

COPY

JOINT-STOCK COMPANY «UNITED GROUP ALATAU»

AGREED

By the decision of the Management Board
of JSC «United Group Alatau»

Minutes No. 260626

«_26_» June 2026

APPROVED

By the decision of the Board of
Directors

of JSC «United Group Alatau»

Minutes No. 290626

dated «_29_» June 2026



REGULATIONS
ON TRANSFER-AGENT ACTIVITY

Almaty, 2026

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Section 1. General provisions

- 1.1. These Regulations on transfer-agent activity (hereinafter – the Regulations) define the conditions, internal procedure, time limits, and procedures for Joint-Stock Company «United Group Alatau» (hereinafter – the Transfer-agent, the Company) to carry out transfer-agent activity in the securities market of the Republic of Kazakhstan (hereinafter – the RK), as well as the procedure for the functioning of its structural subdivisions and employees, the rendering of services, and the procedure for their payment.
- 1.2. The Regulations have been developed in accordance with the Civil Code of the RK, the Law of the RK dated 2 July 2003 No. 461-II «On the Securities Market» (hereinafter – the Securities Market Law), the Law of the RK «On Personal Data and Their Protection», the Rules for Carrying Out Transfer-Agent Activity in the Securities Market approved by Resolution of the Management Board of the National Bank of the RK dated 21 September 2012 No. 298, as well as other regulatory legal acts of the Agency of the RK for Regulation and Development of the Financial Market (hereinafter – the Authorized body).
- 1.3. The Transfer-agent carries out transfer-agent activity on the basis of a license to carry out transfer-agent activity in the securities market, issued by the Authorized body.
- 1.4. The norms of the contract of agency established by the Civil Code of the RK apply to the relations between the Transfer-agent and its clients.
- 1.5. The requirements of these Regulations apply to all structural subdivisions and branches (in the event of their creation and functioning) of the Company involved in carrying out transfer-agent activity, as well as to employees directly involved in carrying it out.

Definitions.

The following concepts are used in the Regulations:

- 1.6. **Transfer-agent** – a professional participant in the securities market rendering services in the acceptance and transfer of documents (information) between participants in the securities market in the process of their conclusion of transactions in the securities market.
- 1.7. **Recipient** – the recipient of documents (information); depending on the direction of document flow, the recipient is a professional participant in the securities market (broker, management company, investment fund, custodian, Central Depository) or a client of a professional participant (sender – an individual or legal entity).
- 1.8. **Sender** – the sender of documents (information); an individual or legal entity (investor) or a professional participant providing the Transfer-agent with documents for their subsequent transfer to the Recipient.
- 1.9. **Client** – a professional participant in the securities market, an individual or legal entity using or intending to use the services of the Transfer-agent. Individuals and legal entities are clients of the Transfer-agent provided that they are clients of a professional participant that is a client of this Transfer-agent, or intend to use the services of the Transfer-agent for the purpose of concluding an agreement with such a professional participant.
- 1.10. **Professional participant** – a legal entity carrying out activity in the securities market on the basis of a license or in accordance with the legislative acts of the RK.
- 1.11. **Order/request** – a document submitted to a professional participant in the securities market by the holder (acquirer) of financial instruments, indicating the performance of a certain action in respect of the financial instruments or money belonging to it.
- 1.12. **Unified document accounting system** – a specialized hardware and software complex of the Transfer-agent (AIS «Invest Manager») ensuring end-to-end accounting, registration, and storage of information on all accepted and transferred documents at the head office and branches (in the event of their creation and functioning).

- 1.13. **Registration number** – an alphanumeric designation assigned to an accepted or transferred document for the purposes of its identification and accounting.
- 1.14. **Track number** – a code assigned to a postal item for tracking the delivery of the originals of documents.
- 1.15. **Professional secret in the securities market** – information about clients, transactions, account balances, and other information received by the Transfer-agent in the performance of its duties, not subject to disclosure to third parties, except in the cases provided for by the laws of the RK.
- 1.16. **Authorized body** – the Agency of the RK for Regulation and Development of the Financial Market.

Section 2. Procedure for interaction with clients and conclusion of agreements

- 2.1. The Transfer-agent carries out the acceptance and transfer of documents only on the basis of transfer-agent service agreements concluded with Clients in written or electronic (using an electronic digital signature) form.
- 2.2. When concluding an agreement, the Client submits the following documents to the Transfer-agent:
- 1) for a professional participant in the securities market:
 - forms of documents to be completed in the process of concluding transactions in the securities market, and instructions (clarifications, directions) for their completion;
 - forms of documents necessary for concluding an agreement with persons intending to use the services of the professional participant that is a client of the Transfer-agent, with an attached list of the necessary documents;
 - a document containing notarized specimen signatures of the representatives of the professional participant who have the right to sign documents on its behalf;
 - 2) for individuals who are clients of a professional participant or intend to use the services of the Transfer-agent for the purpose of concluding an agreement with a professional participant:
 - a copy of the identity document or an electronic document from the digital documents service (for identification);
 - 3) for legal entities that are clients of a professional participant or intend to use the services of the Transfer-agent:
 - a document containing notarized specimen signatures of the representatives of the legal entity who have the right to sign documents on its behalf;
 - documents necessary for concluding an agreement with a professional participant, established by the Securities Market Law.
- 2.3. The documents specified in subparagraph 1) of paragraph 2.2 of the Regulations are submitted by the Client in the form of printed material and (or) in the form of electronic files intended for printing (taking into account the technical capabilities of the Transfer-agent).
- 2.4. Copies of agreements (including all amendments and additions made thereto) and copies of the documents specified in paragraph 2.2 of the Regulations are transferred by the Transfer-agent to its branches involved in carrying out transfer-agent activity (where they exist and are involved in the relevant document flow process).
- 2.5. The Client shall notify the Transfer-agent in writing of any changes in the documents specified in paragraph 2.2 of the Regulations (including by providing updated documents) within 3 (three) business days from the date of their approval. The Transfer-agent shall communicate the received changes and copies of the updated documents to its branches (where they exist and are involved in the relevant document flow process) within 3 (three) business days from the date of their receipt.
- 2.6. The Transfer-agent shall provide, upon the first request of the Client:

- a notarized copy of the license to carry out transfer-agent activity;
 - a copy of these Regulations;
 - information about Clients that are professional participants who have concluded agreements with the Transfer-agent (indicating the location, dates of issue and numbers of licenses, the list of services, the time limits and procedure for their payment, the procedure for executing documents, as well as other information not constituting a commercial secret in the securities market).
- 2.7. Payment for the Transfer-agent's services rendered to the Client is made at the expense of that Client.
- 2.8. Templates of transfer-agent service agreements are provided in Appendices No. 1 and 2 to these Regulations.

