Dear Colleagues,

To improve interaction between National Settlement Depository (NSD) and registrars during the conduct of mandatory corporate actions and when submitting electronic documents to NSD, we kindly ask you to:

1. provide the following information in electronic documents issued in accordance with the FCDR\_17\_02 messaging format to confirm transactions in NSD’s account:

* securities’ nominal value;
* security ID (depository code) assigned by NSD[[1]](#endnote-1);
* transaction basis code;
* corporate action reference assigned by NSD (available in the block \*/EvtsLkg/EvtId/LkdCorpActnId of the relevant ‘CorporateActionNotification’ message);
* conversion date determined in accordance with the Issuance Resolution.

The above information should be provided in tags as per the table below:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Account type (nominee account or CSD nominee account)** | **Electronic document's Identification Code** | **Electronic document title in accordance with the FCDR\_13\_02 formats** | **Document title** | **NSD's comments** |
| CSD nominee account | 5RESTR40 | REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION | Request for reconciliation for a global transaction | REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/add\_info/Envlp/XtnsnDt - **corporate action reference;**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/previous\_state - **description of the underlying securities;**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/previous\_state/previous\_security - **underlying securities;**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/previous\_state/previous\_security/nominal\_value - **underlying securities’ nominal value;**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/previous\_state/previous\_security/proprietary\_security\_code - **underlying securities’ ID (depository code);**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/previous\_state/transaction\_type – **securities’ credit or debit transaction;**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/previous\_state/code\_base\_transactions - **transaction basis code;**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/future\_state - **description of the securities with the new ID (depository code);**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/future\_state/future\_security - **securities with the new ID (depository code);**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/future\_state/future\_security/nominal\_value - **nominal value of the securities with the new ID (depository code);**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/future\_state/future\_security/proprietary\_security\_code - **ID (depository code) of the securities with the new ID (depository code);**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/future\_state/transaction\_type - **securities’ credit or debit transaction;**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/conversion\_securities\_issue/future\_state/code\_base\_transactions - **transaction basis code;**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/add\_info/Envlp/XtnsnDt - **corporate action reference;**  REPORT\_OF\_UNCONFIRMED\_GLOBAL\_OPERATION/add\_info/Envlp/XtnsnDt/SctiesMvmntDtls/DtDtls/PmtDt/Dt/Dt – **conversion date determined in accordance with the Issuance Resolution.** |
| Nominee account | 5RESTR04 | STATEMENT\_OF\_TRANSACTIONS | Securities movement statement | repeating block - securities description: STATEMENT\_OF\_TRANSACTIONS/security\_transactions/security/nominal\_value – **securities’ nominal value;**  STATEMENT\_OF\_TRANSACTIONS/security\_transactions/security/proprietary\_security\_code - **security ID (depository code);**  - security transaction block: STATEMENT\_OF\_TRANSACTIONS/security\_transactions/transactions/transaction/transaction\_type - **securities’ credit or debit transaction;**  STATEMENT\_OF\_TRANSACTIONS/security\_transactions/transactions/transaction/security/nominal\_value – **securities’ nominal value;**  STATEMENT\_OF\_TRANSACTIONS/security\_transactions/transactions/transaction/security/proprietary\_security\_code - **security ID (depository code);**  STATEMENT\_OF\_TRANSACTIONS/security\_transactions/transactions/processing\_info/operation\_name – **transaction basis code;**  STATEMENT\_OF\_TRANSACTIONS/add\_info/Envlp/XtnsnDt - **corporate action reference;**  STATEMENT\_OF\_TRANSACTIONS/add\_info/Envlp/XtnsnDt/SctiesMvmntDtls/DtDtls/PmtDt/Dt/Dt – **conversion date determined in accordance with the Issuance Resolution.** |
| Nominee account | 5RESTR03 | STATEMENT\_OF\_HOLDINGS | Excerpt from the register / statement of holdings as of the particular date / statement of availability | STATEMENT\_OF\_HOLDINGS/security\_balance/security/nominal\_value – **nominal value;**  STATEMENT\_OF\_HOLDINGS/security\_balance/security/proprietary\_security\_code - **security ID (depository code).** |
| Nominee account | 5RESTR05 | STATEMENT\_OF\_CONFIRMED\_TRANSACTION | Statement of transaction | STATEMENT\_OF\_CONFIRMED\_TRANSACTION/transaction\_processing/transaction/transaction\_type - **securities’ credit or debit transaction;**  STATEMENT\_OF\_CONFIRMED\_TRANSACTION/transaction\_processing/transaction/security/nominal\_value – **securities’ nominal value;**  STATEMENT\_OF\_CONFIRMED\_TRANSACTION/transaction\_processing/transaction/security/proprietary\_security\_code - **security ID (depository code);**  STATEMENT\_OF\_CONFIRMED\_TRANSACTION/add\_info/Envlp/XtnsnDt - **corporate action reference;**  STATEMENT\_OF\_TRANSACTIONS/add\_info/Envlp/XtnsnDt/SctiesMvmntDtls/DtDtls/PmtDt/Dt/Dt – **conversion date determined in accordance with the Issuance Resolution.** |
| Nominee account | 5RESTR34 | STATEMENT\_OF\_TRANSACTIONS\_V02 | Statement of account transactions | STATEMENT\_OF\_TRANSACTIONS\_V02/transactions/transactions\_all/transaction/transaction\_type**- securities’ credit or debit transaction;**  STATEMENT\_OF\_TRANSACTIONS\_V02/transactions/transactions\_all/transaction/security/nominal\_value – **securities’ nominal value;**  (STATEMENT\_OF\_TRANSACTIONS\_V02/transactions/transactions\_all/transaction/security/proprietary\_security\_code - **security ID (depository code);**  STATEMENT\_OF\_TRANSACTIONS\_V02/add\_info/Envlp/XtnsnDt - **corporate action reference;**  STATEMENT\_OF\_TRANSACTIONS/add\_info/Envlp/XtnsnDt/SctiesMvmntDtls/DtDtls/PmtDt/Dt/Dt – **conversion date determined in accordance with the Issuance Resolution.** |

