (1) Power of attorney for the right to perform certain functions; (2) document certifying the identity of the authorized representative (in accordance with clause 1) 	<ul style="list-style-type: none"> (1) a notarized copy (for residents of the Republic of Kazakhstan); <i>or</i> (2) a notarized copy, apostilled or legalized in accordance with the requirements of the legislation of the Republic of Kazakhstan (for foreign residents)

LEGAL ENTITY		
#	Document name	Document form
1	Document confirming registration (incorporation)	
	<ul style="list-style-type: none"> (1) a certificate of state registration (re-registration) of a legal entity from the portal of the electronic government of the Republic of Kazakhstan (for residents of the Republic of Kazakhstan); <i>or</i> (2) an extract from the Unified State Register of Legal Entities (for residents of the Russian Federation); <i>or</i> (3) a certificate of incorporation/registration (for non-residents of the Republic of Kazakhstan); <i>or</i> (4) an extract from the trade register of the country of incorporation (for non-residents of the Republic of Kazakhstan); <i>or</i> (5) another document certifying that a foreign legal entity is a legal entity under the laws of a foreign state (for non-residents of the Republic of Kazakhstan) 	<ul style="list-style-type: none"> (1) electronic document from digital document service; <i>or</i> (2) copy; <i>or</i> (3) a notarized copy, apostilled or legalized in accordance with the requirements of the legislation of the Republic of Kazakhstan. <p><i>The period of manufacture/issue of such documents shall not exceed the validity period of the document itself at the time of submission of the documents.</i></p> <p><i>The period of manufacture/issue of electronic documents from the digital document service shall not exceed 30 calendar days at the time of their submission.</i></p>
2	Document confirming legal address	
	<ul style="list-style-type: none"> (1) a certificate of state registration (re-registration) of a legal entity from the portal of the electronic government of the Republic of Kazakhstan (for residents of the Republic of Kazakhstan); <i>or</i> (2) an extract from the Unified State Register of Legal Entities (for residents of the Russian Federation); <i>or</i> (3) another document confirming the legal address 	<ul style="list-style-type: none"> (1) electronic document from digital document service; <i>or</i> (2) copy; <i>or</i> (3) a notarized copy, apostilled or legalized in accordance with the requirements of the legislation of the Republic of Kazakhstan. <p><i>The period of manufacture/issue of such documents shall not exceed the validity period of the document itself at the time of submission of the documents.</i></p> <p><i>The period of manufacture/issue of electronic documents from the digital document service shall not exceed 30 calendar days at the time of their submission.</i></p>
3	Document confirming the authority of the executive body	
	<ul style="list-style-type: none"> (1) the decision (minutes) of the relevant body of the legal entity on the appointment and the order on taking office (if applicable) (for residents of the Republic of Kazakhstan); <i>or</i> (2) an extract from the Register of Directors (for non-residents of the Republic of Kazakhstan); <i>or</i> (3) a certificate of incumbency and authority (for non-residents of the Republic of Kazakhstan); <i>or</i> (4) another document confirming the authority of the executive body 	<ul style="list-style-type: none"> (1) copy (for residents of the Republic of Kazakhstan); <i>or</i> (2) a notarized copy, apostilled or legalized in accordance with the legislation of the Republic of Kazakhstan (for non-residents of the Republic of Kazakhstan)

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4	Document confirming information on the composition of the supreme body (shareholders/members)	
	<p>(1) a certificate of state registration (re-registration) of a legal entity from the portal of the electronic government of the Republic of Kazakhstan (for residents of the Republic of Kazakhstan); <i>or</i></p> <p>(2) register or extract from the register of shareholders (members); <i>or</i></p> <p>(3) other document confirming information about shareholders (members)</p>	<p>(1) electronic document from digital document service; <i>or</i></p> <p>(2) copy; <i>or</i></p> <p>(3) a notarized copy, apostilled or legalized in accordance with the legislation of the Republic of Kazakhstan.</p> <p><i>The period of manufacture/issue of such documents shall not exceed the validity period of the document itself at the time of submission of the documents.</i></p> <p><i>The period of manufacture/issue of electronic documents from the digital document service shall not exceed 30 calendar days at the time of their submission.</i></p>
5	Constituent documents	
	<p>(1) Memorandum of Association as amended (if any); <i>or</i></p> <p>(2) Articles of association as amended (if any)</p>	<p>(1) copy; <i>or</i></p> <p>(2) a notarized copy, apostilled or legalized in accordance with the requirements of the legislation of the Republic of Kazakhstan.</p> <p><i>The period of manufacture/issue of such documents shall not exceed the validity period of the document itself at the time of submission of the documents</i></p>
6	Document confirming the active status of a legal entity (provided if more than 1 year has passed since registration)	
	<p>(1) a certificate of state registration (re-registration) of a legal entity from the portal of the electronic government of the Republic of Kazakhstan (for residents of the Republic of Kazakhstan); <i>or</i></p> <p>(2) an extract from the Unified State Register of Legal Entities (for residents of the Russian Federation); <i>or</i></p> <p>(3) Certificate of Good Standing (for non-residents of the Republic of Kazakhstan); <i>or</i></p> <p>(4) another document confirming the active status of a legal entity and its inclusion in the register at the place of incorporation/registration (for non-residents of the Republic of Kazakhstan).</p>	<p>(1) electronic document from digital document service; <i>or</i></p> <p>(2) copy; <i>or</i></p> <p>(3) a notarized copy, apostilled or legalized in accordance with the requirements of the legislation of the Republic of Kazakhstan.</p> <p><i>The period of manufacture/issue of such documents shall not exceed the validity period of the document itself at the time of submission of the documents.</i></p> <p><i>The period of manufacture/issue of electronic documents from the digital document service shall not exceed 30 calendar days at the time of their submission.</i></p>
7	Licenses	
	<p>(1) valid licenses indicating the number, date of issue, validity period of the license and the name of the body that issued the license (if there is a licensed activity)</p>	<p>(1) copy</p>

