

Questionnaire of SJSC Bank VTB (Kazakhstan)

1. General

1.1	Full name	Subsidiary Joint-Stock Company VTB Bank (Kazakhstan)
1.2	Short name	SJSC Bank VTB Kazakhstan
1.3	Legal form	Joint-Stock Company
1.4	Registration number	№5062-1900-AO
1.5	Date of registration	19.09.2008
1.6	Place of registration	Republic of Kazakhstan, Astana
1.7	Type of the Banking License	Banking operations and activity on security market
1.8	License No.	1.2.14/39
1.9	License Issue Date	06.10.2014
1.10	Tax identification number	080940010300
1.11	Registered address	28, Timiryazev street "v", Almaty 050040, Republic of Kazakhstan
1.12	Correspondence address	28, Timiryazev street "v", Almaty 050040, Republic of Kazakhstan
1.13	Telephone number	+7 (727) 330-50-50
1.14	Fax number	+7 (727) 330-40-50
1.15	E-mail	info@vtb-bank.kz
1.16	Website address	www.vtb-bank.kz
1.17	Bank Identification Code	VTBAKZKZ
1.18	Codes of state statistics monitoring	OKED 64191
1.19	SWIFT	VTBAKZKZ
1.20	TELEX	VTBAKZKZ
1.21	REUTERS:	VTBK

2. Structure and Market Position

2.1	Registered and paid-in capital	27 357 000 000 KZT
2.2	Shareholders	Public Joint-Stock Company VTB Bank Russian Federation
2.3	Corporate governance structure	Board of Directors Management Board
2.4	Membership of the Board of Directors	
	Oseyevskiy Mikhail Eduardovich	Chairman of the Board of Directors
	Smakov Vsevolod Valeryevich	Member of the Board of Directors
	Valiyev Bayram Yussupovich	Member of the Board of Directors
	Stepanov Sergey Vladimirovich	Member of the Board of Directors
	Kydyrbayev Dossym Khamitovich	Member of the Board of Directors, Independent Director
	Sizova Slava Ivanovna	Member of the Board of Directors, Independent Director
	Dosmukametov Kanat Mukhamedkarimovich	Member of the Board of Directors, Independent Director
2.5	Membership of the Management Board	
	Dmitry Aleksandrovich Zabello	The Chairman of the Board
	Turaliyeva Irina Igorevna	Deputy of the Chairman of the Board -Member of the Management Board
	Assem Kenzhebek	Director of the Department of Corporate Business Development -Member of the Management Board
	Dinara Nurlanovna Kalysheva	Director of the Risk Department, Member of the Management Board
2.6	Is the regulatory body, or any other body or person authorized to act on behalf of the legal entity without any power of attorney present at the legal address?	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO

2.7	Branches, Representative Offices and Banks included into the SO JSC VTB Bank (Kazakhstan)	
	VTB Bank (Kazakhstan) JSC SO Almaty Branch	
	VTB Bank (Kazakhstan) JSC SO «Stolichnyi» Branch	
	VTB Bank (Kazakhstan) JSC SO Pavlodar city Branch	
	VTB Bank (Kazakhstan) JSC SO Karaganda city Branch	
	VTB Bank (Kazakhstan) JSC SO Ust-Kamenogorsk city Branch	
	VTB Bank (Kazakhstan) JSC SO Atyrau city Branch	
	VTB Bank (Kazakhstan) JSC SO «Zapadnyi» Branch	
	VTB Bank (Kazakhstan) JSC SO «Vostochnyi» Branch	
	VTB Bank (Kazakhstan) JSC SO Taraz city Branch	
	VTB Bank (Kazakhstan) JSC SO Shymkent city Branch	
	VTB Bank (Kazakhstan) JSC SO Kokshetau city Branch	
	VTB Bank (Kazakhstan) JSC SO Taldykorgan city Branch	
	VTB Bank (Kazakhstan) JSC SO Kyzylorda city Branch	
	VTB Bank (Kazakhstan) JSC SO Uralsk city Branch	
	VTB Bank (Kazakhstan) JSC SO Kostanai city Branch	
	VTB Bank (Kazakhstan) JSC SO Aktau city Branch	
	VTB Bank (Kazakhstan) JSC SO Petropavlovsk city Branch	
2.8	Branches abroad	N/a
2.9	Correspondent Banks	<p>THE BANK OF NEW YORK MELLON VTB Bank PJSC, Moscow Russian Federation VTB Bank (Deutschland) AG, Frankfurt am Main VTB Bank, Shanghai VTB Bank AG, Austria VTB Bank Georgia SUMITOMO MITSUI BANKING CORPORATION, TOKYO JSC «Halyk Savings Bank» JSC «Bank CentreCredit» JSC «Russki Slavyanski Bank» JP Morgan Chase Bank, N.A. Citibank, N.A.</p>
2.10	History, business reputation, market sector and competition	
	<p>VTB Bank (Kazakhstan) provides services to legal entities and physical persons, focusing on the work with corporate customers, small-scale and medium-scale businesses. History of the Bank in Kazakhstan began with the establishment of representative office in Almaty on 6 February 2008. On May 22, 2009 the subsidiary bank VTB has received a license for banking activities of AFS and began its operations in Kazakhstan as a 100% subsidiary bank of the Russian VTB Bank. The purpose of the bank is to provide its products and services of international quality and quick response to customer demand. The main competitive advantages of VTB Bank (Kazakhstan) consist in a team of efficient professionals, individual approach to each customer and the access to the resource base of VTB Group, allowing the Bank to dynamically develop its activities in accordance with the established strategy and set tasks.</p> <p><u>Standard & Poor's</u> Forecast: "Negative" Unsecured bonds rating: BB+ National Scale unsecured bonds rating: kzAA- Long term foreign and local currency credit rating: BB+/B National Scale Rating: kzAA-</p>	

3.1. Anti-Money Laundering / Counter-terrorism Financing Controls in SO JSC Bank VTB (Kazakhstan)

3.1.	Regulatory Basis
	The VTB Group Consolidated Policy on the prevention of Money Laundering and Terrorism

	Financing	
	The concept of consolidated management of internal controls in purpose of prevention Money Laundering and Terrorism Financing in the VTB Group	
	Internal control rules to counter the legalization (laundering) of proceeds from crime and terrorism financing	
	Regulations of work in certain areas of internal controls in order to counter the legalization (laundering) of proceeds from crime and terrorism financing in SJSC VTB Bank (Kazakhstan)	
3.2.	Procedures set for identification and study of the Bank's customers	
	The Bank has developed the internal control rules to counteract the legalization (laundering) of proceeds from crime and terrorism financing, where following is established in detail: procedures for the identification of the client when establishing a business relationship with the client, when conducting the one-time transfers without opening an account, as well as the transactions with cash and other property, subject to financial monitoring. The procedures include the identification, including customer relationship to FPO, identification of the beneficial owners and a source of income by fixing the information on the documents required for the identification by providing the customer to fill out the relevant Questionnaire; testing at a public official sources; the study of constituent documents (register of shareholders, constituent documents) as well as the implementation of testing against the List of extremists.	
3.3.	Contact information	
	Telephone number	+7 (727) 330-50-50
	Fax number	+7 (727) 330-40-50

Chairman of the Board



 (signature)

D. Zabello

**Chief Compliance Controller
 Head of Compliance-control and
 financial monitoring**



 (signature)

A. Akimova

8th April, 2016