**List of Documents that must be submitted by security holders to NSD for the purposes of receiving dividends on shares in a Russian Joint Stock Company (whether or not the List of Holders from the International Securities Depository has been made available)**

# **Terms and Definitions**

* 1. **“Details Form АА001”** shall mean a Legal Entity's Details Form to be submitted by the Holder-Legal Entity using the form prescribed by NSD (Form AA001), as set out in [Appendix 1](#_Приложение_№_1) to the NSD List.
  2. **“Details Form АА101”** shall mean the additional details for identification of a Legal Entity to be submitted by the Holder-Legal Entity using the form prescribed by NSD (Form AA101), as set out in [Appendix 3](#_Приложение_3_3) to the NSD List.
  3. **“Details Form АА106”** shall mean the details of Individual Beneficiary's (Beneficial Owner's) to be submitted by the Holder using the form prescribed by NSD (Form AA106), as set out in [Appendix 4](#_Приложение_3_1) to the NSD List.
  4. **“Details Form АА107”** shall mean the Corporate Beneficiary's details to be submitted by the Holder using the form prescribed by NSD (Form AA107), as set out in [Appendix 5](#_Приложение_4) to the NSD List.
  5. **“Details Form AA116”** shall mean an Individual's Details Form to be submitted by the Holder-Natural Person using the form prescribed by NSD (Form AA116), as set out in [Appendix 2](#_Приложение_№_1) to the List.
  6. **“Apostille”** shall mean a stamp that meets the requirements set out in the Hague Convention Abolishing the Requirement of Legalisation for Foreign Public Documents signed in Hague on October 5, 1961 (the Hague Convention) and that is affixed by a competent authority of the state in which the relevant document is issued.
  7. **“Extract from the Document”** shall mean a document portion in hard copy that is certified by a Holder's authorized person and stamped with the seal (if any).
  8. **“Record Date”** shall mean the end of the transaction day on the date on which the persons eligible for dividend are decided.
  9. **“Holder”** shall mean any of the following persons eligible to receive dividends on shares in a Russian joint stock company and who have applied to NSD for receiving such dividends pursuant to paragraph 8 of the Resolution:
     1. a shareholder (a person exercising the rights attaching to shares) of a Russian joint stock company who is eligible for dividends;
     2. the beneficiary (beneficial owner) of an international organization (including one that is not a legal entity under the law of the organization's country of incorporation) that is a shareholder.
  10. **“EDI Agreement”** shall mean the Electronic Data Interchange Agreement between NSD and the Holder (if any).
  11. **“Application”** shall mean an Holder’s Dividend Application (Appendix 1 to the List).
  12. **“International Securities Depository”** shall mean a non-resident international organization which is authorized under the personal law to record and transfer the rights to Securities (including the entity that NSD has a Foreign Nominee Holder Account with).
      1. **“Copy”** shall mean a document that reproduces in full an Original / Notarized Copy and its appearance, in hard copy, that is certified by the Holder's authorized person and stamped with corporate seal (if any), or a scanned copy certified by the EDS of Holder's authorized person, unless otherwise provided for by the EDI Agreement or the List, and submitted via the User Account.

A scanned copy shall be a copy of a document issued in accordance with the requirements set out in the List.

