**List of documents to be submitted to NSD by Holders of Russian Eurobonds**

**(in cases where the International Securities Depository has/has not made the List of Holders available)**

# **Terms and definitions**

* 1. **Details Form АА001** shall mean a Legal Entity's Details Form to be submitted by the Holder of Eurobonds 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 further information to be submitted by the Holder of Eurobonds to identify the legal entity on Form AA101, which is [Appendix 3](#_Приложение_3_3) to the NSD List.
  3. **Details Form АА106**  shall mean details about an individual beneficiary (beneficial owner) to be submitted by the Holder of Eurobonds using the Form AA106, which is [Appendix 4](#_Приложение_3_1) to the NSD List.
  4. **Details Form АА107**  shall mean details about a beneficiary –a legal entity to be submitted by the Holder of Eurobonds using the Form AA107, which is [Appendix 5](#_Приложение_4) to the NSD List.
  5. **Details Form AA116** shall mean the Individuals Details Form AA116, which is [Appendix 5](#_Приложение_№_1) or Appendix 5.1 to the NSD List, provided by the individual Holder of Eurobonds.
  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. **Bank Account** means a type “I” bank account in the currency of the Russian Federation, indexed at the exchange rate of the foreign currency in which the obligations under the Eurobonds are expressed, opened in the name of one or more persons upon application of the issuer, whose beneficiaries are the Holders of the Eurobonds, to whom payments are to be transferred to fulfil obligations under such Eurobonds pursuant to the bond issue documents and (or) the Decree.
  8. **Extract from the document** means a part of the document certified on paper by an authorized person of the Holder of Eurobonds and stamped (if any).
  9. **Record Date** shall mean the end of the 3rd (third) business day before the payment date as stipulated in the Eurobond issue documents or the end of business day on an earlier date in accordance with the procedure set forth in the Eurobond issue documents.
  10. **Holder of Eurobonds** means an individual or legal entity which is the owner of the Eurobonds or other person exercising rights to the Eurobonds, whose rights are recorded in accounts opened with International Securities Depositories or whose rights are recorded with the involvement of the Russian Depository, to whom an account for recording Eurobonds of the Russian Federation is opened in a Foreign Depository and who has not provided information on the total number of Eurobonds of the Russian Federation to the Central Securities Depository upon its request, and who has applied to NSD for the purpose of receiving the funds credited to the Bank Account.
  11. **EDI Agreement** shall mean the Electronic Data Interchange Agreement between NSD and the Holder of Eurobonds.
  12. **Eurobonds** shall mean collectively or individually as Russian Eurobonds (RU) and Russian Eurobonds (XS).
  13. **Russian Eurobonds (RU)** are external bonds issues by the Russian Federation denominated in a foreign currency, subject to mandatory centralized safekeeping at NSD.
  14. **Russian Eurobonds (XS)** are external bond issues by the Russian Federation denominated in a foreign currency, with safekeeping at an International Securities Depository.
  15. **Application** shall mean an application by a Holder of Eurobonds for the transfer of proceeds related to the Eurobonds in the form set out in Appendix 3 or Appendix 3.1 to the List.
  16. **International Securities Depository** shall mean an international organization which is authorized under the personal law to record and transfer the rights to Eurobonds (including the entity that has a Foreign Nominee Holder Account with).
  17. **Foreign Nominee Holder** shall mean an International securities depository which a Foreign Nominee Holder Account has been opened to.
  18. **International Broker** shall mean a foreign company entitled to carry out brokerage activities on the securities market in accordance with its personal law.
  19. **Copy**  shall mean a document that reproduces in full an Original/Notarized Copy and its appearance, in hard copy, that is certified by the authorized person of the Holder of Eurobonds 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 of Eurobonds 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. **Notarial Extract** shall mean (whichever is applicable):
     1. a copy of a part of the document the authenticity of which to the Original has been certified by a notary public in accordance with the applicable Russian laws on notaries;
     2. a copy of a part of the document which faithfulness to the Original has been certified by a relevant authority (person) of a foreign country (NSD accepts such copies only if legalized according to paragraphs 2.1 and 2.3 of the List.
  4. **Notarized Copy** shall mean a copy of the document certified as true to the Original by a notary public in accordance with the notary law of the Russian Federation or by a competent authority (person) of a foreign state.
  5. **NSD** shall mean National Settlement Depository.
  6. **Restrictions** (whichever is applicable):
     1. restrictive measures imposed by authorised bodies of foreign countries, international organisations, foreign financial organisations in respect of a person whose Eurobond account has been reported or in respect of a person owning directly or indirectly, solely or in the aggregate, 50 or more percent of shares (stakes) of a person whose Eurobond account has been reported;

