**[Form AA101 Completion Guidelines](#_top)**

# **Section 1.**

***No changes have been made to the earlier provided details in Section 1 of Form AA101.***

This box has to be checked only if there are no changes in the earlier provided details in Section 1 of Form AA101.

1. **Details of Incorporators (Shareholders / Members)** *(if necessary, add the required number of lines)*
	1. **Incorporator/Shareholder** *(Individual's full name / Legal entity's full corporate name)*

For an individual, please specify his/her last name, first name, and patronymic name (if any) in full.

For a legal entity, please specify its full corporate name, including its legal form.

All shareholders holding at least five (5) per cent in the share capital of your organization have to be named.

* 1. **Shareholding (in %)**

Please specify the shareholding owned by each shareholder holding at least five per cent in the share capital of your organization.

* 1. **Taxpayer Identification Number (INN)**

Please specify INN for each corporate shareholder being a Russian resident.

* 1. **Country of incorporation / citizenship**

For each individual, please specify his/her country of citizenship in full.

For each legal entity, please specify his/her country of incorporation in full.

1. **Details of the legal entity's management bodies** *(tick the appropriate management bodies as per the legal entity's constitutional documents)*

Please tick all appropriate management bodies as per the constitutional documents of your organization.

* 1. **Management body members** *(please list the members of the management bodies ticked in item 2 above)*

Please specify the last name, first name, and patronymic name (if any), in full, of the members of all of your organization's management bodies ticked in item 2 of the Details Form, including the management body of which the individual is a member, and his/her status in the management body.

If any member of any management body is a legal entity, the 'Last name' field must be used to specify the legal entity's full corporate name. In this case, the 'First name' and 'Patronymic name' fields are to be omitted.

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 the legal entity's constitutional documents, including the currency of the share capital.

1. **Place of registration** *(please specify the legal entity's registered office as per the Russian Unified State Register of Legal Entities)*

Please specify your organization'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)*

Please specify your organization's 11-digit code as per the All-Russian Classifier of Subnational Entities (OKATO).

1. **Details required to identify a beneficiary** *(check as appropriate)*

Check 'Does not exist' or 'Exists', as appropriate.

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.

# **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.***

This box has to be checked only if there are no changes in the earlier provided details in Section 2 of Form AA101.

1. **Details required to identify beneficial owners**
	1. **Beneficial owners’ details**

Please check one of the boxes:

* If the box "Information is not disclosed" is checked, please specify why information is not disclosed.
* If the box "Exist" is checked, please provide the last name, first name, and patronymic name (if any) of each beneficial owner treated as such under the applicable laws of the Russian Federation, and also provide information evidencing that the person is a beneficial owner.

NB:

To prove whether or not beneficial owners exist, please make sure that the Details Form is accompanied by a diagram showing owners and beneficial owners, indicating their respective shareholdings in the share capital of your organization (in %).

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)*

If this part is to be completed, please provide the following details:

* Expected account transactions over a specific period of time (week, month, quarter, year);
* Number of transactions; and
* Amount of transactions.

Information has to be provided for all expected transaction types, including cash withdrawal transactions and cash transfer transactions relating to foreign trade operations.

For the purpose of entering into an Issuer Account Agreement, the following details have to be provided with respect to the proposed bond offering: nominal value per security; number of securities to be issued; maturity; bond yield (e.g., proposed coupon rate and coupon income frequency); type of bonds to be issued: commercial papers (registered by NSD), or on-exchange bonds (specify the relevant exchange), or bonds registered by the Bank of Russia. If private offering is proposed, the following details are required to be specified additionally: borrowing purposes; approximate amount of the first issue of commercial papers; and potential buyers.

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)*

If this part is to be completed, please provide the following details:

* Types of agreements (contracts) payments under which are expected to be made through NSD;
* Your organization's key counterparties; and
* Expected payers and payees in transactions involving cash funds in your organization's bank account(s).
1. **Information regarding sources of cash and/or other assets** *(please choose one or more than one source)*

Please check as appropriate.

If the box "Other" is checked, please specify the relevant source not covered by other boxes.

1. **Information regarding the financial standing** *(please check one or more than one box)*

Please check as appropriate.

If the box "Other" is checked, please specify the relevant information not covered by other boxes.

For example, where a legal entity has been operating no longer than three months following the date of its state registration, the legal entity shall submit to NSD one of the following documents:

- an official letter stating that the legal entity holds a bank account(s) with any other credit institution, along with an account statement for the period from the date when the account was opened;

- an official letter stating that the legal entity is not in default on its liabilities, including due to the reason of having no money in its bank accounts.

1. **Information regarding the business reputation** *(please check one or more than one box)*

Please check as appropriate.

If the box "Other" is checked, please specify the relevant information not covered by other boxes.

For example, information on whether or not there are arbitration or enforcement proceedings pending against the legal entity, information on licenses revoked/issued by the Bank of Russia, information on whether or not the Client takes part in public procurement processes or whether or not the Client is a party to any commercial contracts, etc.

A letter of reference or an Auditors' Report is to be submitted to NSD either as the original, or a notarized copy, or a copy bearing a signature of your organization's authorized signatory and your organization's corporate seal (if any).

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**

The fields are mandatory for entities referred to in Article 5 of Federal Law No. 115-FZ when entering into a securities account agreement, issuer account agreement, or bank account agreement.

If this part is to be completed, please provide information regarding the anti-money laundering measures being taken by your organization, including measures in accordance with your organization'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**
	1. **Is your organization a business entity or federal unitary enterprise of strategic importance for the defense industry and state security of the Russian Federation?**

Please check as appropriate.