* 1. **“Bank of Russia/Federal Tax Service User Account”** shall mean a Bank of Russia Data Interchange Participant's User Account, or Application Suite “E-Repository of Credit Institutions' Legal Files”, or Corporate User Account being used by the Holder to communicate with the registration authority.
  2. **“User Account”** shall mean the User Account software and hardware solution, a component of the Moscow Exchange's EDI System, through which the Participant may maintain Web-communications with the Moscow Exchange Group companies, including NSD.
  3. **“Notarized Extract”** shall mean a copy of a document portion which faithfulness to the Original is attested by a notary public in accordance with the applicable Russian laws on notaries.
  4. **“Notarized Copy”** shall mean (whichever applicable):
     1. a document copy which faithfulness to the Original is attested by a notary public in accordance with the applicable Russian laws on notaries;
     2. a document copy which faithfulness to the Original is attested by a relevant authority (person) of a foreign country (NSD accepts such copies only if legalized according to paragraphs2.1 and 2.4 of the List).
  5. **“NSD”** shall mean National Settlement Depository.
  6. **“Restrictions”** shall mean (whichever applicable):
     1. restrictive measures against the Russian issuer and (or) its affiliated persons, against the Holder or against foreign entities where the records of rights to securities are kept;
     2. Unfriendly acts by foreign states, international organizations, international financial institutions, including those related to imposing restrictive measures against the Russian Federation, Russian legal entities and citizens of the Russian Federation.
  7. **“Original”** shall mean (whichever applicable):
     1. an original document (first edition) in hard copy that is signed by the Holder (Holder’s authorized person) and stamped with corporate seal (if any), or a document/information in the form of an electronic file issued in the User Account and signed with the EDS of the Holder's authorized person, unless otherwise provided for by the EDI Agreement;
     2. an original document (first edition) in hard copy signed by the International Securities Depository (International Securities Depository’s authorized person) and bears the corporate seal (if any);
     3. original (first edition) of the document in hard copy signed by the international broker (international broker’s authorized person) and bears the corporate seal (if any).
  8. **“List”** shall mean the List of Documents to be Submitted by Security Holders to NSD for the Purposes of Receiving Dividends on Shares in a Russian Joint Stock Company (whether a List of holders from the International Securities Depository is available).
  9. **“NSD List”** shall mean the List of Documents to Be Submitted by Clients-Legal Entities to NSD available on the Website.
  10. **“Resolution”** shall mean the Bank of Russia BoD's resolution dated June 10, 2022 On establishing requirements applicable to professional participants in the securities market engaged in depository activities when they transfer dividends paid on shares of Russian joint stock companies.
  11. **“AML/CFT/WMD”** shall mean anti-money laundering and combating the financing of terrorism and financing of the proliferation of weapons of mass destruction.
  12. **“EDI Rules”** shall mean NSD's Electronic Data Interchange Rules.
  13. **“Website”** shall mean the website of NSD on the Internet at [www.nsd.ru](http://www.nsd.ru).
  14. **“List of holders from the International Securities Depository”** means the list of Holders on the Record Date provided by the International Securities Depository to NSD upon request.
  15. **“Foreign Nominee Holder Account”** shall mean a securities account with NSD opened for the International Securities Depository.
  16. **“EDS”** shall mean an enhanced (either certified or non-certified) digital signature.
  17. **“BOoI”** shall mean beneficial ownership of income.
  18. **“Non-resident Legal Entities”** shall mean legal entities that meet criteria of [paragraph 7 of part 1 of article 1](consultantplus://offline/ref=317790E51BCFACF469CA8A74DAC66273F0048F709B34E0294A56573C2C7592256D733403FBB4DCC7384CD55B1222A35BECE5BD409C83CAB6p5wAL) of Federal Law No. 173-FZ On Currency Regulation and Currency Control, dated December 10, 2003.
  19. **“Russian Resident Legal Entities”** shall mean legal entities that meet criteria of [paragraph 6 of part 1 of article 1](consultantplus://offline/ref=EE2A2EEEC4FB9E1B88E14B304EE80ED3CCDCB99C1AEC80C09F88A00F0D4609B5B8A2B5A5E2418A17B222C9D31C53107F8522DD5B23B94F97JBtBH) of Federal Law No. 173-FZ On Currency Regulation and Currency Control, dated December 10, 2003.
  20. Any other terms used in this List shall have the meanings given to them in the relevant Russian laws and in the EDI Rules.

# **Specific Requirements to the Submission of Documents**

# Official documents that evidence the status of the Non-resident Legal Entity, as issued by competent authorities of the relevant foreign state, and also other documents in cases expressly provided for in the List will only be accepted by NSD if they are duly legalized:

* + 1. in accordance with the general rule, by way of consular legalization by consular posts of the Russian Federation or by consular sections of diplomatic missions of the Russian Federation; or
    2. for [Hague Convention](consultantplus://offline/ref=12E44CB08295DCA0320B0EAE6D04734A4F0E377F4FF79D1AA0758AE4E7DDC6A266F056F514E86F112E3E5FD792296B0A07616E10F3CFB6342A7912n2N) countries, by an Apostille.

# Documents evidencing ownership of the securities in accordance with paragraph 2 of the List will be accepted by NSD provided that the signatories' signatures are authenticated:

* + 1. in accordance with the general rule, by way of consular legalization by consular posts of the Russian Federation or by consular sections of diplomatic missions of the Russian Federation; or
    2. for [Hague Convention](consultantplus://offline/ref=12E44CB08295DCA0320B0EAE6D04734A4F0E377F4FF79D1AA0758AE4E7DDC6A266F056F514E86F112E3E5FD792296B0A07616E10F3CFB6342A7912n2N) countries, by an Apostille.

# Requirement of paragraph 2.2 of the List are not applicable:

* + 1. if Restrictions are imposed towards the person whose account details have been provided (this includes due to imposing Restrictions on persons holding directly or indirectly, solely or in the aggregate, more than 50% of the votes in the supreme governing body of such person and (or) for other reasons).
    2. if the Holder is a credit institution or a non-credit financial institution regulated by the Bank of Russia and whose securities rights are recorded by the International Securities Depository;
    3. if the International Securities Depository keeping records of the Holder's rights is a person controlled by a credit institution or a non-credit financial institution regulated by the Bank of Russia under Federal Law No. 135-FZ On the Protection of Competition, dated July 26, 2006.

# Legalization shall not be required if the documents have been issued in a country that is a party to the [Convention on Legal Assistance and Legal Relations in Civil, Family and Criminal Matters](consultantplus://offline/ref=229A2E894FFE8C945714C306A1FCB7F625FEBE81BE17361CA3D758D1C9A91BB668A7F38EF7C03DB1AE14DA90EBC85D2E5FF883C385B8oAFDI) signed in Minsk on 22 January 1993 (Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, Turkmenistan, Uzbekistan, or Ukraine).

# Documents issued, either in full or in part, in a foreign language must be accompanied by their duly certified translation, except for documents evidencing securities ownership as provided for in paragraphs 2 and 3 of the List and issued in English.

# The requirement in paragraph 2.5 of the List shall not apply to documents issued by competent authorities of foreign states certifying individuals' identity, provided that:

* + 1. individuals hold a document that supports their right to legitimately stay (reside) in the Russian Federation;
    2. such documents are issued in more than one language, including Russian.

