[Appendix 3](#_top)

Form АА101

*Ref. No. \_\_\_\_\_\_\_\_\_\_\_\_*

*Date: \_\_\_\_\_\_\_\_\_\_ 20\_\_*

*Legal entity's depository code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

*Legal entity's short name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

***Additional Details for Identification of a Legal Entity***

***Section 1.***

|  |  |
| --- | --- |
| ***No changes have been made to the earlier provided details in Section 1 of Form AA101.*** |  |
| 1. **Details of Incorporators (Shareholders / Members)**

*(if necessary, add the required number of lines)* |
| **Member / Shareholder***(Individual's full name / Legal entity's full corporate name)* | **Shareholding** *(at least 5%)* | **TIN** | **Country of incorporation / citizenship** |
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| 1. **Details of the legal entity's management bodies**

*(tick the appropriate management bodies as per your organization's constitutional documents)* |
| General Meeting of Shareholders | Supervisory Board | Executive Board |
| General Meeting of Members | Board of Directors | Chief Executive Officer |
| Other (please specify)  |
|  |  |  |
| **Management body members***(please list the members of the management bodies ticked in item 2 above)* |
| Management body | Management body members   | Status of themanagement body member |
| Last name / legal entity’s name | First name | Patronymic name  |
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| 1. **Information regarding the amount of the registered share (charter) capital**

**or the amount of contributed capital or assets** |
| Please specify the amount of the registered share (charter) capital as per your organization's constitutional documents |  |
| 1. **Place of registration**

*(please specify the legal entity's registered office as per the Russian Unified State Register of Legal Entities)* |
|  |
| 1. **Code as per the All-Russian Classifier of Subnational Entities (OKATO)**

*(if any)* |
| OKATO code  |  |
| 1. **Details required to identify a beneficiary**

*(tick as appropriate)* |
| Beneficiary's details | Does not existм |
| Exists\* |
|  |
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|  |
| **\***Where beneficiaries exist, a details form "Corporate Beneficiary's Details" (Form AA107) (for organizations) or "Individual Beneficiary's (Beneficial Owner's) Details" (Form AA106) (for individuals) must be completed and provided for each beneficiary. |
|  |  |  |  |  |
| (Position) |  | (Full Name) | Stamp | (Signature) |

***Section 2. (To be filled in on a separate sheet)***

|  |  |
| --- | --- |
| ***No changes have been made to the earlier provided details in Section 2 of Form AA101.***  |  |
| 1. **Details required to identify beneficial owners**
 |
| **Beneficial owners’ details** |
| **Do not exist**  | No individual beneficial owners exist |
| **Information is not disclosed** | *Please specify why information is not disclosed* |
| **Exist\*\****(information on all individual beneficial owners must be disclosed)* | Last name | First name | Patronymic name *(if any)* | Information evidencing that person is a beneficial owner |
|  |  |  |  |
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| **The diagram showing owners and beneficial owners, indicating their respective shareholdings, is attached** |
| **\*\*** Where beneficial owners exist, a details form "Individual Beneficiary's (Beneficial Owner's) Details" (Form AA106) must be completed and provided for each beneficial owner. |
| 1. **Information regarding the intended purpose and expected nature of business relationships with NSD**

*(to be completed if the legal entity establishes or expands its business relationships with NSD)* |
|  |
| 1. **Information regarding the objectives of financial and operating activities**

*(to be completed if the legal entity establishes or expands its business relationships with NSD)* |
|  |
| 1. **Information regarding sources of cash and/or other assets**

*(please choose one or more than one source)* |
| Legal entity's operating income | Clients' cash received under brokerage or asset management agreements | Income from sale and purchase of securities / interest in the share capital of legal entities |
| Own funds | Borrowings under loan/ facility agreements | Other *(please specify)* |
| 1. **Information regarding the financial standing**

*(please check one or more than one box)* |
| The legal entity has been assigned a rating by an international or national rating agency, and the rating is posted online *(please specify the rating and its source)* | There are no insolvency (bankruptcy) proceedings pending against the legal entity, or enforceable court rulings declaring the legal entity insolvent (bankrupt), or liquidation proceedings with respect to the legal entity, as at the date the documents are submitted to NSD | Other *(please specify)* |
| 1. **Information regarding the business reputation**