* + 1. restrictive measures imposed by authorised bodies of foreign states, international organisations, foreign financial organisations in relation to the territory of registration (citizenship) of the person whose Eurobond account has been reported
  1. **Original** shall mean (whichever is applicable):
     1. an original document (first edition) in hard copy that is signed by the Holder of Eurobonds (its 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 (submitted via 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).
  2. **List** shall mean this List of Documents to be submitted by Holders of Russian Eurobonds to NSD.
  3. **List 1 of Information (Documents) Necessary for Tax Withholding** shall mean List 1 of information (documents) in Appendix No.1 to the List.
  4. **NSD List** shall mean the List of Documents to Be Submitted by clients-legal entities to NSD available on the Website.
  5. **Written waiver by the Holder of Eurobonds of all potential future complaints** shall mean a written waiver by the Holder of Eurobonds of all potential future complaints in the form set out in Appendix 4 to the List.
  6. **AML/CFT/WMD** shall mean anti-money laundering and combating the financing of terrorism and financing of the proliferation of weapons of mass destruction.
  7. **EDI Rules** shall mean NSD Electronic Data Interchange Rules.
  8. **Order** shall mean Ministry of Finance Order No 245 of 26 June 2022 "On Approval of the List of Documents Confirming the Rights of Holders of Government Securities of the Russian Federation, Denominated in a Foreign Currency".
  9. **Website** shall mean the website of NSD at [www.nsd.ru](https://www.nsd.ru/en/).
  10. **List from the International Securities Depository** shall mean a list of owners of Eurobonds and persons exercising rights under the Eurobonds, as compiled as of the Record Date, specifying their bank details for making payments. The List is provided by the International Securities Depository to which the type "I" account is opened by NSD at its request.
  11. **Holder's Account** shall mean the account of the Holder of Eurobonds with an International Securities Depository in which the rights to the Eurobonds are recorded.
  12. **Foreign Nominee Holder Account** shall mean a securities account opened for the Foreign Nominee Holder.
  13. **EDI** shall mean the Electronic Data Interchange System.
  14. **Notification of Information (Documents) Required for Tax Withholding** shall mean a notification of sending information (documents) according to the form in Appendix 2 or Appendix 2.1 to the List as necessary for tax withholding.
  15. **Decree** shall mean Decree of the President of the Russian Federation dated 22 June 2022 No. 394 "On Temporary Procedure for Settlement to Residents and Foreign Lenders under Russian Sovereign Debt Obligations, Expressed in Government Securities Denominated in Foreign Currency".
  16. **EDS** shall mean an enhanced (either certified or non-certified) digital signature.
  17. **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.
  18. **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.
  19. 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 confirming the legal status of a Non-Resident Legal Entity issued by the competent authorities of foreign countries, as well as other documents in cases expressly provided for in the List, are accepted by NSD provided that they are legalized in the prescribed manner:

* + 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.

# 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 Chisinau on 7 October 2002 (Armenia, Azerbaijan, Belarus, Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan).

# Documents evidencing ownership of Eurobonds, as provided for in paragraph 3 of Sections 4 and 5 of the List, are accepted by NSD provided that the signatories' signatures are authenticated[[1]](#footnote-1). Such documents whose signatures are authenticated outside the Russian Federation are accepted by NSD provided that the legalisation requirements are met:

* + 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.

# The requirement stipulated in clause 2.3 of the List shall not apply:

* + 1. if Restrictions are imposed on the person whose account has been reported regarding the ownership of the Eurobonds, or on the person owning directly or indirectly, solely or in aggregate, 50 or more per cent. of the shares (interests) of the person whose account has been reported regarding the ownership of the Eurobonds, or on the territory of registration (citizenship) of the person whose account has been reported regarding the ownership of the Eurobonds;
    2. if the Holder of the Eurobonds is a credit organisation or a non-credit financial organisation regulated by the Bank of Russia, the rights to the Eurobonds of which are recorded in the International Securities Depository;
    3. if the International Securities Depository keeping records of the rights of the Eurobond Holder is a legal entity in respect of which a credit institution or a non-credit financial institution regulated by the Bank of Russia, by virtue of its participation in this legal entity or in accordance with the powers received, including on the basis of a written agreement, from other persons, has more than fifty per cent of the total number of votes attributable to voting shares (stakes) in the charter (share) capital of this legal entity[[2]](#footnote-2).

