

Questionnaire of SJSC Bank VTB (Kazakhstan)

1. General

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| 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 | 03.02.2020 |
| 1.10 | Tax identification number | 080940010300 |
| 1.11 | Registered address | 26/29, Timiryazev street, Almaty 050040, Republic of Kazakhstan |
| 1.12 | Correspondence address | 26/29, Timiryazev street, 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

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| 2.1 | Registered and paid-in capital | 29 957 000 000 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 | Member of the Board of Directors, representative of the sole shareholder |
| | Smakov Vsevolod Valeryevich | Member of the Board of Directors, representative of the sole shareholder |
| | Valiyev Bayram Yussupovich | Member of the Board of Directors, representative of the sole shareholder |
| | Stepanov Sergey Vladimirovich | Member of the Board of Directors, representative of the sole shareholder |
| | 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 |
| | Igor Valerievich Li | Director of the Department for work with |

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| 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 | The Bank Of New York Mellon VTB Bank PJSC, Moscow Russian Federation VTB Bank Europe (SE), Frankfurt am Main JSC «Halyk Savings Bank» National Bank of the Republic of Kazakhstan, Republic of Kazakhstan, Almaty |
| 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.</p> <p>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.</p> <p>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>Forecast: - Stable</p> <p>Long-term credit rating: BB +</p> <p>Short-term rating: B</p> <p>National scale rating: kzAA-</p> | |

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

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| 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 |

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|-----------|--|-----------|---------------------------|----------|--|-------|--------------------|--------|--------------------|
| | 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. | <p>Procedures set for identification and study of the Bank's customers</p> <p>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.</p> | | | | | | | | |
| 3.3. | <p>Contact information</p> <table border="1"> <tr> <td>Full name</td><td>Kot Stanislav Valerievich</td></tr> <tr> <td>Position</td><td>Deputy Chief Compliance Controller, Head of Compliance Control and Financial Monitoring Department</td></tr> <tr> <td>Phone</td><td>+7 (727) 330-44-36</td></tr> <tr> <td>E-mail</td><td>St.Kot@vtb-bank.kz</td></tr> </table> | Full name | Kot Stanislav Valerievich | Position | Deputy Chief Compliance Controller, Head of Compliance Control and Financial Monitoring Department | Phone | +7 (727) 330-44-36 | E-mail | St.Kot@vtb-bank.kz |
| Full name | Kot Stanislav Valerievich | | | | | | | | |
| Position | Deputy Chief Compliance Controller, Head of Compliance Control and Financial Monitoring Department | | | | | | | | |
| Phone | +7 (727) 330-44-36 | | | | | | | | |
| E-mail | St.Kot@vtb-bank.kz | | | | | | | | |

Chairman of the Board

(signature)

D. Zabello

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

(signature)

S.Kot

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