Section 3. Procedure for the acceptance and identification of documents from Senders

- 3.1. The acceptance of documents is carried out by a responsible (authorized) employee of the Transfer-agent in specially equipped operating halls or front offices on business days from 09:00 to 18:00 Astana time, except for holidays and days off. In the event that a professional participant has established a different time for the end of the acceptance of documents, the Transfer-agent completes the acceptance of documents before the established time.
- 3.2. When a Sender that is an individual applies, the employee of the Transfer-agent shall:
- require the original of the identity document;
 - carry out visual identification (or digital biometric verification where there is integration with state services);
 - check the validity period of the document;
 - reconcile the signature on the Recipient's forms;
 - obtain the written consent of the Sender to the collection and processing of personal data in the form according to Appendix No. 4 to these Regulations.
- 3.3. When a representative of a Sender that is a legal entity applies, the employee additionally checks the original or a notarized copy of the power of attorney (or the order on the appointment of the first executive) and reconciles the signatures of authorized persons and the seal impression (if any) with the specimens in the signature card (Appendix No. 5 to these Regulations). A notarized power of attorney is required for a representative of an individual.
- 3.4. Upon receipt of documents intended for transfer, the employee of the Transfer-agent reconciles the signatures on them with the specimens available in the documents with notarized specimen signatures, and checks the completeness and correctness of the completion of the order for the conclusion of transactions in the securities market in accordance with the instructions (clarifications, directions) provided by the professional participant. The requirements of this paragraph do not apply to persons intending to use the services of the Transfer-agent for the purpose of concluding an agreement with a professional participant.
- 3.5. Documents that have erasures, unstipulated corrections, or crossings-out; are completed in pencil; or have damage that does not allow their content to be interpreted unambiguously are not accepted.
- 3.6. If, as a result of the check, discrepancies are found in the submitted documents (information), the Transfer-agent refuses to accept the documents, indicating the reasons for the refusal.
- 3.7. If the documents comply with all requirements, the employee of the Transfer-agent registers the package in the Unified document accounting system (recording the entry in the Journal of registration of incoming documents (document packages) in the form according to Appendix No. 7 to these Regulations), assigns a registration number, and affixes to the Sender's copy of the document a stamp indicating the date, time of acceptance, incoming number, position, and signature. The originals of documents are submitted in two

copies, the first of which is returned to the Sender with the Transfer-agent's mark of acceptance for transfer, and the second is transferred to the Recipient.

Section 4. Time limits and procedure for the transfer of documents to Recipients

- 4.1. The content of the documents accepted from the Sender is transferred by means of electronic communication (using cryptographic information protection tools and an electronic digital signature) to their Recipient located in the capital or a city of republican or regional significance – within 12 (twelve) hours from the moment of their acceptance, and to a Recipient located in another settlement of the RK – within the time limit established by the agreement.
- 4.2. The Transfer-agent provides the Sender with confirmation of the transfer to the Recipient of the content of the documents by means of electronic communication within 12 (twelve) hours from the moment of their transfer.
- 4.3. The originals of documents accepted for transfer on paper are formed into closed courier packages and sent to the Recipient by means of postal communication or by courier no later than 10 (ten) business days from the day of their acceptance. Each postal item is assigned a track number for tracking the delivery of the originals.
- 4.4. The transfer of electronic and paper packages of documents is accompanied by a register (act) of acceptance and transfer, drawn up in the form according to Appendix No. 6 to these Regulations, signed by both parties or certified by bilateral electronic digital signatures.
- 4.5. If it is impossible to fulfill the requirement of paragraph 4.1 of the Regulations, the Transfer-agent notifies the Sender thereof by the methods provided for by the agreement within 3 (three) hours.
- 4.6. A branch of the Transfer-agent (if any) shall, within 3 (three) business days, communicate to the head office information about the documents accepted for transfer and (or) transferred by it, in order to reflect such information in the Unified document accounting system.

Section 5. Procedure for document accounting and assignment of registration numbers

- 5.1. The accounting of all operations for the acceptance and transfer of documents is maintained in the Unified document accounting system based on AIS «Invest Manager». Accounting is maintained on electronic and paper media by way of separate registration of documents accepted from the Sender and transferred to the Recipient, as well as by the method of their transfer (electronic communication or postal communication/courier). Accounting is maintained separately for each Client. The registration of packages of documents sent to Recipients is carried out in the Journal of registration of outgoing documents (document packages) in the form according to Appendix No. 8 to these Regulations.
- 5.2. For each fact of acceptance of a document, the following is entered into the system:
 - the sequential number of the entry, the exact date and time of acceptance;
 - full details of the Sender (full name/name, IIN/BIN);
 - full details of the Recipient;
 - the name and brief content of the document; the registration number;
 - the full name and identifier of the employee who accepted the document; the date, time, and method of actual dispatch to the Recipient;
 - the track number (for paper document flow).

- 5.3. The registration number is assigned to the document automatically in the Unified document accounting system and is used for the identification and accounting of the document. The registration number of an annulled (deactivated, refused for execution) document is not reused for numbering new documents.
- 5.4. The Unified document accounting system is protected against retroactive modification of data. Any corrections of technical errors are made by creating a new entry with the mandatory preservation of the history of the initial input (audit trail, event logs).
- 5.5. Branches of the Transfer-agent (if any) provide information about accepted documents to the head office for reflection in the Unified document accounting system within 3 (three) business days from the moment of acceptance.

Section 6. Procedure for the storage of and access to documents

- 6.1. The originals of documents are stored until dispatch to the Recipient in a special fireproof cabinet that is locked during the absence of the employee at the workplace. Only an authorized employee of the Transfer-agent (its branch) has access to the cabinet.
- 6.2. The original of the transfer-agent service agreement (including all amendments and additions made thereto), the document with specimen signatures, the document accounting journals, and the transfer registers are subject to storage by the Transfer-agent for 5 (five) years from the day of termination of the relevant agreement.
- 6.3. Maintaining a system of registration and accounting unified with the branches (if any) ensures compliance with the principles of reliability and relevance of data on the acceptance, transfer, and delivery of documents.

Section 7. Procedure for ensuring the safety of the electronic database

- 7.1. The safety of the electronic database used in carrying out transfer-agent activity is ensured by storing information on the Transfer-agent's server and backing up to an external device.
- 7.2. Backing up (backup) of the database of the Unified document accounting system is carried out daily; the backup copy is stored for at least 7 (seven) days on a remote server (external device), access to which is held by responsible employees of the Company.
- 7.3. The premises in which the servers are located are maintained in proper order: air temperature and humidity regulation, the presence of smoke detectors and fire alarm systems are ensured; the technical equipment is connected to uninterruptible power supply sources.
- 7.4. Media for data archiving are stored in a clean room, access to which is held by responsible employees of the Transfer-agent.

Section 8. Procedure for access to hardware and software

- 8.1. Access to hardware and software (including the electronic database), communication, and other equipment used in carrying out transfer-agent activity is controlled by a combination of a user name (login) and a password unique to each user.
- 8.2. The password is a unique combination of letters and numbers. Users change the password at least once a month. Names and passwords different from the names and passwords for logging into the network are used for working with the software.
- 8.3. The employee exercising control over the initial access to the computer operating system and application programs determines user names and access rights and does not have the ability to view the database.
- 8.4. Access to AIS «Invest Manager» is held by a strictly limited circle of persons on the basis of an agreement and the internal documents of the Company. Upon employment, employees admitted to the Unified

document accounting system sign an agreement (undertaking) on the non-disclosure of the professional secret in the securities market, commercial secret, personal data of Clients, and insider information.

Section 9. Procedure for maintaining system operability during power outages

- 9.1. In order to maintain the operability of the systems used in carrying out transfer-agent activity, for the normal completion of their operation in the usual mode and to ensure the safety and reliability of all transferred data in the event of a power outage, the following measures are applied.
- 9.2. The premises in which the servers of the Unified document accounting system are located are supplied with autonomous power generators, which makes it possible to ensure the safety of data and to continue operation in the usual mode.
- 9.3. The computers (workstations) of the Transfer-agent's employees involved in carrying out transfer-agent activity are supplied with uninterruptible power supply sources that make it possible to normally complete the operation of the software.