1. limit the sending of FREE\_FORMAT\_MESSAGE\_V02 messages (5RESTR20) to NSD to notify NSD of the following mandatory corporate actions for which ISO 20022 format messages (CorporateActionNotification) can be sent:

* PARI – Pari-passu;
* CONV – Conversion;
* INCR – Increase in value;
* DECR – Decrease in value;
* SPLF – Stock split / Change in nominal value / Subdivision;
* SPLR – Reverse stock split / Change in nominal value;
* BONU – Bonus issue / Capitalisation issue.

Please be reminded that in accordance with the Rules of Interaction with NSD in the Course of Corporate Information Sharing, Corporate Actions Processing and Other Transactions (the “Rules”), for the purposes of providing information on such corporate actions as CONV, DECR, INCR, SPLF, SPLR, BONU, MRGR, SOFF, or EXOF, which is to be disclosed by issuers through registrars under Bank of Russia's Regulations No. 751-P dated 11 January 2021 “On the List of Information Concerning the Exercise of Rights Attached to Securities and to Be Disclosed by Issuers to the Central Securities Depository, Method and Timing of Disclosure, and Requirements to the Central Securities Depository’s Granting of Access to Such Information”, it is required to use an ISO 20022 format Corporate Action Notification accompanied by a \*.doc attachment (Form 7).

The specifications of a Corporate Action Notification are available on NSD's official web site, in the ‘Documents’ section: [Electronic Data Interchange](https://www.nsd.ru/en/documents/workflow/) › Specifications of Electronic Documents Used by NSD for Corporate Actions Processing.

Please also note that on 13 December 2021 the amended and restated Rules will take effect, which require that a message sender ensure the consistency of information disclosed, including its consistency with any earlier messages, and send messages in accordance with the requirements of Russian laws and regulations (including Bank of Russia's regulations); the amended and restated Rules will also provide for NSD’s right to reject any messages if the message sender has failed to comply with the said requirements.

Kind regards,

Russian Securities Corporate Actions Unit

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Registrars Relationship Unit

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1. To receive the security ID (depository code) for the securities of the issuer with whose securities registrar NSD holds an account, a request (5REST37) entitled “Request for the Reference Book for Securities” can be submitted to NSD on any business day. [↑](#endnote-ref-1)