

Rules of information exchange between National Settlement Depository (hereafter – “NSD”) and Nominee (hereafter “N”)/Foreign Nominee (hereafter – “FN”) for the purpose of compilation securities owners’ list and list of persons exercising rights to securities upon Issuer/Registrar/Bank of Russia requests.

Abbreviations:

List - owners’ list and list of persons exercising rights to securities

T – date on which NSD received a request from a Registrar;

RD – record date;

D – date on which balances on Client’s securities account have changed;

SED – System of electronic workflow (LUCH, web-service and web-access);

n – number of days for clients to provide NSD with information according to Bond Issuance documentation;

m – number of days for NSD to provide Issuer/Payment agent with information (securities owners’ list) according to Bond Issuance documentation.

№	Message type	Direction	Reporting forms by communication channels			Timeframe	Conditions for report preparation
			SWIFT FIN	SWIFT FileAct	СЭД HPД		
	Notification (Request under corporate action)	NSD → N → FN	GS61S (MT564-DACL with additional information)		GS061 (Russian)	T; T+1, if request from Issuer/Registrar to complete a list of securities owners is received after 18:00 MSK; RD+1, if request from Issuer/Registrar to complete a list of securities owners is received before RD or issuance documentation of bonds requires compilation of securities owners’ list.	Request to compile a list of securities owners is delivered to NSD
	Instruction for disclosure a list of securities owners *	NSD ← N/FN		RF005 (NEWM)	RF005 (NEWM)	T+12/RD+12 – in general cases; RD + n – for bonds in case the issuance documentation requires compilation of securities owners’ list/authorized persons;	
	Information about persons on whose behalf the rights attached to the securities are exercised (the second part of a list of securities owners)	NSD ← FN		Document in *xls (*xls)		T+12/RD+12	
	Instruction Verification Report of a list of securities owners	NSD → N/FN		Report GE062 (English) Report GS062 (Russian)	Report GE062 (English) Report GS062 (Russian)	On the day when NSD received instruction to register a list (RF005).	NSD received information from N/FN (transaction code 62)
	Report of Instruction Rejection	NSD → N/FN		GE001 (English) GS001	GE001 (English) GS001	On the day of RF005 receipt.	Controls for instruction RF005 (transaction code 62) are not met or no securities owner

				(Russian)	(Russian)		was registered.
Notification (additional notification if balances on FN securities account have changed)	NSD → N/ FN	GS61S(MT564 – DSCL, REPL with additional information)			GS061 (Russian)	D+1	Balances on N/FN securities account have changed as of the RD.
Instruction for changing a list of securities owners	NSD ← N/FN			RF005 (AMND)	RF005 (AMND)	Any time	
Instruction to cancel a list of securities owners (transaction code 63)	NSD ← N/FN			GF070	GF070	Before the date T+12/RD+12 – in general cases; RD+n – for bonds, which issuance documentation establishes compilation of securities owners' list/list of authorized persons;	
Report of successful list of securities owners cancellation	NSD → N/FN			GE070 (English) GS070 (Russian)	GE070 (English) GS070 (Russian)	On the day of GF070 receipt	Execution of the instruction to cancel a list of securities owners (transaction code 63 is proceeded)
Report of Instruction Rejection (unsuccessful list of securities owners cancellation)	NSD → N/FN			GE001 (English) GS001 (Russian)	GE001 (English) GS001 (Russian)	On the day of GF070 receipt	Instruction to cancel a list of securities owners is not executed (transaction code 63 is aborted)
Notification of securities owners' list compilation by NSD **	NSD → N/FN			GE610 (English) GS610 (Russian)	GE610 (English) GS610 (Russian)	T+13 business days /RD +13 business days – in general cases; RD+m - for bonds in case the issuance documentation requires compilation of securities owners' list/authorized persons.	
Repeated disclosure request ***	NSD → N/FN	GS036 (MT564 - DSCL, REMINDER with additional information)			GS036 (Russian)	T+12/RD+12	

* according to Registrar request respective timeframes may be shortened.

** Notification may be sent earlier than the established time, if all clients provided NSD with required information (securities owners' list). Note: English reports GS62S, GS01S, GF70S are sent to clients provided NSD received a request to switch on such service.

*** Repeated disclosure request can be sent earlier than T+12 if the Registrar/issuer/Bank of Russia sent requirement to provide the list in the shortest possible time.

Notice : The reports: GS062, GS001, GS070, GS610 (GE062, GE001, GE070, GE610) are send to the clients which have made necessary settings in the assignment №97.