Section 10. Procedure for the operation of branches and structural subdivisions

- 10.1. The provisions of this Section are applied by the Company exclusively in the event of the creation, registration, and actual opening of branches.
- 10.2. The branches and structural subdivisions of the Company involved in carrying out transfer-agent activity carry out the acceptance and transfer of documents (information) in accordance with these Regulations, the job descriptions of employees, and the instructions of the head office.
- 10.3. Branches transfer documents (information) to the Recipient in electronic form and transfer the originals of documents to Recipients by means of postal communication under an act of acceptance and transfer of documents with a track number for tracking the originals.
- 10.4. A branch shall, within 3 (three) business days, communicate to the head office information about the documents accepted for transfer and (or) transferred, in order to reflect it in the Unified document accounting system.
- 10.5. The coordination of the work of branches and structural subdivisions, methodological support, monitoring, and control are carried out by the supervised transfer-agent activity area of the head office.

Section 11. Tariffs for the provision of services and payment procedure

- 11.1. The rendering of the Transfer-agent's services is carried out on a paid basis at tariffs approved by the authorized body of the Company and posted on the corporate website of the Company. The tariffs for the provision of services are provided in Appendix No. 3 to these Regulations.
- 11.2. The cost of services includes all expenses and risks associated with the rendering of services, as well as all taxes and fees provided for by the legislation of the RK. The cost of services may include a monthly subscription fee for each transfer-agent point depending on the number of documents transferred and a fee for each dispatch of a package of documents for a specific Client.
- 11.3. Payment for the Transfer-agent's services rendered to the Client is made at the expense of that Client. Payment is made in the manner and within the time limits established by the transfer-agent service agreement.
- 11.4. The Transfer-agent monthly issues acts of rendered services and invoices in accordance with the tax legislation of the RK. The procedure and time limits for the reconciliation of mutual settlements are established by the agreement.

Section 12. Reconciliation of accepted and transferred documents

- 12.1. The Transfer-agent and Recipients (Clients) carry out a mandatory periodic reconciliation of accepted and transferred documents (information).
- 12.2. The reconciliation of accepted and transferred documents is carried out monthly, no later than the 5th (fifth) day of the month following the reporting month. Based on the results of the reconciliation, a bilateral act of reconciliation of documents (information) is drawn up and signed.
- 12.3. The reconciliation of mutual settlements (by the cost of rendered services) is carried out in the manner and within the time limits established by the transfer-agent service agreement. The frequency of the reconciliation of documents and the reconciliation of mutual settlements established by these Regulations and agreements shall be mutually consistent.
- 12.4. In the event that data discrepancies are identified (loss of a package, transfer failure, discrepancy in details), the Transfer-agent and the Recipient create a working commission and eliminate the discrepancy within 2 (two) business days.

Section 13. Confidentiality and information security

- 13.1. Employees of the Transfer-agent who have access to the Unified document accounting system sign an undertaking on the non-disclosure of the Professional secret in the securities market and the personal data of Clients.
- 13.2. The Transfer-agent ensures the confidentiality of the information contained in the transferred documents (information) and takes all necessary measures to ensure the safety and reliability of the transferred data.
- 13.3. The transfer of information to third parties (except for the Recipient to whom the document is addressed) is prohibited, except for official requests from courts, law enforcement agencies, and the Authorized body within the limits of their competence, executed in accordance with the legislation of the RK.
- 13.4. The processing of the personal data of Clients is carried out in accordance with the Law of the RK «On Personal Data and Their Protection» exclusively for the purpose of rendering transfer-agent services, on the basis of the written consent of the personal data subject.

Section 14. Responsibility and procedure for dispute resolution

- 14.1. The Transfer-agent is responsible for the safety, confidentiality, and timeliness of the transfer of documents from the moment of affixing the mark of acceptance until the moment of recording the transfer to the Recipient.
- 14.2. The Transfer-agent is liable to the Professional participant in the event of violation of the time limits for providing it with the originals of documents accepted from its clients.
- 14.3. The Transfer-agent is not liable to the clients of the professional participant for damage caused by the Professional participant, and for the execution (non-execution) of operations by the Professional participant.
- 14.4. The Transfer-agent is not liable for violations of the changed requirements of the internal rules of the Professional participant if the Professional participant does not notify the Transfer-agent of these changes.
- 14.5. For violation of the time limits for the transfer of information established by the legislation, the officials of the Transfer-agent bear responsibility in accordance with the Code of the RK on Administrative Offenses, and the Company – in accordance with the terms of the agreements and the acts of the Authorized body.
- 14.6. Disputes arising in the process of transfer-agent activity are resolved through negotiations, and if agreement is not reached – in court at the location of the defendant in accordance with the legislation of the RK.

Section 15. Final provisions

- 15.1. These Regulations enter into force from the moment of their approval by the Decision of the Board of Directors of the Company.
- 15.2. Amendments and additions to these Regulations are made in the manner established for their approval and are communicated against signature to the employees involved in carrying out transfer-agent activity.
- 15.3. The appendices to these Regulations form an integral part thereof.
- 15.4. In all matters not regulated by these Regulations, the Company is guided by the legislation of the RK.

List of appendices to the Regulations

Appendix No. 1. Template agreement for the provision of transfer-agent services (to a professional participant in the securities market).

Appendix No. 2. Template accession agreement for the provision of transfer-agent services (for individuals and legal entities).

Appendix No. 3. Tariffs for the provision of transfer-agent services.

Appendix No. 4. Consent of the subject to the collection and processing of personal data.

Appendix No. 5. Document with specimen signatures and seal impression.

Appendix No. 6. Act of acceptance and transfer of documents within the framework of transfer-agent activity.

Appendix No. 7. Journal of registration of incoming documents (document packages).

Appendix No. 8. Journal of registration of outgoing documents (document packages).

to the Regulations on transfer-agent activity of JSC «United Group Alatau»

AGREEMENT
on the provision of transfer-agent services
(to a professional participant in the securities market)

No. ____ / ____

Almaty «____» _____ 20__

_____, hereinafter referred to as the «Professional participant»,
represented by _____, acting on the basis of _____, on the
one hand, and

Joint-Stock Company «UGA» (BIN 080340017099), hereinafter referred to as the «Transfer-agent», represented by
_____, acting on the basis of _____, on the other hand,
hereinafter jointly referred to as the «Parties», and individually as a «Party» or as indicated above, have concluded
this Agreement on the provision of transfer-agent services (hereinafter – the Agreement) on the following:

1. SUBJECT OF THE AGREEMENT

1.1. The Professional participant instructs and pays, and the Transfer-agent undertakes the obligation to carry out, on behalf of and at the expense of the Professional participant, the acceptance and transfer of documents (information) between the Professional participant and its clients (hereinafter – the Services). The norms of the contract of agency established by the Civil Code of the Republic of Kazakhstan apply to the relations of the Parties under this Agreement (paragraph 2 of Article 77 of the Law of the Republic of Kazakhstan «On the Securities Market»).