# Foreign citizens or stateless persons who are Holders or Holders’ authorized representatives located in the Russian Federation, shall be required to submit to NSD the following documents in addition to their ID documents:

* + 1. [a Copy](#_Копия_–_документ,_1) of the document that supports his/her right to stay (reside) in the Russian Federation;
    2. information (in any form in writing) evidencing their address of stay in the Russian Federation and registration address outside the Russian Federation.
  1. The Holder may not provide identification documents if two conditions are satisfied concurrently (unless otherwise stipulated in the List):
     1. such documents were submitted by the Holder to NSD less than one (1) year ago;
     2. the Application states that there are no changes to the documents identifying the Applicant previously submitted to NSD.
  2. When a Holder, who is the beneficial owner (beneficiary) of an international organization which is a shareholder, applies to NSD, such international organization is not required to submit documents for the purpose of dividend payments for a similar period. When NSD receives documents from both the beneficial owner of an international organization that is a shareholder and from such an international organization, NSD considers the documents that have been received from the beneficial owner of the international organization that is a shareholder.
  3. For the purposes of exercising withholding agent functions, implementing NSD's AML/CTF/FPWMD Internal Control Rules, and in other cases prescribed by Russian laws and treaties, as well as when a Holder who is a beneficiary (beneficial owner) of a foreign entity (including one that is not a legal entity under the law of the country where the entity is incorporated) that is a shareholder applies to NSD, the Holder must provide further information and documents requested by NSD.

# Other specific requirements to the submission of documents are provided for in the List.

# **Documents to be submitted by Holders when a List of holders from the International Securities Depository is made available**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| I. Data (information), necessary for tax withholding | | | | |
| **Individuals who are non-Russian residents for tax purposes and Russian citizens** | | | | |
| 1. | ID documents | Original (for NSD employee to make and certify a copy) [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard copy | Foreign citizens / stateless persons shall additionally submit to NSD the documents referred to paragraph 2.7 in the List. |
| **Individuals who are Russian residents for tax purposes** | | | | |
| 2. | ID documents | Original (for NSD employee to make and certify a copy) [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard copy | Foreign citizens / stateless persons shall additionally submit to NSD the documents referred to paragraph 2.7 in the List. |
| 3. | The letter confirming beneficial ownership or waiver of beneficial ownership (according to NSD's form) | Original | Hard copy | Confirmation letter produced according to NSD’s form shall be submitted by an individual without attaching supporting documents |
| 4. | Certificate of Tax Residency | Original  Print-out of electronic certificate  (for a Certificate of Russian Federation Tax Residency) | Hard copy | To be issued in accordance with the Certificate of Tax Residency Procedure (\*) |
| **International organizations and international collective investment entities** | | | | |
| 5. | Documents providing details for foreign persons' identification and confirming state registration, registered office and full name | Original  Notarized Copy | Hard copy | For Non-resident Legal Entities these documents shall be:   * constitutional documents; * Document confirming state registration of Non-resident Legal Entity; * extract from the trade register of the Non-resident Legal Entity’s jurisdiction of incorporation issued no earlier than six (6) months prior to the date of its submission to NSD, or any other equivalent document issued by a state authority of that jurisdiction. |
| **Russian organizations** | | | | |
| 6. | Documents and information supporting beneficial ownership or a beneficial ownership waiver (according to NSD’ form) | Original  Notarized Copy |  | A beneficial owner of income refers to a person who, by virtue of direct and/or indirect participation in or control of an organization or otherwise, is eligible to independently use and/or dispose of such income, or a person for whose benefit another person is entitled to dispose of such income. In determining the beneficial owner of income, the functions exercised by the persons referred to above and the risks assumed by them shall be factored in. |
| 7. | Tax Certificate issued to the person having confirmed beneficial ownership | Copy |  |  |