# Documents executed in full or in any part thereof in a foreign language shall be submitted with a translation whose authenticity (authenticity of the translator's signature) has been certified in accordance with the established procedure, except for documents evidencing ownership of Eurobonds provided for in paragraphs 3, 4 of Sections 4 and 5 of the List and executed in English, as well as the document provided for in paragraph 5 of Section 4 of the List.

# The requirement in paragraph 2.4 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 of Eurobonds or their 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 of Eurobonds 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 of Eurobonds 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.

# For the purposes of acting as a tax agent, implementing NSD's AML/CFT/WMD internal control rules and in other cases prescribed by Russian law and the agreements, the Holder of Eurobonds must provide additional information and documents requested by NSD.

# **Documents to be submitted by Holders of Eurobonds where the International Securities Depository has made the List of Holders available**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1. | Information (Documents) Required for Tax Withholding |  |  | To be provided in accordance with List 1 of Information (Documents) Necessary for Tax Withholding |
| 2. | Written waiver by the Eurobond Holder of all potential future claims | Original | Hard copy | Provided in the NSD’s form agreed with the Ministry of Finance of the Russian Federation, if such waivers were not collected through international depositories involved in keeping the Eurobonds |

# **Documents to be submitted by Holders of Eurobonds where the International Securities Depository has not made the List of Holders available**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Document Name | Permitted forms | Permitted submission methods | Notes |
| I. Documents evidencing the rights of the Holders of Eurobonds | | | | |
| 1. | An Application indicating:   * bank details for the transfer of payments on the Eurobonds; * Links to the official website of the authorized body that issued the license (permit) or included the International Securities Depository and/or International Broker in the list (register) of organizations authorized to keep record of and transfer the ownership to securities. | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) | To be provided in respect of each Eurobond payment.  If a complete and up-to-date set of documents meeting the requirements set forth in this List was submitted by the Holder for payment to NSD prior to the entry into force of the amendments to the Order and for which NSD was previously forced to refuse to pay cash due to the effect of the requirements of the Order, then in such case, in order to finalise the documents, the Holder need only submit a new Application to NSD without resubmitting the previously submitted documents. In this case, the period for reviewing the documents provided for in subparagraph d) of paragraph 5 of Order No. 240 dated 22 June 2022 "On Temporary Procedure for Execution of the Russian Federation's Government Debt Obligations under the Russian Federation Government Securities Denominated in Foreign Currency" will commence to run from the date of NSD's receipt of the new Application. |
| 2. | Documents identifying the person confirming entitlement to the Eurobonds | | | |
| 2.1 | **Documents to be submitted by Individuals** | | | |
| 2.1.1 | **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, 2.3 of the List).  If data referred to in Section 2 and Section 3 of Details Form AA116 issued and executed in accordance with the List changes, a scanned image of updated Details Form AA116 on paper may be submitted via e-mail at MinfinDocs@nsd.ru |
| 2.1.2 | Details Form АА106 (Appendix to the Application) | Original | Hard copy | To be submitted if:   1. there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA116. A separate Details Form has to be submitted for each individual beneficial owner/beneficiary; 2. there is an individual representative of the Holder of Eurobonds acting on his/her behalf under a power of attorney. |
| 2.1.3 | ID documents of the persons below:   1. Holders of Eurobonds-Natural Persons; 2. persons authorized by Holders of Eurobonds -Natural Persons to sign the relevant documents on their behalf. | Original (for NSD employee to make and certify a copy) [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard copy | Foreign nationals/stateless persons shall also submit to NSD the documents referred to in paragraph 2.7 of the List. |
| 2.1.4 | **Power of attorney** issued to persons authorized to sign relevant documents on behalf of a Holder of Eurobonds-Natural Person. | Original  Notarized Copy | Hard copy | The power of attorney must be certified by a notary or a competent authority (person) (this includes certifying the necessary powers of the giver of the power of attorney).  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.3 of the List). |
| 2.2 | **Documents to Be Submitted by Russian Resident Legal Entities** | | | |
| 2.2.1 | **Details Form АА001** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) | A signature of a person acting on behalf of a Resident Legal Entity must be notarized or a sample of the individual's signature must be made in the presence of an NSD’s employee.  This requirement does not apply if the authenticity of the signature is notarized or the specimen signature is made in the presence of an employee of NSD in another document submitted by the Resident Legal Entity to NSD in accordance with the List.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.3 of the List). |