1.2. The Transfer-agent, in accordance with this Agreement, provides Services for the acceptance and transfer of documents (information), including:

- 1) registration and accounting of documents received for transfer to the Professional participant;
- 2) registration and accounting of documents transferred to the clients of the Professional participant;
- 3) checking the correctness and completeness of the completion by clients of documents (orders, requests) and reconciling signatures with notarized specimens;
- 4) transferring the content of the accepted documents to the recipient by means of electronic communication;
- 5) delivering the originals of documents to the recipient by means of postal communication or by courier;
- 6) ensuring the safety of the electronic database used in carrying out transfer-agent activity.

1.3. The list of structural subdivisions (points of acceptance) of the Transfer-agent through which the Services are provided is established in the Appendix to this Agreement.

1.4. Confirmation of the acceptance of an order/request for dispatch to the Professional participant is the corresponding mark of the Transfer-agent on the original of the order/request.

2. COST OF SERVICES AND PAYMENT TERMS

2.1. The cost of the Services under the Agreement includes all expenses and risks associated with the rendering of the Services by the Transfer-agent, as well as all taxes and fees provided for by the legislation of the Republic of Kazakhstan (hereinafter – the Cost of Services), and is determined in accordance with the tariffs of the Transfer-agent.

2.2. Payment of the Cost of Services under the Agreement is made monthly by way of transferring money for the Services rendered by the Transfer-agent no later than the ____ (_____) day of the month following the reporting month, on the basis of an electronic act of completed work issued by the Transfer-agent and signed by both Parties.

2.3. The documents required prior to payment: 1) the signed Agreement; 2) the electronic act of completed work (hereinafter – the Act).

2.4. Monthly Acts are issued by the Transfer-agent to the Professional participant within the period up to the ____ (____) day of each calendar month following the settlement month. After the Act is signed by the Professional participant, the Transfer-agent issues an electronic invoice in accordance with the tax legislation of the Republic of Kazakhstan.

2.5. The Act sent by the Transfer-agent to the Professional participant is, for the Professional participant, unconditional confirmation of the fact and volume of the Services rendered and the basis for their payment, if within 3 (three) business days from the date of its receipt the Professional participant does not communicate to the Transfer-agent in writing any comments on the Act.

2.6. The date of payment for the Services is considered to be the date of the transfer by the Professional participant of money to the current account of the Transfer-agent specified in Section 12 of the Agreement.

3. RIGHTS AND OBLIGATIONS OF THE PARTIES

3.1. The Transfer-agent undertakes:

- 1) to comply with the requirements of the legislation of the Republic of Kazakhstan, this Agreement, and to act within the limits of the powers specified in the Agreement;
- 2) to ensure the full and proper fulfillment of the obligations assumed under the Agreement;
- 3) to ensure information exchange for the Professional participant and its clients;
- 4) to ensure the timely submission of the documents provided for by the Agreement, including for payment;
- 5) to carry out the Services on the basis of a license to engage in transfer-agent activity issued by the authorized body;
- 6) to ensure the transfer to the Professional participant of electronic copies of the accepted documents by means of electronic communication within 12 (twelve) hours from the moment of their acceptance — for a recipient located in the capital or a city of republican or regional significance, and for a recipient located in another settlement of the Republic of Kazakhstan – within 10 (ten) business days;
- 7) to ensure the dispatch to the recipient of the originals of the accepted documents by means of postal communication or by courier no later than 10 (ten) business days from the day of their acceptance from clients;
- 8) to observe the confidentiality of the transferred information (documents), as well as to take all necessary measures to ensure the confidentiality of the information transferred by it;
- 9) not to use the incoming information (documents) in its own interests or in the interests of third parties;
- 10) to notify the Professional participant within 3 (three) hours, orally by telephone and in writing by e-mail according to the contacts specified by the Professional participant indicated in Section 12 of the Agreement, in cases where the Transfer-agent, due to malfunctions of technical means, the absence of electricity, or for other reasons beyond its control, cannot temporarily fulfill the terms of the Agreement;
- 11) not to allow distortion and modification of the transferred information (documents);
- 12) to ensure the high-quality acceptance of documents (information) from the clients of the Professional participant in strict accordance with the requirements of the legislation of the Republic of Kazakhstan and

the Rules of the Professional participant, as well as their initial check for completeness and correctness of completion;

- 13) upon receipt of documents (information) intended for their transfer, to reconcile the signatures on them with the specimens available in the documents with notarized specimen signatures, as well as to check for completeness and correctness of the completion of the order for the conclusion of transactions in the securities market in accordance with the instructions (clarifications, directions) provided by the Professional participant;
- 14) to notify the Professional participant in writing within 3 (three) hours of cases of the imposition by the authorized body of a ban on the activity of the Transfer-agent;
- 15) to ensure compliance with the principles of reliability and relevance, as well as the maintenance of a unified system of registration and accounting;
- 16) in accordance with the requirements of the Law of the Republic of Kazakhstan «On Personal Data and Their Protection», to ensure the acceptance and transfer of the consent of clients to the collection and processing of their personal data for the purposes of fulfilling the Agreement;
- 17) to destroy the personal data received in the course of fulfilling the Agreement in the cases provided for by the legislation of the Republic of Kazakhstan on personal data and their protection;
- 18) to familiarize clients with the cost of services in accordance with the tariffs and the method of payment for services;
- 19) to ensure the proper storage of received documents in the period until their transfer to the Professional participant. The originals of the Agreement (including all amendments and additions made) are subject to storage by the Transfer-agent for five years from the day of termination of the Agreement.

3.2. The Transfer-agent has the right:

- 1) to require from the Professional participant the proper fulfillment of obligations under the Agreement;
- 2) to suspend the provision of Services to the Professional participant if the latter fails to fulfill the terms of the Agreement. In this case, the Transfer-agent is obliged to notify the Professional participant of the suspension of the provision of Services 10 (ten) business days before the intended date of such suspension;
- 3) to receive remuneration for the rendering of Services under this Agreement in accordance with the tariffs of the Transfer-agent.

3.3. The Professional participant undertakes:

- 1) in accordance with the terms of the Agreement, to accept and pay for the Services rendered by the Transfer-agent under the Agreement;
- 2) to accept from the Transfer-agent the information (documents) transferred by it from clients within the framework of the fulfillment of the Agreement;
- 3) to provide the Transfer-agent with all instructions and written clarifications necessary for carrying out the functions of the Transfer-agent in accordance with the level of requirements of the Professional participant, but not exceeding the requirements of the Agreement;
- 4) to transfer, within 10 (ten) business days from the date of signing the Agreement, the following documents: forms of orders and documents to be completed by clients and sent to the Professional participant; rules for completing the orders and additional documents of the Professional participant; forms of documents necessary for concluding an agreement with persons intending to use the services of the Professional participant through the Transfer-agent, with an attached list of the necessary documents; a document containing notarized specimen signatures of the representatives of the Professional participant who have the right to sign documents on its behalf;

- 5) to inform the Transfer-agent of amendments and additions to the internal documents of the Professional participant within 3 (three) calendar days from the moment of approval of the amendments and additions. In this case, if the Transfer-agent violates the requirements of the changes before the moment of transfer, the Professional participant bears responsibility;
- 6) is not entitled to delegate (transfer) its functions to the Transfer-agent if this is prohibited by the legislation of the Republic of Kazakhstan;
- 7) in the event of revocation or suspension of the license, is obliged to notify the Transfer-agent thereof in writing within 3 (three) business days;
- 8) to receive from the Transfer-agent the originals of clients' documents on a permanent basis.