# **Documents to be submitted by Holders when a List of holders from the International Securities Depository is not made available**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Document title | Permitted forms | Permitted submission methods | Notes |
| **Documents proving securities holding** | | | | |
| 1. | Application | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) |  |
| 2. | **Document** (any of the listed below) certifying ownership of the securities: | | | |
| 2.1 | **Account statement** for the purpose for prove of holding issued by the International Securities Depository | Original | Hard copy | The document (account statement) must include the following details:   1. International Securities Depository's full name and physical address; 2. in respect of the person for whom the account statement is submitted: if an individual – surname and given name, details of an identity document; if a legal entity – full name, address and (or) OGRN/registration number; 3. the date on which details of the number of securities are provided (must be the same as the Record Date); 4. securities parameters (ISIN code, securities name); 5. number of securities; 6. details allowing to confirm that the Holder is the owner of securities or another person exercising the rights to the securities, and, if the Holder is the beneficiary (beneficial owner) of an international organization, including other than a legal entity under the law of the jurisdiction where the organization is incorporated, which is a shareholder, information allowing to confirm that such international organization is the owner of the securities, and documents confirming the legal relationship between the Holder and such international organization/a statement by the Holder that it is not possible to submit documents proving the legal relationship need to be provided.   The information required by paragraphs 2 and 6 may not be included in the document (account statement), if a document (agreement, letter, other document as Original or Notarized Copy) with such information, signed by an International Securities Depository’s official is submitted. |
| 2.2 | **SWIFT MT 535 message** (Statement of Holdings), submitted by the International Securities Depository to the depositor (applicable to legal entities members of SWIFT messaging exchange | Permitted forms:   1. a document in respect of which a notary public in accordance with the notary law of the Russian Federation or a competent authority (person) of a foreign state certifies their equivalence to an electronic document; 2. copy of the document for which the Holder being a credit institution or non-credit financial institution regulated by the Bank of Russia whose rights to securities are recorded in the International Securities Depository has certified its equivalence with an electronic document[[1]](#footnote-1) (with a copy of statements sent to the Bank of Russia as of the latest reporting date containing information on such Securities, with a Bank of Russia confirmation of acceptance / copy of the electronic message confirming its acceptance by the Bank of Russia) attached. The copies must be certified by the sole executive body of the organization or by any other authorized person whose authority has been confirmed by a notarized power of attorney. | Hard copy | The document must include the following details:   1. SWIFT BIC of the sender; 2. SWIFT BIC of the legal entity in respect of whom the document is submitted; 3. the date on which details of the number of securities are provided (must be the same as the Record Date); 4. security parameters (ISIN code); 5. number of securities; 6. account number for recording securities with the International Securities Depository.   In addition, a document (agreement, letter, other document as an Original or a Notarized Copy) signed by an official of the International Securities Depository must be submitted allowing to confirm that the Holder is the owner of securities or another person exercising the rights to the securities, and, if the Holder is the beneficiary (beneficial owner) of an international organization, including other than a legal entity under the law of the jurisdiction where the organization is incorporated, which is a shareholder, information allowing to confirm that such international organization is the owner of the securities, and documents confirming the legal relationship between the Holder and such international organization/a statement by the Holder that it is not possible to submit documents proving the legal relationship need to be provided. |
| 2.3 | **Account statement by an international broker** who keeps records of securities and transfers rights to securities (combining brokerage and depository activities) | Original | Hard copy | The account statement must include the following details:   1. International broker's full name and physical address; 2. in respect of the person for whom the account statement is submitted: if an individual – surname and given name, details of an identity document; if a legal entity – full name, address and (or) OGRN/registration number. 3. the date on which details of the number of securities are provided (must be the same as the Record Date); 4. securities parameters (ISIN code, securities name); 5. number of securities; 6. details allowing to confirm that the Holder is the owner of securities or another person exercising the rights to the securities, and, if the Holder is the beneficiary (beneficial owner) of an international organization, including other than a legal entity under the law of the jurisdiction where the organization is incorporated, which is a shareholder, information allowing to confirm that such international organization is the owner of the securities, and documents confirming the legal relationship between the Holder and such international organization/a statement by the Holder that it is not possible to submit documents proving the legal relationship need to be provided; 7. data allowing to confirm that the securities of the person named in the account statement are not used by the broker and are held in the broker's account with an international organization.   The information required by paragraph 2, paragraphs 5-7 may not be included in the document (account statement), if a document (agreement, letter, other document as Original or Notarized Copy) with such information, signed by an international broker official is submitted. |
| 2.4 | **Message from the bank-client system** or from other electronic document transmission service of the International Securities Depository/international broker that records and transfers rights to securities (combining brokerage and depository business) | Permitted forms:   1. a document in respect of which a notary public in accordance with the notary law of the Russian Federation or a competent authority (person) of a foreign state certifies their equivalence to an electronic document; 2. copy of the document for which the Holder being a credit institution or non-credit financial institution regulated by the Bank of Russia whose rights to securities are recorded in the International Securities Depository has certified its equivalence with an electronic document[[2]](#footnote-2) (with a copy of statements sent to the Bank of Russia as of the latest reporting date containing information on such Securities, with a Bank of Russia confirmation of acceptance / copy of the electronic message confirming its acceptance by the Bank of Russia) attached. The copies must be certified by the sole executive body of the organization or by any other authorized person whose authority has been confirmed by a notarized power of attorney. | Hard copy | The document must include the following details:   1. details allowing to identify the International Securities Depository / international broker; 2. in respect of the person for whom the account statement is submitted: if an individual – surname and given name, details of an identity document; if a legal entity – full name, address and (or) OGRN/registration number; 3. the date on which details of the number of securities are provided (must be the same as the Record Date); 4. security parameters (ISIN code); 5. number of securities; 6. account number for recording securities with the International Securities Depository / international broker; 7. details allowing to confirm that the Holder is the owner of securities or another person exercising the rights to the securities, and, if the Holder is the beneficiary (beneficial owner) of an international organization, including other than a legal entity under the law of the jurisdiction where the organization is incorporated, which is a shareholder, information allowing to confirm that such international organization is the owner of the securities, and documents confirming the legal relationship between the Holder and such international organization to be provided; 8. data allowing to confirm that the securities of the person named in the account statement are not used by the broker and are held in the broker's account with an international organization.   