| 2.2.2 | **Details Form АА101** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) |  |
| 2.2.3 | **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 individual beneficiary. |
| 2.2.4 | 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. |
| 2.2.5 | **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) |
| 2.2.6 | **Document containing specimen signatures and a seal impression** (signature and seal card /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 | The signature of a person acting on behalf of a Resident Legal Entity without power of attorney and of persons acting under power of attorney (if applicable) must be made by either of the following:   1. a sample signature on the signature and seal card in accordance with the form in Appendix 2 to the List of NSD may be executed in the presence of an NSD’s employee; 2. authenticity of a signature on the signature and seal card/ 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 List of NSD may be executed in the presence of an NSD’s employee.   If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.3 of the List). |
| 2.2.7 | **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 Articles of Association of a limited liability company (LLC) 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 LLC 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) |
| 2.2.8 | **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 nationals/stateless persons shall also submit to NSD the documents referred to in paragraph 2.6 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. |
| 2.2.9 | **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.  The power of attorney must bear a specimen signature of the person authorized unless made in the presence of an employee of NSD or the documents as per paragraph 2.3.7 of the List have been submitted for the person who receives the authority. |
| [Notarized Copy](#_Нотариальная_копия_–) | Hard copy |  |
| 2.3 | **Documents to Be Submitted by Non-resident Legal Entities** | | | |
| 2.3.1 | **Details Form АА001** (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy | A signature of a person acting on behalf of a Non-resident Legal Entity must be notarized or a sample of the individual's signature must be made in the presence of an NSD’s employee.  This requirement does not apply if the authenticity of the signature is notarized or the specimen signature is made in the presence of an employee of NSD in another document submitted by the Non-resident Legal Entity to NSD in accordance with the List.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.3 of the List). |
| 2.3.2 | **Details Form АА101** (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy |  |
| 2.3.3 | **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. |
| 2.3.4 | Details Form АА107 (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy | To be submitted individually for each corporate beneficiary whose details appear on Details Form AA101. |
| 2.3.5 | **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. |
| 2.3.6 | **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. |
| 2.3.7 | **Signature and seal card** **(or, for credit institutions, a specimen signature book)/ Signature and seal card according to the form in Appendix 2 to the List, 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 signature of a person acting on behalf of a Non-resident Legal Entity without power of attorney and of persons acting under power of attorney (if applicable) must be made by either of the following:   1. a sample signature on the signature and seal card in accordance with the form in Appendix 2 to the List of NSD may be executed in the presence of an NSD’s employee; 2. authenticity of a signature on the signature and seal card in accordance with the form in Appendix 2 to the List of NSD may be certified by a notary.   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”.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List). |
| 2.3.8 | **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 |  |
| 2.3.9 | **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 | The power of attorney must be certified by a notary or a competent authority (person) (this includes certifying the necessary powers of the giver of the power of attorney).  The power of attorney must bear a specimen signature of the person authorized unless made in the presence of an employee of NSD or the documents as per paragraph 2.3.7 of the List have been submitted for the person who receives the authority.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.3 of the List). |
| 2.3.10 | **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. |
| 3. | One of the following documents confirming, as at the Record Date, the number of Eurobonds: | | | |
| 3.1 | Account statement for the purpose for prove of holding issued by the International Securities Depository | Original  Notarized copy or notarized extract | 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. quantity of securities in units or in currency at face amount (FAMT); 6. information allowing to confirm that the Holder of Eurobonds is the owner of the securities or other person exercising the rights to the securities.   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. |