3.4. The Professional participant has the right:

- 1) to require from the Transfer-agent the proper fulfillment of obligations under the Agreement;
- 2) to terminate the Agreement, without prejudice to any other sanctions for violation of the terms of the Agreement by the Transfer-agent, by sending to the Transfer-agent, 10 (ten) business days before the date of termination, a written notice of termination of the Agreement in connection with its violation of its obligations under the Agreement.

4. GUARANTEES OF THE TRANSFER-AGENT

4.1. The Transfer-agent guarantees:

- 1) the high-quality performance of the functions of accepting documents from clients, as well as their timely dispatch to the recipient;
- 2) the availability of a unified system of accounting of the Transfer-agent's documents ensuring separate accounting of documents for each client;
- 3) the availability of means ensuring the confidentiality of the information contained in the transferred documents and ensuring the safety and reliability of the transferred data;
- 4) the availability of a database containing information on the acceptance, transfer, and delivery of documents, used in carrying out transfer-agent activity;
- 5) ensuring control over the correspondence of the data of clients' documents, entered by means of software, to their paper originals;
- 6) the mandatory reflection of information about documents accepted from clients or received from the recipient for transfer to clients, respectively, in the unified system of accounting of the Transfer-agent's documents;
- 7) the storage of clients' documents, until their transfer, in the fireproof cabinets of the Transfer-agent, locked during the absence of the Transfer-agent's employees at the workplace.

5. RESPONSIBILITY OF THE PARTIES

5.1. In the event of non-fulfillment or improper fulfillment by the Parties of their obligations under the Agreement, the Parties bear responsibility in accordance with the legislation of the Republic of Kazakhstan and the terms of the Agreement.

5.2. The Transfer-agent is liable to the Professional participant in the event of violation of the time limits for providing it with the originals of documents accepted from its clients.

5.3. The Transfer-agent is not liable to the clients of the Professional participant for damage caused by the Professional participant.

5.4. The Transfer-agent is not liable to the clients of the Professional participant for the execution (non-execution) of operations by the Professional participant.

5.5. The Transfer-agent does not bear any responsibility for violations of the changed requirements of the internal rules of the Professional participant if the Professional participant does not notify the Transfer-agent of these changes.

5.6. In the fulfillment of obligations under this Agreement, the Parties undertake to comply with the norms of anti-corruption legislation, business ethics, and integrity, and the principles of fair competition.

5.7. This Agreement, in the event of its conclusion as a result of corruption offenses, is recognized by the court as invalid in the manner established by the law of the Republic of Kazakhstan upon the claim of authorized state bodies, interested persons, or the prosecutor.

6. TERM OF VALIDITY AND CONDITIONS FOR TERMINATION OF THE AGREEMENT

6.1. The Agreement enters into force from the date of conclusion of the Agreement and is valid through _____, inclusive, and in the part concerning the fulfillment of the obligations arising from this Agreement — until their full fulfillment. The Parties may at any time unilaterally refuse to fulfill the terms of the Agreement in the following cases:

- 1) if the Transfer-agent or the Professional participant is declared bankrupt or insolvent, in which case termination is carried out immediately;
- 2) liquidation/reorganization.

6.2. In the event of a unilateral refusal of the Agreement, the Parties send a written notice of termination of the Agreement 10 (ten) business days before the intended date of termination of the Agreement, upon the expiration of which the Agreement is considered terminated. The notice shall indicate the reason for the refusal to fulfill the terms of the Agreement, as well as the date of entry into force of the termination of the Agreement.

6.3. When the Agreement ceases to be valid by virtue of the above circumstances, the Transfer-agent has the right to demand payment only for actual costs, as well as payment of remuneration for the Services duly rendered before the date of termination of the agreement.

7. FORCE MAJEURE CIRCUMSTANCES (FORCE MAJEURE)

7.1. The Parties are released from responsibility for non-fulfillment or improper fulfillment of their obligations under the Agreement if it was the consequence of the occurrence of the following force majeure circumstances: floods, earthquakes, and other natural disasters, ecological catastrophes, military actions, civil war, popular unrest, mass riots or strikes, the adoption of regulatory legal and legal acts of the Republic of Kazakhstan which the Parties could not have foreseen and which directly affected the fulfillment by the Parties of their obligations under the Agreement. The period for the fulfillment of obligations by the Party affected by force majeure circumstances is postponed for the period of validity of such circumstances.

7.2. The Party for which the fulfillment of its obligations under the Agreement becomes impossible shall immediately notify the other Party in writing of the commencement and cessation of the circumstances specified in paragraph 7.1 of the Agreement, indicating their causes, and shall also submit a confirming document of the relevant authorized body. Facts that are generally known do not require proof.

7.3. If no other written instructions are received from the Professional participant, the Transfer-agent continues to fulfill its obligations under the Agreement, insofar as this is expedient, and searches for alternative ways of fulfilling the Agreement that do not depend on the said circumstances.

8. CONFIDENTIALITY

8.1. The Parties undertake not to disclose the terms of the Agreement to third parties, as well as to keep secret the Confidential information received, except in the cases provided for by the legislation of the Republic of Kazakhstan.

8.2. The transfer of Confidential information to third parties, its publication or disclosure is possible only with the prior written consent of the other Party, and in the cases provided for by the legislation of the Republic of Kazakhstan, also with the consent of the client.

8.3. In the event that a Party intends to disclose confidential information to third parties, it shall notify the other Party thereof within 2 (two) calendar days, which is the owner of the Confidential information, and obtain its prior written consent to such disclosure; in the event of obtaining such written consent to the disclosure of the Confidential information from the holder of such information, it shall obtain in advance from the third party an undertaking on compliance with the requirements of non-disclosure of the Confidential information provided to it.

8.4. In the event of the disclosure or dissemination by any of the Parties of the Confidential information of the other Party, the guilty Party shall be obliged to compensate for the losses incurred by the other Party as a result of the disclosure of such information and shall be subject to other responsibility provided for by the legislation of the Republic of Kazakhstan. These requirements do not apply when the Party that disclosed the Confidential information proves that such disclosure was a requirement of the legislation of the Republic of Kazakhstan, or the disclosure of the Confidential information was made after the written approval of the other Party, or the Confidential information became available to third parties due to circumstances not related to the Agreement.

9. PROCEDURE FOR DISPUTE RESOLUTION

9.1. All disputes and (or) disagreements arising between the Parties under the Agreement and (or) in connection with it are resolved through negotiations between the Parties.

9.2. In the event that it is impossible to settle disputes and (or) disagreements through negotiations, the disputes are subject to consideration in the manner provided for by the legislation of the Republic of Kazakhstan, in court at the location of the defendant.

10. NOTIFICATION

10.1. Any notice that one Party sends to the other Party in accordance with the Agreement is sent by means of e-mail or an electronic document management system with the subsequent provision of the original.

10.2. A notice enters into force after delivery or on the specified effective date (if indicated in the notice), whichever of these dates occurs later.

11. OTHER CONDITIONS AND ANTI-CORRUPTION CLAUSE

11.1. Taxes and other mandatory payments to the budget are payable in accordance with the tax legislation of the Republic of Kazakhstan.