The information required by paragraph 2, paragraphs 5-8 may not be included in the document (account statement), if a document (agreement, letter, other document as Original or Notarized Copy) with such information, signed by an international broker’s official is submitted. |
| 2.5 | Other document available in the circumstances and evidencing that the Holder holds the amount of securities as indicated in the Application | Original | Hard copy |  |
| 3 | Document issued by the International Securities Depository to which the Foreign Nominee Holder Account has been opened with NSD, indicating the securities safekeeping scheme, including the International Securities Depository keeping records of the Holder's rights to securities, and all International Securities Depositories with which accounts are opened for persons acting on behalf of other persons, where the Holder's rights are recorded, or other documents proving securities specified in [paragraph 2](consultantplus://offline/ref=75F2017CE1643B14E900CC258D67CF136CF7042C9EFD78B6F9BB20634EFC88BB8C15B18D4ED6107D17907E4BA8E1C4C52403298938317C24z6cCL) of the List are available on accounts of all nominee holders (international nominee holders) involved in recording the rights to securities. | Original | Hard copy | The document must unambiguously identify each International Securities Depository under the personal law of that person.  Requirement of paragraph 2.2 of the List, not applicable.  Other documents shall be:  - one or more documents issued by each of the International Securities Depositories recording the rights to Securities, including the International Securities Depository that has issued to the Holder the document specified in paragraph 2 of the List, and the International Securities Depository for which a foreign nominee’s account is opened with NSD;  - a document signed by the International Securities Depository issuing for the Holder the document specified in paragraph 2 of the List, provided that such International Securities Depository meets any of the following criteria:  a) the International Securities Depository is a person controlled by a credit institution or a non-credit financial institution regulated by the Bank of Russia under Federal Law No. 135-FZ On the Protection of Competition, dated July 26, 2006;  b) the International Securities Depository is listed among the international organizations that meet the criteria set out in the Bank of Russia Ordinance No. 5311-U dated November 11, 2019, available on the Bank of Russia's official website;  c) the International Securities Depository is rated by either Fitch-Ratings, Standard & Poor's or Moody's Investors Service;  d) the International Securities Depository is a client of an International Securities Depository belonging to an international clearing and settlement organization or central securities depository, and the relevant information is available on the official website of such International Securities Depository.  The Holder is not required to submit the documents if restrictions are imposed towards the person whose account details have been provided (this includes due to imposing Restrictions on persons holding directly or indirectly, solely or in the aggregate, more than 50% of the votes in the supreme governing body of such person and (or) for other reasons). |
| 4 | Documents identifying the Holder[[3]](#footnote-3) | | | |
| 4.1 | **Documents to be submitted by Individuals** | | | |
| 4.1.1 | **Details Form AA116** (Appendix to the Application) | Original | Hard copy | An individual's signature must be notarized or a sample of the individual's signature must be made in the presence of a NSD employee.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.4 of the List). |
| 4.1.2 | **Details Form АА106** (Appendix to the Application) | Original | Hard copy | To be submitted if there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA106 has to be submitted for each corporate beneficiary. |
| 4.1.3 | ID documents | Original (for NSD employee to make and certify a copy) [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard copy | Foreign citizens / stateless persons shall additionally submit to NSD the documents referred to in paragraph 2.7 in the List. |
| 4.2 | **Documents to Be Submitted by Russian Resident Legal Entities** | | | |
| 4.2.1 | **Details Form АА001** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) |  |
| 4.2.2 | **Details Form АА101** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) |  |
| 4.2.3 | **Details Form АА106** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) | To be submitted if there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA106 has to be submitted for each corporate beneficiary. |
| 4.2.4 | **Details Form АА107** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) | To be submitted if there is a corporate beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA107 has to be submitted for each corporate beneficiary. |
| 4.2.2 | **Constituent documents** of the Russian Resident Legal Entity that comply with the applicable Russian laws with amendments in force as at the date the documents are submitted to NSD. | [Notarized Copy](#_Нотариальная_копия_–)  Copy of the document certified by the registering authority | Hard copy | Legal entities having their legal status, purposes of incorporation and activities defined in interstate and intergovernmental treaties, legislation or regulations shall provide copies of such documents certified by an authorized person of the organization. |
| [Copy](#_Копия_–_документ,) (this includes a Document Copy received via the Bank of Russia/Federal Tax Service User Account | In electronic format  (if an EDI Agreement is signed) |
| 4.2.3 | **Document containing specimen signatures and a seal impression** (signature and seal card / specimen signature book / power of attorney containing a specimen signature of the attorney / Authorized Representative’s Details Form / signature and seal card in the form set out in Appendix 2 to the NSD List) | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–) | Hard copy |  |