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8	Document confirming the authority of the representative of a legal entity (if any)	
	(1) Power of attorney	<p>(1) signed by an authorized representative of a legal entity with a seal (if any) (for residents of the Republic of Kazakhstan); <i>or</i></p> <p>(2) signed by an authorized representative of a legal entity with a seal (if any) with a notarized translation into the state or Russian language (if necessary), legalized or apostilled in accordance with the requirements of the legislation of the Republic of Kazakhstan (for non-residents of the Republic of Kazakhstan)</p>
9	Identity document of the members of the supreme body (shareholders/members), the executive body, the beneficial owner and the representative of the legal entity (if there is a representative of the legal entity)	
	<p>(1) identity card or passport of a citizen of the Republic of Kazakhstan; <i>or</i></p> <p>(2) passport of a resident of a foreign state; <i>or</i></p> <p>(3) residence permit of a foreigner in the Republic of Kazakhstan; <i>or</i></p> <p>(4) another document recognized in accordance with an international treaty ratified by the Republic of Kazakhstan as an identity document on the basis of which civil transactions are entered into on the territory of the Republic of Kazakhstan;</p>	<p>(1) electronic document from digital document service, integrated with the portal of the electronic government of the Republic of Kazakhstan (for residents of the Republic of Kazakhstan); <i>or</i></p> <p>(2) a notarized copy of the document, apostilled or legalized in accordance with the requirements of the legislation of the Republic of Kazakhstan; <i>or</i></p> <p>(3) copy* with provision of the original for verification of the document</p> <p><i>*the copy shall contain a clear photograph of the document holder, date of birth and a legible signature, date of issue, expiration date (if any) and document number</i></p>
10	Document confirming the address of residence (registration) of members of the executive body, the beneficial owner and the representative of the legal entity	
	<p>(1) a passport page confirming registration (if the residential address coincides with the registration address); <i>or</i></p> <p>(2) a document from a state register; <i>or</i></p> <p>(3) a bank statement; <i>or</i></p> <p>(4) a utility bill; <i>or</i></p> <p>(5) another document indicating the relevant addresses and the full name of a legal entity</p>	<p>(1) electronic document; <i>or</i></p> <p>(2) copy</p> <p><i>The period for manufacture/issue of such documents shall not exceed 3 months from the date of their submission.</i></p>
11	Document confirming the source of funds	
	<p>(1) audited financial statements for the most recent year; <i>or</i></p> <p>(2) memorandum of association; <i>or</i></p> <p>(3) loan agreements; <i>or</i></p> <p>(4) equivalent documents confirming the source of funds</p>	(1) copy
12	Specimen signatures form	

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	(1) a card with specimen signatures of persons authorized to sign and submit client orders and other documents on behalf of a legal entity (including the head of the executive body, a representative of the legal entity (if any), etc.), with a seal impression of the legal entity (according to the form established by the Company)	(1) a notarized original (for residents of the Republic of Kazakhstan); <i>or</i> (2) a notarized original, apostilled or legalized in accordance with the requirements of the legislation of the Republic of Kazakhstan (for non-residents of the Republic of Kazakhstan)
13	Agreement on accession to the Agreement on the provision of brokerage services (with nominee holding) to a legal entity	
	(1) a filled in and signed by the parties Agreement for accession to the Agreement on the provision of brokerage services (with nominee holding) to a legal entity	
14	Client Application Form	
	(1) a filled in and signed Client Application Form for Legal Entities" indicating the date of filling in	
15	Order for opening an account	
	(1) a filled in and signed Order for opening a personal account for a legal entity	