11.2. In the event of a change in the location and (or) details, a Party notifies the other Party in writing within 3 (three) business days from the day of adoption of the relevant decision.

11.3. Any amendments and additions to the Agreement are valid only provided that they are made in writing and signed by the duly authorized representatives of the Parties and sealed with their seals (if any).

11.4. The transfer of the obligations of one of the Parties under the Agreement is permitted only with the written consent of the other Party.

11.5. The Parties confirm the lawfulness of the transfer of clients' personal data for the purposes of their collection and processing.

11.6. In the fulfillment of their obligations under this Agreement, the Parties and their employees do not pay, do not offer to pay, and do not permit the payment of any monetary funds or valuables, directly or indirectly, to any persons to influence the actions or decisions of these persons for the purpose of obtaining any improper advantages or other improper purposes. In the event that a Party has suspicions that a violation of any anti-corruption

conditions has occurred or may occur, the relevant Party undertakes to notify the other Party in writing within 5 (five) business days from the date of sending the written notice.

11.7. The Agreement is drawn up in two copies in the state and Russian languages, having equal legal force, one copy for each of the Parties.

11.8. In the part not regulated by the Agreement, the Parties are guided by the legislation of the Republic of Kazakhstan.

12. ADDRESSES, DETAILS, AND SIGNATURES OF THE PARTIES

Professional participant	Transfer-agent
_____	JSC «UGA»
Legal address: _____	Legal address: Almaty, _____
Actual address: _____	BIN 080340017099
BIN _____	IIC _____
IIC _____	BIC _____
BIC _____	Kbe _____
Tel. _____	Tel. _____
_____ / _____ /	_____ / _____ /
(signature) (full name)	(signature) (full name)
Seal	Seal

to the Regulations on transfer-agent activity of JSC «United Group Alatau»

AGREEMENT
on the provision of transfer-agent services
(for individuals and legal entities)

Almaty «___» _____ 20__

_____, hereinafter referred to as the «Client», represented by _____, acting on the basis of _____, on the one hand, and Joint-Stock Company «UGA» (BIN 080340017099), hereinafter referred to as the «Transfer-agent», represented by _____, acting on the basis of _____, on the other hand, hereinafter jointly referred to as the «Parties», and individually as a «Party» or as indicated above, have concluded this Agreement on the provision of transfer-agent services (hereinafter — the Agreement) on the following:

1. TERMS AND DEFINITIONS

The following terms and definitions are used in this Agreement:

Client – an individual or legal entity that is a consumer of the services of a professional participant, intending to use the services of the Transfer-agent for the purpose of concluding an agreement with a professional participant in the securities market;

Security – a set of certain records and other designations certifying property rights;

Documents (information) – any document, including but not limited to orders/requests, notifications, questionnaires, or letters, submitted to a professional participant in the securities market by the Client;

Professional participant (PPSM) – a legal entity carrying out its activity in the securities market on the basis of a license or in accordance with the legislative acts of the Republic of Kazakhstan.

2. SUBJECT OF THE AGREEMENT

2.1. In accordance with this Agreement, the Transfer-agent undertakes to render transfer-agent services in the securities market, and the Client – to pay for these services.

2.2. The Transfer-agent, in accordance with the Agreement for the provision of Transfer-agent services with the PPSM, provides Services for the acceptance and transfer of documents (information), including: 1) registration and accounting of documents received by the Transfer-agent from clients for transfer to the PPSM; 2) registration and accounting of documents received from the PPSM for transfer to clients; 3) ensuring the safety of the electronic database used in carrying out Transfer-agent activity.

2.3. The rendering of services by the Transfer-agent is regulated by the provisions of this Agreement, the Regulations on the activity of the Transfer-agent of JSC «UGA», the current version of which is posted on the corporate website of JSC «UGA» (hereinafter — the Regulations), the legislation of the Republic of Kazakhstan, as well as the agreement for the provision of transfer-agent services concluded between the Transfer-agent and the PPSM.

2.4. Confirmation of the acceptance of Documents for dispatch to the PPSM or the Client is the corresponding mark of the Transfer-agent on the original.

2.5. The relations regulated by this Agreement are subject to the legislation of the Republic of Kazakhstan established in respect of the contract of agency.

3. RIGHTS AND OBLIGATIONS OF THE PARTIES

3.1. The Transfer-agent is obliged:

- 1) to comply with all provisions of this Agreement, the Regulations, and the agreement for the provision of Transfer-agent services concluded with the PPSM;
- 2) to provide, upon the first request of the Client: a copy of the license to carry out Transfer-agent activity; a copy of the Regulations of the Transfer-agent on paper or electronic media;
- 3) to notify the Client of all changes in the Agreement, the Regulations, and the tariffs by way of posting announcements on the corporate website of the Transfer-agent;
- 4) to observe the confidentiality of the information (Documents) transferred by it, as well as to take all necessary measures to ensure the confidentiality of the information transferred by it.

3.2. The Transfer-agent has the right:

- 1) to receive commission remuneration for the rendering of Services under this Agreement in accordance with the tariffs of the Transfer-agent;
- 2) to suspend the fulfillment of this Agreement in the event of non-fulfillment by the Client of the duties and obligations provided for by this Agreement;
- 3) to require the necessary Documents and information from the Client when carrying out Transfer-agent services;
- 4) to require from Clients the correct and accurate completion of the Documents provided for by the internal documents of the PPSM or the agreement on Transfer-agent servicing concluded between the Transfer-agent and the PPSM;
- 5) to refuse the Client the rendering of Transfer-agent services in the following cases, if: the Client has not submitted or has submitted incompletely the necessary documents required by the Transfer-agent; the Client does not agree with amendments and (or) additions to this Agreement, of which it informs the Transfer-agent in writing; when completing the documents the Client provides incorrect information or if the documents contain corrections and erasures; the PPSM that is a consumer of the Transfer-agent's services does not fulfill the terms of the agreement for the provision of Transfer-agent services;
- 6) to terminate the Agreement by sending the Client a corresponding notice at least 30 (thirty) calendar days before the intended date of termination of the Agreement.

3.3. The Client is obliged:

- 1) to submit in a timely manner all necessary documents required by the Transfer-agent within the framework of the rendering of Transfer-agent services;
- 2) to submit Documents in writing in 2 (two) copies in the form according to the internal documents of the PPSM with which the Client has concluded an agreement on Transfer-agent servicing;
- 3) to compensate the Transfer-agent for losses incurred by the Transfer-agent as a result of the rendering to the Client of Transfer-agent services under this Agreement, except in cases where the losses arose through the fault of the Transfer-agent's employees;
- 4) to duly fulfill its obligations provided for by the legislation of the Republic of Kazakhstan and this Agreement;
- 5) to provide the Transfer-agent with notarized specimen signatures and seal impression (for a legal entity) and a copy of the identity document of the authorized person; for an individual — a copy of the document certifying his identity and other documents required in accordance with the Regulations on the activity of the Transfer-agent.

3.4. The Client has the right:

- 1) to require from the Transfer-agent the fulfillment of the duties provided for by this Agreement;
- 2) to receive from the Transfer-agent information about the dispatch of Documents to the PPSM;

- 3) to terminate the Agreement in the absence of unfulfilled obligations to the Transfer-agent under the Agreement, whereby the Client notifies the Transfer-agent in writing 30 (thirty) calendar days before the intended date of termination of this Agreement.