| 3.2 | SWIFT МТ 535 message (Statement of Holdings), submitted by the International Securities Depository to its client (applicable to legal entities members of SWIFT messaging exchange | 1. A paper document in respect of which a notary or competent authority (person) of a foreign state has certified the fact of its equivalence to an electronic document; 2. a document on paper medium, according to which a notary of the Russian Federation in order to provide evidence has inspected   information in the Internet, using the account of the Eurobond Holder;   1. 3) a copy of the document, in respect of which the Eurobond Holder - a credit organisation or a non-credit financial organisation regulated by the Bank of Russia, whose securities rights are registered in the International Securities Depository, has certified its equivalence to an electronic document[[3]](#footnote-3) (with the attachment of a copy of the statements (extracts from the statements) sent to the Bank of Russia as of the last reporting date preceding the Record Date, containing information on such Eurobonds, with a mark of the Bank of Russia on its acceptance/copy of the electronic message confirming it). Such copies must be certified by the sole executive body of such entity or other authorised person whose powers are confirmed by a notarized power of attorney or provided electronically (if an EDI Agreement is available). | Hard copy | The document must include the following details:   1. SWIFT BIC of the sender; 2. SWIFT BIC of the legal entity for which the document is being provided; 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. quantity of securities in units or in currency at face amount (FAMT); 6. account number for recording securities with the International Securities Depository.   A document (agreement, letter, other document in the form of an Original or a Notarized copy) signed by an Officer of the International Securities Depository must be also submitted to confirm that the Holder of Eurobonds is the owner of the securities or other person exercising rights on the securities. |
| 3.3 | **Report/account statement by an International Broker** who keeps records of securities and transfers rights to securities (combining brokerage and depository activities) | Original  Notarized copy or notarized extract | Hard copy | The report/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 document is submitted: if an individual – surname and given name, details of an identity document; if a legal entity – full name, address and (or) Primary State Registration Number (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. quantity of securities in units or in currency at face amount (FAMT); 6. information allowing to confirm that the Holder of Eurobonds is the owner of the securities or other person exercising the rights to the securities; 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 paragraphs 2, 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’s official is submitted. |
| 3.4 | 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) | 1. A paper document in respect of which a notary or competent authority (person) of a foreign state has certified the fact of its equivalence to an electronic document; 2. a document on paper medium, according to which a notary of the Russian Federation in order to provide evidence has inspected   information in the Internet, using the account of the Eurobond Holder;  3) a copy of the document, in respect of which the Eurobond Holder - a credit organisation or a non-credit financial organisation regulated by the Bank of Russia, whose securities rights are registered in the International Securities Depository, has certified its equivalence to an electronic document[[4]](#footnote-4) (with the attachment of a copy of the statements (extracts from the statements) sent to the Bank of Russia as of the last reporting date preceding the Record Date, containing information on such Eurobonds, with a mark of the Bank of Russia on its acceptance/copy of the electronic message confirming it). Such copies must be certified by the sole executive body of such entity or other authorised person whose powers are confirmed by a notarized power of attorney or provided electronically (if an EDI Agreement is available). | 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. quantity of securities in units or in currency at face amount (FAMT); 6. account number for recording securities with the International Securities Depository / international broker; 7. information allowing to confirm that the Holder is the owner of the securities or other person exercising the rights to the securities; 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 paragraphs 2, 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 Securities Depository official/international broker official is submitted. |
| 3.5 | Other document provided by the International Securities Depository containing information on the number of Eurobonds registered in the Holder's Account. | Original  Notarized copy or notarized extract | Hard copy | The document shall contain:  1) in respect of the person for whom the document is provided: for an individual - surname, name, details of the identity document; for a legal entity - full name, address and (or) OGRN/registration number;  2) date as of which information on the number of securities is provided (must coincide with the Record Date);  3) parameters of the security (ISIN code);  4) number of securities in units or in currency at nominal value (FAMT);  5) account number for keeping securities in the International Securities Depository / International Broker;  6) information allowing to confirm that the Holder of Eurobonds is the owner of securities or other person exercising rights on securities. |