| 4.2.4 | **Documents that support the authority** of the person acting on behalf of the Russian Resident Legal Entity without a power of attorney  *(such as minutes / decisions / resolutions to elect (appoint) the person)* | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–)  [Notarized Extract](#_Нотариальная_выписка_–_1)  [Extract from the Document](#_Выписка_из_документа_1) | Hard copy | The adoption of a resolution by the general meeting of shareholders and the list of company’s shareholders attending the meeting at the time of its adoption shall be confirmed in the manner required by [*Article 67.1 of the Russian Civil Code*](consultantplus://offline/ref=B5A3237287FEC4C590E4123635477BF3010278B409EF9936F37DAFE843B98A4FA3E5625ADAD273CEA0B5F73BD0187369B888C9BA8978K6k8H).  Where the company’s Articles of Association do not provide for a method of confirmation of resolutions passed, other than notarization, a resolution of the sole shareholder or of the general meeting of shareholders of a Russian limited liability company (OOO) regarding a method of confirmation of resolutions passed by the sole shareholder/general meeting, which is alternative to notarization, must also be notarized.  It shall not be required to submit a document that supports the authority of the person acting on behalf of the organization without a power of attorney, where the banking license of the Russian Resident Legal Entity being a credit institution has been revoked and the Russian Resident Legal Entity has been placed into administration. |
| [Copy](#_Копия_–_документ,) | Hard copy  In electronic format  (if an EDI Agreement is signed) |
| 4.2.5 | **Documents certifying identity** of persons authorized:  - to act on behalf of Resident Legal Entity without a power of attorney;  - to sign relevant documents on behalf of the Russian Resident Legal Entity. | [Original](#_Оригинал_–_подлинник) (to have a copy made and certified by a member of NSD’s staff)  [Notarized Copy](#_Нотариальная_копия_–) | Hard copy | Foreign citizens / stateless persons shall additionally submit to NSD the documents referred to paragraph 2.7 in the List. |
| [Copy](#_Копия_–_документ,) | In electronic format  (if an EDI Agreement is signed) | Only a Copy of a Notarized Copy of a document may be submitted in electronic format. |
| 4.2.6 | **Power of attorney** issued to persons authorized:  – to sign documents on behalf of Russian Resident Legal Entity. | [Original](#_Оригинал_–_подлинник) | Hard copy  In electronic format  (if an EDI Agreement is signed) | Only a power of attorney to sign electronic documents in NSD's EDI system may be submitted in electronic format. |
| [Notarized Copy](#_Нотариальная_копия_–) | Hard copy |  |
| 4.3 | **Documents to Be Submitted by Non-resident Legal Entities** | | | |
| 4.3.1 | **Details Form АА001** (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy |  |
| 4.3.2 | **Details Form АА101** (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy |  |
| 4.3.3 | **Details Form АА106** (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy | To be submitted if there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA106 has to be submitted for each corporate beneficiary. |
| 4.3.4 | Details Form АА107 (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy | To be submitted if there is a corporate beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA107 has to be submitted for each corporate beneficiary. |
| 4.3.5 | **Documents** evidencing the legal status of organization in accordance with the laws of the Non-resident Legal Entity’s jurisdiction of incorporation | [Notarized Copy](#_Нотариальная_копия_–)  Copy of the document certified by the registering authority | Hard copy | These documents shall be:   * constitutional documents; * document confirming state registration of Non-resident Legal Entity; * extract from the trade register of the Non-resident Legal Entity’s jurisdiction of incorporation issued no earlier than six (6) months prior to the date of its submission to NSD, or any other equivalent document issued by a state authority of that jurisdiction. |
| 4.3.6 | **Tax Certificate issued to international organization** confirming its registration with a tax authority in the Russian Federation | [Notarized Copy](#_Нотариальная_копия_–)  Copy of the document certified by the registering authority  [Copy](#_Копия_–_документ,) | Hard copy | The certificate must contain the Taxpayer Identification Number (INN).  To be submitted if available. |
| 4.3.7 | **Signature and seal card** (or, for credit institutions, a specimen signature book), or another document containing specimen signatures and a seal impression, as issued in accordance with the laws of the relevant foreign jurisdiction | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–) | Hard copy | The signatures and the authority of the authorized signatories must be certified by a notary public (if the authority to sign is granted to more than one person, their signatures must be certified by the same notary public).  Where a document is produced:  **in the Russian Federation**, it shall be produced in accordance with the Russian laws that govern notary activities;  **in accordance with the laws of the relevant foreign jurisdiction**, it must contain the following details: “Legal Entity name, “Last Name and First Name”, “Specimen Signature”, “Seal Impression” (if available), “Issue Date”, and “Signature Certification”. |
| 4.3.8 | **Documents that support the authority** of the person acting on behalf of the Non-resident Legal Entity without a power of attorney  *(such as minutes / decisions / resolutions to elect (appoint) the person)* | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–)  [Notarized Extract](#_Нотариальная_выписка_–)  [Extract from the Document](#_Выписка_из_документа)  [Copy](#_Копия_–_документ,) ( [only for Non-resident Legal Entities which are residents of jurisdictions listed in paragraph 2.2 of the List)](#_Легализация_документов_не) | Hard copy |  |
| 4.3.9 | **Power of attorney** issued to persons authorized:  - to sign relevant documents on behalf of the Non-resident Legal Entity. | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–) | Hard copy |  |
| 4.3.10 | **Documents certifying identity** of persons authorized:  - to act on behalf of Non-resident Legal Entity without a power of attorney;  - to sign documents on behalf of the Non-resident Legal Entity. | [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard copy | Foreign citizens / stateless persons shall additionally submit to NSD the documents referred to paragraph 2.7 in the List. |
| II. Data (information) necessary for tax withholding | | | | |
| **Individuals who are Russian residents for tax purposes** | | | | |
| 1. | The letter confirming beneficial ownership or waiver of beneficial ownership (according to NSD's form) | Original | Hard copy | Confirmation letter produced according to NSD’s form shall be submitted by an individual without attaching supporting documents |
| 2. | Certificate of Tax Residency | Original  Print-out of electronic certificate  (for a Certificate of Russian Federation Tax Residency) | Hard copy | To be issued in accordance with the Certificate of Tax Residency Procedure (\*) |
| **International organizations and international collective investment entities** | | | | |
| 3. | Documents providing details for foreign persons' identification and confirming state registration, registered office and full name | Original  Notarized Copy | Hard copy | For Non-resident Legal Entities these documents shall be:   * constitutional documents; * Document confirming state registration of Non-resident Legal Entity; * extract from the trade register of the Non-resident Legal Entity’s jurisdiction of incorporation issued no earlier than six (6) months prior to the date of its submission to NSD, or any other equivalent document issued by a state authority of that jurisdiction. |
| **Russian organizations** | | | | |
| 4. | Documents and information confirming beneficial ownership of income or a waiver of beneficial ownership (according to NSD's form) | Original  Notarized Copy |  | A beneficial owner of income refers to a person who, by virtue of direct and/or indirect participation in or control of an organization or otherwise, is eligible to independently use and/or dispose of such income, or a person for whose benefit another person is entitled to dispose of such income. In determining the beneficial owner of income, the functions exercised by the persons referred to above and the risks assumed by them shall be factored in. |
| 5. | Tax Certificate issued to the person having confirmed beneficial ownership | Copy |  |  |