4. TARIFFS AND SETTLEMENT PROCEDURE

4.1. The cost of the Services under the Agreement includes all expenses and risks associated with the rendering of the Services by the Transfer-agent, as well as all taxes and fees provided for by the legislation of the Republic of Kazakhstan (hereinafter – the Cost of Services), and is determined in accordance with the tariffs of the Transfer-agent.

4.2. Payment of the Cost of Services under the Agreement is made monthly by way of transferring money for the Services rendered by the Transfer-agent no later than the ____ (_____) day of the month following the reporting month, on the basis of an electronic act of completed work issued by the Transfer-agent and signed by both Parties.

4.3. The documents required prior to payment: 1) the signed Agreement; 2) the electronic act of completed work (hereinafter – the Act).

4.4. Monthly Acts are issued by the Transfer-agent to the Client within the period up to the ____ (____) day of each calendar month following the settlement month. After the Act is signed by the Client, the Transfer-agent issues an electronic invoice in accordance with the tax legislation of the Republic of Kazakhstan.

4.5. The Act sent by the Transfer-agent to the Client is, for the Client, unconditional confirmation of the fact and volume of the Services rendered and the basis for their payment, if within 3 (three) business days from the date of its receipt the Client does not communicate to the Transfer-agent in writing any comments on the Act.

4.6. The date of payment for the Services is considered to be the date of the transfer by the Client of money to the current account of the Transfer-agent specified in Section 11 of the Agreement.

5. RESPONSIBILITY OF THE PARTIES

5.1. For non-fulfillment or improper fulfillment by the Parties of their obligations under the Agreement, the Parties bear responsibility in accordance with the legislation of the Republic of Kazakhstan and the terms of the Agreement.

5.2. The Transfer-agent is liable to the Client in the event of violation of the time limits for the transfer of the accepted Documents in electronic form and in the original.

5.3. The Transfer-agent is not liable to the Client for damage caused to the Client by the PPSM.

5.4. The Transfer-agent is not liable to the Client for the execution (non-execution) of operations by the PPSM.

5.5. The Transfer-agent does not bear any responsibility for violations of the changed requirements of the internal rules of the PPSM if the PPSM does not notify the Transfer-agent and (or) its clients of these changes.

5.6. The payment of a penalty does not release the Parties from the fulfillment of their obligations under the Agreement.

5.7. The Parties confirm the lawfulness of the transfer of the personal data of the persons authorized to sign this Agreement, for the purposes of their collection and processing, as well as their cross-border transfer.

6. FORCE MAJEURE

6.1. The Parties are released from responsibility for partial or complete non-fulfillment of obligations under the Agreement if proper fulfillment turned out to be impossible due to force majeure, namely: natural disasters of a natural nature, military actions, the issuance of a regulatory legal act of the Republic of Kazakhstan of a prohibitive or restrictive nature, if these circumstances directly affected the fulfillment of the Agreement. The list of force majeure circumstances is not exhaustive.

6.2. The Party for which the impossibility of fulfilling obligations under the Agreement has arisen due to force majeure circumstances is obliged, no later than 5 (five) days from the moment of their occurrence, to notify the other Party thereof in writing. The notice shall contain a description of the force majeure circumstances, the date of their occurrence, the intended date of their end, as well as evidence of the existence of a causal link between the force majeure circumstances and the unfulfilled obligation. Proper confirmation of the existence of force majeure circumstances is a document issued by the authorized body of the Republic of Kazakhstan.

6.3. Failure to notify, improper notification, or the absence of a causal link between the force majeure circumstance and the unfulfilled obligation deprives the Party of the possibility of referring to any of the above circumstances as a ground releasing from responsibility.

6.4. If the force majeure circumstances continue to be in effect for more than 2 (two) months, any of the Parties has the right to terminate the Agreement unilaterally with mandatory notification of the other Party and mutual settlements within 10 (ten) business days from the date of receipt by the second Party of the notice.

7. CONFIDENTIALITY

7.1. The Parties undertake not to disclose the terms of the Agreement to third parties, as well as to keep secret the Confidential information received, except in the cases provided for by the legislation of the Republic of Kazakhstan.

7.2. The transfer of Confidential information to third parties, its publication or disclosure is possible only with the prior written consent of the other Party, and in the cases provided for by the legislation of the Republic of Kazakhstan, also with the consent of the Client.

7.3. In the event of the disclosure or dissemination by any of the Parties of the Confidential information of the other Party, the guilty Party shall be obliged to compensate for the losses incurred by the other Party and shall be subject to other responsibility provided for by the legislation of the Republic of Kazakhstan.

8. PROCEDURE FOR DISPUTE RESOLUTION

8.1. Disagreements and disputes arising between the Parties in the process of the joint fulfillment of obligations under this Agreement are resolved through negotiations.

8.2. If the Parties fail to reach agreement, the disputes are resolved in the manner established by the legislation of the Republic of Kazakhstan.

9. TERM OF VALIDITY OF THE AGREEMENT

9.1. This Agreement enters into force from the date of signing by the Parties.

9.2. The Agreement is valid until termination at the initiative of the Parties or until termination of the agreement for the provision of Transfer-agent services concluded with the PPSM.

10. FINAL PROVISIONS

10.1. Operations in the process of execution on the day of termination of the Agreement must be completed by the Transfer-agent and executed by the PPSM.

10.2. In all matters not regulated by the Agreement, the Parties are guided by the legislation of the Republic of Kazakhstan.

11. LEGAL AND BANKING DETAILS OF THE PARTIES

Client	Transfer-agent
Full name / name: _____	JSC «UGA»
Legal address: _____	Legal address: Almaty, _____
Actual address: _____	BIN 080340017099
BIN/IIN _____	IIC _____
IIC _____	Bank _____
Bank _____	BIC _____
BIC _____	Kbe _____
Tel. _____	Tel. _____
Position _____ Full name _____	Position _____ Full name _____
_____ (signature)	_____ (signature)
Seal	Seal

Appendix No. 3
to the Regulations on transfer-agent activity of JSC «United Group Alatau»

Tariff	Calculation base	Target level
Subscription fee (monthly fixed tariff)	For each professional participant – client of the transfer-agent, regardless of the volume of document flow	200,000 – 500,000 tenge/month (depending on the client profile, the volume of potential document flow, the presence of a guaranteed minimum on transactions)
Tariff for the acceptance/transfer of one package of documents	Per unit of document flow – a package relating to one client of the professional participant / one operation	1,500 – 3,000 tenge per package
Tariff for the identification of a new client – an individual	For carrying out the procedure for the identification of an individual – a new client of the broker	3,000 – 5,000 tenge per identification
Tariff for the identification of a new client – a legal entity	For carrying out the procedure for the identification of a legal entity – a new client of the broker	10,000 – 15,000 tenge per identification
Tariff for postal / courier delivery services for originals	At the cost of the services of the engaged postal operators, with the transfer-agent's margin	According to the price list of the postal operator + 20–30% markup
Additional services (urgency, non-standard operations)	According to the price list of individually agreed services	By individual agreement

to the Regulations on transfer-agent activity of JSC «United Group Alatau»

Consent of the subject to the collection and processing of personal data

Almaty «___» _____ 2026

I, _____, (*full name*), identity
card / passport No. _____, issued by _____ on «___» _____, IIN
_____, registered at the address:

_____,
in accordance with the Law of the Republic of Kazakhstan «On Personal Data and Their Protection», freely, by my own will and in my own interest, **give consent** to Joint-Stock Company «United Group Alatau» (hereinafter – the Company / Transfer-agent, BIN 080340017099, Almaty) to the collection, processing, and storage of my personal data, both on paper media and in electronic format in the Company's Unified document accounting system (AIS «Invest Manager»).