*(please check one or more than one box)* |
| A letter of reference is attached from a legal entity's counterparty being a client of NSD, or from a credit organization by which the legal entity was/is serviced | An attested copy of the Auditors' Report for the last financial year is attached  | The Auditor's Report is available online in the electronic format at: *(please provide the web address)* | Other (*please specify*) |
| 1. **Information regarding the anti-money laundering measures being taken by the legal entity, including measures in accordance with the legal entity's 'know-your-customer' policy**
 |
|  |
| 1. **Information collected with the aim of identifying business entities of strategic importance for the defense industry and state security of the Russian Federation, and business entities directly or indirectly controlled thereby, or federal unitary enterprises of strategic importance for the defense industry and state security of the Russian Federation, and business entities directly or indirectly controlled thereby, or state corporations, state-owned enterprises, or public law companies**
 |
| **Is your organization a business entity or federal unitary enterprise of strategic importance for the defense industry and state security of the Russian Federation?** | **Is your organization controlled by a business entity or federal unitary enterprise of strategic importance for the defense industry and state security of the Russian Federation?** |
| No | No |
| Yes *(please provide the details below)* |
| Yes | Business entity's / federal unitary enterprise's full name |  |
| Business entity's / federal unitary enterprise's taxpayer identification number |  |
| **Is your organization a state corporation?** | No |  |
|  | Yes |  |
| **Is your organization a state-owned company?** | No |  |
|  | Yes |  |
| **Is your organization a public law company?** | No |  |
|  | Yes |  |
|  |
| 1. **Information on whether the legal entity maintains relationships with non-resident banks accounts with which are known to be used by a bank that does not have its standing management bodies within the jurisdiction of its incorporation**
 |
| **No such relationships exist**  | **Such relationships exist** |
| Non-resident bank's full name |  |
| Jurisdiction of incorporation |  |
| Jurisdiction within which the bank's standing management bodies are located |  |
| 1. **Details of licenses: type, number, date of issue, issuing authority, duration, and types of licensed activities**
 |
| License type | License number | Date of issue | Issuing authority | Types of licensed activities |
| Banking license  |  |  |  |  |
| Professional securities market participant license for depository business |  |  |  |  |
| Professional securities market participant license for dealer business |  |  |  |  |
| Professional securities market participant license for brokerage business |  |  |  |  |
| Professional securities market participant license for securities management business |  |  |  |  |
| Other *(please specify)* |  |  |  |  |
| 1. **Details of the principal (actual) activities**
 |
|  |
| 1. **Domain name and URL of the web site page (if any) used by the legal entity to provide services**
 |
|  |
| 1. Does your organization make / intend to make cash transfers to accounts held by non-Russian residents (other than residents of a EAEU member country) under international trade contracts entered into with such non-Russian resident counterparties under which goods earlier purchased from a resident of a EAEU member country are imported from a EAEU member country?
 |
| Yes No  |
| 1. **E-mail address for sending requests for documents required to update the legal entity's details**
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|  |
| 1. **Details of additional OKVED codes**
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|  |  |  |  |  |
| (Position) |  | (Full Name) | Stamp | (Signature) |

***Section 3. (To be filled in on a separate sheet)***

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| --- |
| 1. **Information required to determine the nature of business relations**
 |
| Value of clients' securities held in custody at the foreign organization (as at the date when the Details Form is submitted, in USD) |  |
| Types of securities held in clients' accounts with the foreign organization |  |
| Interaction with NSD is expected to be maintained:by the foreign organization on its own through an operator |  |
| Are bank accounts expected to be opened with NSD?YesNo  | Purpose for which the bank accounts are to be opened with NSD: |
| Expected average annual balance of securities held in custody at NSD |  |
| Types of securities expected to be held in the foreign nominee securities account with NSD |  |
| Types of trades expected to be settled using the foreign nominee securities account with NSD:On-exchange tradesOTC trades |  |
| Is your organization, in accordance with the laws of jurisdiction of its incorporation, authorized to record and transfer rights to securities:YesNo |  |
|  |
|  |  |  |  |  |
| (Position) |  | (Full Name) | Stamp | (Signature) |