\***Certificate of Tax Residency Procedure**

**Certificate of Russian Federation Tax Residency**

The Certificate of Russian Federation Tax Residency in hard copy is issued by the Interregional Inspectorate of the Federal Tax Service of Russia for Centralized Data Processing (form КНД 1120008). Original electronic certificate document is issued via the tax residency certification on-line service of the Federal Tax Service «Подтверждение статуса налогового резидента Российской федерации» <https://service.nalog.ru/nrez/>. Original copies may be issued without any limit to their number. The Certificate of Tax Residency is issued by the Interregional Inspectorate of the Federal Tax Service of Russia for Centralized Data Processing for the current year not earlier than July 3 upon the individual's application/request.

Appendix 1

Dividend Application

I request NSD to remit the dividend of:

|  |  |
| --- | --- |
| Name of the issuer (full and short) |  |
| TIN of the issuer |  |
| Registration number of the issue |  |
| ISIN |  |
| Record date |  |
| Number of shares outstanding as of the Record Date | \_\_\_ (\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_) shares. |
| **Information to identify the Holder** | |
| Holder type  · | * security owner * the person exercising the rights to the securities * the beneficiary (beneficial owner) of an international organization |
| Identity of the person entitled to the dividend | * an individual; * a legal entity; * an unincorporated foreign entity |
| Full (short) name/name, surname of the Holder |  |
| Name of the Holder's registration document |  |
| Series and/or number of the Holder's registration document |  |
| Date of issue of the Holder's registration document |  |
| Date of birth (for the Holder - the individual) |  |
| Holder's address of location |  |
| Country of registration (citizenship/nationality) of the Holder |  |
| Email address for notifications |  |
| Contact phone number |  |
| **Details of the nominee holder (foreign nominee holder) keeping record of owners of shares** | |
| Full name of the nominee holder (foreign nominee holder) |  |
| Link to the page of the official website of the authorized body with information on the license (permit) or on the inclusion of the nominee holder (foreign nominee holder) into the list (register) of organizations authorized to keep record of and transfer the ownership to securities |  |
| **Information on superior nominee holders (foreign nominee holders)**  *(please complete for each nominee holder (foreign nominee holder))* | |
| Full name of the nominee holder (foreign nominee holder) |  |
| Link to the page of the official website of the authorized body that issued the license (permit) or included the nominee holder (foreign nominee holder) in the list (register) of organizations authorized to keep record of and transfer the ownership to securities |  |
| If **documents certifying the ownership of securities are provided in accordance with the procedure specified in paragraph** **2.2 of the List** | |
| Name of the person in respect of whom the Restrictions are imposed |  |
| Status, interest and type of ownership (direct or indirect) of another person in relation to whom Restrictions are imposed against the person whose account details have been provided (if applicable) |  |
| **If documents identifying the Holder are provided in the manner prescribed in paragraph 2.8 of the List** | |
| Documents identifying the Holder were submitted to NSD less than 1 (one) year ago, and no changes have occurred (including the relevant Details Forms) | * YES |
| **International Collective Investment Entities** | |
| Legal entity | * YES * NO |
| **Details of the Holder's bank account to which the dividends due are to be credited, including Type C bank account (if any) in cases provided for by Russian legislation** | |
| Name of Beneficiary (must be the same as Full Name/name, surname of the Holder) /  Beneficiary Bank's name  City of Beneficiary's Bank  Beneficiary bank's BIC  Correspondent account of the Beneficiary’s bank  Beneficiary's TIN (if no TIN is available, the Beneficiary's Bank TIN may be given)  Beneficiary's current account (personal account) |  |
| This bank account is a type C bank account | * yes * no |

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (name/full name) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (signature) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (date)[[4]](#footnote-4) |

I hereby acknowledge that data on this form is correct and complete.