1. **List of personal data to the collection and processing of which consent is given:** full name, IIN, data of identity documents, citizenship, address of registration and actual residence, contact telephone numbers, e-mail addresses, specimen signatures, biometric data (when undergoing digital biometric verification), as well as information about the financial instruments belonging to me, operations with them, and other information transferred within the framework of transfer-agent servicing.
2. **Purpose of the collection and processing of personal data:** The rendering of transfer-agent services in the securities market of the RK, including personal identification, registration, accounting, processing, and transfer of documents (orders, requests, questionnaires) to Recipients – professional participants in the securities market (brokers, management companies, the Central Depository, etc.) for the purpose of concluding or executing agreements.
3. **Methods and cross-border transfer:** I hereby confirm my consent to the transfer of my personal data to Recipients (professional participants in the securities market), as well as to the cross-border transfer of data, if this is necessary for the execution of my orders/requests within the framework of transfer-agent servicing. Processing may be carried out both by automated and non-automated methods.
4. **Term of validity of the consent and destruction:** This consent is valid throughout the entire term of validity of the transfer-agent servicing agreement, as well as for 5 (five) years after its termination – for the storage of reporting documents in accordance with the requirements of the Company's Regulations and the legislation of the RK. Upon the expiration of this period, the personal data is subject to destruction.
5. **Withdrawal of consent:** This consent may be withdrawn by me at any time by submitting a written application to the Transfer-agent, except in cases where the processing of data is mandatory in accordance with the legislation of the RK.

Personal data subject (Client / Sender):

_____/_____/_____
(*signature*) (*full name*)

Appendix No. 5
to the Regulations on transfer-agent activity of JSC «United Group Alatau»

DOCUMENT WITH SPECIMEN SIGNATURES AND SEAL IMPRESSION

Client of the Transfer-agent (full name)	
Business identification number	
Location of the Client of the Transfer-agent	
Telephone	
Transfer-agent (full name)	
Location of the Transfer-agent	
Telephone	

Signatures and seal impression (if any) in accordance with their specimens indicated in this document are mandatory when carrying out all operations within the framework of transfer-agent activity

Position of the authorized person	Surname, first name, patronymic (if any) of the authorized person	Specimen signature	Specimen seal impression (if any)
First signature			
Second signature			

This document is subject to mandatory notarization

ACT OF ACCEPTANCE AND TRANSFER OF DOCUMENTS No. _____
within the framework of transfer-agent activity

Almaty «____» _____ 20__ Time: ____ h. ____ min.

Transferring party: _____

Receiving party: _____

This Act confirms that the Parties have carried out the acceptance and transfer of the following documents (document packages):

No.	Incoming number	Details of the Sender	Name of the document	Number of copies / sheets	Details of the Recipient (PPSM)

Total documents transferred: _____ pieces.

Method of dispatch of originals (mark as appropriate):

- ☐ By courier
- ☐ By means of courier / postal communication
 - Name of the communication operator:

 - Assigned Track number of the postal item: _____

The documents have been transferred in full, checked for integrity and correspondence of signatures to specimens. The Act is drawn up in 2 copies.

SIGNATURES OF THE PARTIES:

On behalf of the Transferring party:

On behalf of the Receiving party:

(Position, full name of the authorized person)

(Position, full name of the authorized person)

Signature: _____

Signature: _____

Seal (if any)

Seal (if any)

Appendix No. 7
to the Regulations on transfer-agent activity of JSC «United Group Alatau»

JOURNAL of registration of incoming documents (document packages)

No.	Date of acceptance	Time of acceptance	Incoming / registration number	Details of the Sender	Name of the document	Number of copies / sheets	Full name and signature of the responsible employee of the Transfer-agent	Note / Mark of dispatch
1	2	3	4	5	6	7	8	9

Appendix No. 8
to the Regulations on transfer-agent activity of JSC «United Group Alatau»

JOURNAL of registration of outgoing documents (document packages)

No.	Date of dispatch	Time of dispatch	Outgoing / registration number	Reference to the incoming number of the document (document package)	Details of the Recipient (PPSM)	Method of dispatch	Transport details (number of the Act of acceptance and transfer / track number)	Full name and signature of the responsible employee of the Transfer-agent
1	2	3	4	5	6	7	8	9

**INFORMATION ON VERSIONS OF THE INTERNAL REGULATORY
DOCUMENT**

No.	Version of the internal regulatory document indicating the name of the document	Body that approved the internal regulatory document	Date of approval	Minutes number
1.	Version 1	Board of Directors		

APPROVAL SHEET

26.06.2026 14:32 Agreed: Darменова Ainur Sovetovna
26.06.2026 14:42 Agreed: Mustafayeva Alma Idiyonovna
26.06.2026 15:05 Agreed: Nurkenov Yerke Yerlikovich

FAMILIARIZATION SHEET

JSC «United Group Alatau»
Regulation on the Information Security Department

Numbered and laced on 32 (thirty-two) pages. Signature (signed)

PLEASE SEE OVERLEAF

Republic of Kazakhstan, Almaty,
thirteenth of July two thousand and twenty-six.

I, Kakimzhanova Saltanat Apsalamovna, a private notary in Almaty, acting under state license No. 16000753 dated January 20, 2016, issued by the Ministry of Justice of the Republic of Kazakhstan, certify that this copy is faithful to the original document. The original contains no erasures, additions, crossed-out words, or other unspecified corrections or any other irregularities.

Registered in the register under No. 1818
Collector: 24,255 tenge.

Notary /notary signature, notary seal: Republic of Kazakhstan, private notary
Kakimzhanova Saltanat Apsalamovna, license no. 16000753 issued
January 20, 2016, by the Ministry of Justice of the Republic of
Kazakhstan/

екст-г
азахск
ыполн
узяль
ожден
лматы
ринад
место

Подпи

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Зарег
Взыс
Нотар

Текст-перевод документа с русского и казахского языков на английский язык выполнен переводчиком Галимовой Гузаль Рафаильвной, 08.11.1988 года рождения, ИИН 881108401988, города Алматы Республики Казахстан, тринадцатого июля две тысячи двадцать шестого года.

Подпись/Signature

Гузаль Рафаильвна Галимова

The text of translation of the document from Russian and Kazakh languages into English is done by the translator Guzyal Galimova, born on 08.11.1988, Unique Identification Number 881108401988, of Almaty city thirteenth of July two thousand and twenty-six.

Республика Казахстан, город Алматы.
тринадцатое июля две тысячи двадцать шестого года

The Republic of Kazakhstan, Almaty city.
thirteenth of July two thousand and twenty-six.

Я, Какимжанова Салтанат Апсаламовна, нотариус города Алматы, действующая на основании государственной лицензии №16000753, выданной МЮ РК 20 января 2016 года, свидетельствую подлинность подписи переводчика Галимовой Гузаль Рафаильвны.

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