* 1. **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?**

Please check as appropriate.

If 'Yes' is checked, please provide the following details:

* Full name of the business entity / federal unitary enterprise of strategic importance for the defense industry and state security of the Russian Federation, which controls your organization; and
* Such business entity's / federal unitary enterprise's taxpayer identification number.

Information is to be disclosed in accordance with Federal Law No. 213-FZ dated 21 July 2014 and Federal Law No. 161-FZ dated 14 November 2002.

* 1. **Is your organization a state corporation?**

Please check as appropriate.

* 1. **Is your organization a state-owned company?**

Please check as appropriate.

* 1. **Is your organization a public law company?**

Please check as appropriate.

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**
	1. **No such relationships exist**

This box has to be checked if your organization does not maintain 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.

* 1. **Such relationships exist**

This box has to be checked if your organization 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.

If the box "Such relationships exist" is checked, please provide the following details:

* Full name of the non-resident bank 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;
* Jurisdiction of incorporation of such non-resident bank; and
* Jurisdiction within which the non-resident bank's standing management bodies are located.
1. **Details of licenses: type, number, date of issue, issuing authority, duration, and types of licensed activities**

Please check all of the licenses held by your organization.

For each checked license, the following details must be provided:

* License number;
* Date of issue;
* Issuing authority; and
* Types of licensed activities.

If your organization holds more than one banking license, please use a separate line for each such license. For each license, in the field "Types of licensed activities", please list all types of licensed activities, which are covered by the license.

If your organization holds any other licenses, please provide details of such licenses in the field "Other", using a necessary number of lines.

1. **Details of the principal (actual) activities**

Please provide details of your organization's principal/actual activities.

1. **Domain name and URL of the web site page (if any) used by the legal entity to provide services**

Please provide all domain names (web site pages) of your organization.

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?**

Please tick as appropriate. EAEU countries are the Republic of Armenia, the Republic of Belarus, the Republic of Kazakhstan, and the Kyrgyz Republic. If the Details Form is submitted via the User Account, this field shall not be completed.

This field is not mandatory,

1. **E-mail address for sending requests for documents required to update the legal entity's details**

Please provide an e-mail address for sending requests for documents required to update your organization's details for the purposes of its identification under the laws of the Russian Federation.

1. **Additional OKVED details**

Please provide details of additional OKVED codes. This filed is not mandatory.

# **Section 3.**

*(To be filled in on a separate sheet. To be filled in only when entering into a foreign nominee securities account agreement)*

**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) | *This field is mandatory.*Provide the total value of securities (in USD) in the Client's accounts intended to keep records of securities owned by Client's customers, which are held with non-Russian organizations, as at the date when such information is submitted; as well as the value of securities in the Client's account with each non-Russian organization (stating the organization's name and jurisdiction).*Total value of securities: USD \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, including*:*- organization's name and jurisdiction - (value, currency);**- organization's name and jurisdiction - (value, currency);**and so on, for each place of safekeeping.* |
| Types of securities held in clients' accounts with the foreign organization | *This field is mandatory.* List the securities held by your clients in your accounts with a non-Russian organization, stating the name of securities issuers.  ***Russian securities:****- shares (state the issuers' names);**- bonds (state the issuers' names);**- UIT units (state the names of UIT funds and their management companies);**- other (please specify)****Non-Russian securities:****- shares (state the issuers' names);**- bonds (state the issuers' names);**- units (state the funds' names);**- other (please specify)* |
| Interaction with NSD is expected to be maintained:  | *This field is mandatory.*Specify how your organization will interact with NSD: either through an operator, or on its own. If through an operator, provide the operator's name.  |
| Are bank accounts expected to be opened with NSD? | *This field is mandatory.*Tick 'Yes' or 'No' as appropriate and specify the purpose of opening bank accounts with NSD.  |
| Expected average annual balance of securities held in custody at NSD | *This field is mandatory.* Provide an approximate value of securities the Client intends to hold in the foreign nominee securities account with NSD: in RUB (for Russian securities), and in USD equivalent (for non-Russian securities).  |
| Types of securities expected to be held in the foreign nominee securities account with NSD | *This field is mandatory.*List the securities your organization proposes to hold in the foreign nominee securities account with NSD, stating the name of securities issuers.***Russian securities:****- shares (state the issuers' names);**- bonds (state the issuers' names);**- UIT units (state the names of UIT funds and their management companies);**- other (please specify)****Non-Russian securities:****- shares (state the issuers' names);**- bonds (state the issuers' names);**- units (state the funds' names);**- other (please specify)* |
| Types of trades expected to be settled using the foreign nominee securities account with NSD | *This field is mandatory.*Tick 'On-exchange trades' or 'OTC trades' as appropriate.  |
| Is your organization, in accordance with the laws of jurisdiction of its incorporation, authorized to record and transfer rights to securities? | *This field is mandatory.*Tick 'Yes' or 'No' as appropriate.'Yes' must be ticked if the Client applies to open a foreign nominee securities account. By ticking 'Yes', the Client will be deemed to have acknowledged that, in accordance with the laws of jurisdiction of its incorporation, it is authorized to record and transfer rights to securities. The Client is also required to submit any documents evidencing that, in accordance with the laws of jurisdiction of its incorporation, it is authorized to record and transfer rights to securities.If no such documents are available, the Client is required to provide a reference to the laws of jurisdiction of its incorporation in accordance with which the Client is authorized to record and transfer rights to securities.If 'No' is ticked, NSD will not open a foreign nominee securities account for the Client. |