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (Full name) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (signature) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (date) |

|  |  |  |
| --- | --- | --- |
| **Appendix 2**  **Details Form AA116**  **INDIVIDUAL'S DETAILS FORM** | | |
| 1. **General information** | | |
| Surname, given name and *middle name (if any)* | Surname:  Given name:  Middle name: | |
| Date and place of birth | Date (DD.MM.YY):  Place of birth: | |
| Sex | * Male * Female | |
| Citizenship  *(list all the countries you are a citizen of)* | Citizenship:  *For each country citizenship* | |
| ID document details: | Document type:  Document series (if any) and number:  Issue date:  Issuing authority:  Subdivision code (if any): | |
| Details of a document evidencing a foreign citizen’s or stateless person’s right to stay (reside) in the Russian Federation (for foreign citizens or stateless persons) | Document type:  Document series (if any) and number:  Effective date of the right to stay (reside):  Expiry date of the right to stay (reside): | |
| Residence permit  *(list all countries where you have a residence permit (if any)* | Residence permit:  *For each residence permit* | |
| Place of registration | Country:  Region:  City (town, etc.):  Street name:  House number:  Building number:  Apartment number: | |
| Place of stay address | Country:  Region:  City (town, etc.):  Street name:  House number:  Building number:  Apartment number: | |
| Taxpayer Number (INN) (*if applicable*) |  | |
| TIN *(if applicable)*  Social security ID number *(if the foreign jurisdiction does not assign TINs to taxpayers)* | Jurisdiction: TIN:  *For each jurisdiction*  Jurisdiction: ID:  *For each jurisdiction* | |
| SNILS *(required for Russian citizens)* |  | |
| Contact details (*if available*) | Telephone  Fax  E-mail  Mailing address | |
| **2. Details of the CLIENT's belonging to certain categories of persons** | | |
| 1. Are you 1) a foreign public official\*; or 2) an official of public international organizations\*\*; or 3) a person substituting for (holding) public office of the Russian Federation, office of the Board of Directors of the Central Bank of the Russian Federation, federal public service positions to which appointment and dismissal are performed by the Russian President or the Russian Government, positions in the Central Bank of the Russian Federation, state corporations and other organizations established by the Russian Federation under federal laws and listed among the positions determined by the President of the Russian Federation?  **(NO/YES)**  If you tick “YES” to the previous question, please indicate the position held and the name and address of the employer: complete section 4 of this form.  2. Are you a family member with the categories mentioned in paragraph 1 (spouse or near of kin (ascendants and descendants (parents and children, grandparents and grandchildren), full and half siblings (having a common father or mother), adoptive parents and adopted children)?  **(NO/YES)**  If you tick “YES” to the previous question, please indicate the relationship to or status (spouse) and position, full name of the relative and position held, along with the name and address of the employer:  3. Do you perform transactions and/or deal with funds or other assets on behalf of the categories of persons mentioned in paragraphs 1-2?  **(NO/YES)**  If you tick “YES” to the previous question, please indicate the person on whose behalf you are acting:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \**Any person appointed or elected to hold any legislative, executive, administrative or judicial office in a foreign country and any person who performs any public function for a foreign country, including for a public agency or public enterprise.*  *\*\* International civil servant or any person authorized by such an organization to act on its behalf (for example, UN, IM, EC, EC institutions, OSCE, OAS, NATO and etc.);* | | |
| **3. Information on whether the CLIENT has a beneficial owner, representative, or a beneficiary** | | |
| Do you have an individual who is ultimately controlling your actions, either directly or indirectly (through a third party)?  *If you tick “YES”, please complete and submit the Details Form АА106.* | | * YES * NO |
| Does the Client plan to execute/execute transactions for the benefit of another person, such as under commission agency agreements, agency agreements, engagement agreements, trust agreements, etc. and/or when making settlements for a third party?  *If you tick “YES”, please complete and submit the Beneficiary’s Details Form. If more than one beneficiary, please complete a separate form for each beneficiary.* | | * YES * NO |
| Do you have a Representative when you are serviced by NSD?  ***If you tick “YES”, please complete and submit the Details Form АА106*** | | * YES * NO |
| **4. Information on the source of funds and/or other assets of the CLIENT\***  *\* to be completed if the Individual Client is a foreign public official (FPO), and in cases required by applicable laws and Bank of Russia regulations upon separate request.* | | |
| Please indicate the sources: | | |
| **5. Further Individual CLIENT details\***  *\*to be completed where required by applicable laws and Bank of Russia regulations upon request.* | | |
| Purpose and intended nature of the relationship with NSD |  | |
| Business and financial activity purposes |  | |
| Financial position |  | |
|  |  | |
| Business reputation |  | |
| **6. Details Form completion date** |  | |

I hereby acknowledge that data on this form is correct and complete.

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (Full name) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (signature) |  |

1. Requirement of paragraph 2.2 of the List, not applicable. [↑](#footnote-ref-1)
2. Requirement of paragraph 2.2 of the List, not applicable. [↑](#footnote-ref-2)
3. Documents necessary for NSD for the purpose of Federal Law No. 115-FZ On Countering the Legalization (Laundering) of Criminally Obtained Incomes and the Financing of Terrorism, dated August 7, 2001. [↑](#footnote-ref-3)
4. To be specified if the Application for Dividend Payment is submitted in hard copy and not applicable if it is sent through NSD's EDI system [↑](#footnote-ref-4)