| 4. | A document issued by an International Securities Depository specifying the custody scheme for the Eurobonds, including the International Securities Depository/International Broker keeping records of the rights to the Eurobonds and all International Securities Depositaries in which the accounts of persons acting in the interests of other persons are opened, on which the rights to the Eurobonds are recorded, or other documents confirming the presence of the Eurobonds specified in paragraph 3 of the List on the accounts of all International Securities Depositories/International Brokers which are involved in keeping record of the rights.  If the International Securities Depositories refuse to issue the document, such refusal shall be provided. | 1) Original;  2) a document on hard copy according to which the Russian notary, by way of securing evidence, has carried out an inspection of the  information the Internet (namely, scanned images of documents issued by the relevant International Securities Depository), using e-mail messages from electronic mailboxes (e-mail addresses) of the Eurobond Holder received from the relevant International Securities Depository. | Hard copy | The document shall contain:  1. the unambiguous identifier of each International Securities Depository under that person's personal law;  2. the date on which the information is provided (must coincide with the Record Date);  3. parameters of the security (ISIN code).  The requirement stipulated in item 2.3 of the List shall not apply.  Other documents include[[5]](#footnote-5):  - one or more documents issued by each of the International Securities Depositories/International Brokers keeping records of the rights to the Eurobonds, including the International Securities Depository that has provided the Eurobond Holder with the document provided for in item 3 of the List, as well as the International Securities Depository to which a foreign nominee account is opened with NSD;  - a **document** signed by the International Securities Depository that has provided the Eurobond Holder with the document provided for in item 3 of the List, if such International Securities Depository meets any of the following criteria, or a **combination of documents**: one or more documents issued by one or more International Securities Depository(s) keeping records of rights to the Eurobonds (including the International Securities Depository that has provided the Eurobond Holder with the document provided for in item 3 of the List) and a document specifying the rest of the custody scheme for the Eurobonds; and  a) is a legal entity in respect of which a credit institution or a non-credit financial institution regulated by the Bank of Russia, by virtue of its participation in that legal entity or in accordance with the powers received, including on the basis of a written agreement, from other persons, has more than fifty per cent of the total number of votes attributable to voting shares (stakes) in the charter (share) capital of that legal entity[[6]](#footnote-6);  b) is included in the list of foreign organisations meeting the criteria established by the Bank of Russia's Instruction No. 5311-U dated 11 November 2019 posted on the official website of the Bank of Russia;  c) has a rating from one of Fitch-Ratings or Standard & Poor's or Moody's Investors Service[[7]](#footnote-7);  d) is:   * a central depository; * a client of an International Securities Depository that is a member of international settlement and clearing organisations or is a central depository, and the information about it is placed on the official website of such International Securities Depository[[8]](#footnote-8); * a client of an International Securities Depository and information about it is placed on the website of such International Securities Depository.   The document may not be provided by the Holder in the following cases:  1) if Restrictions are imposed in respect of the person on whose account the information is provided (including in connection with the imposition of Restrictions in respect of persons holding directly or indirectly, solely or in the aggregate, more than 50 per cent of the votes in the supreme governing body of such person and (or) on other grounds);  2) if the rights to Eurobonds are accounted for by the International Securities Depository where the account specified in the document on the ownership of Eurobonds provided for by item 3 of the List is opened and there are no other International Securities Depositories involved in keeping records of the rights to Eurobonds. |
| 5. | Written waiver by the Holder of Eurobonds of all potential future complaints | Original | Hard copy | Submitted in NSD’s form agreed with the Ministry of Finance of the Russian Federation. |
| 6. | Information (Documents) required for tax withholding |  |  | The documents should be submitted according to List 1 of Information (Documents) Necessary for Tax Withholding |

**5. Documents provided by a Russian depositary confirming the rights of holders of Russian Federation Eurobonds, the rights to which are recorded with the involvement of the Russian depositary, and to which an account of a person acting for the benefit of others (hereinafter referred to as the "Russian depository's account with the International Securities Depository") is opened in the International Securities Depository, in which the Eurobonds are recorded, and which has not provided NSD upon its request with information on the total number of Eurobonds registered on such account as of the Record Date, as well as documents provided by the Russian Depository to which a Russian Depository Holder's Account is opened with the International Securities Depository (the "Russian Depository Holder's Account") and which has not provided NSD upon its request with information on the total number of Eurobonds registered on such account as of the Record Date:**

# 

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Document Name | Acceptable forms | Acceptable ways of submitting the document | Note |
| 1. | The total number of Eurobonds, which are kept by Russian depositories on the accounts of the Russian depository in the International Securities Depository and/or accounts of the owner of the Russian depository | Original | Electronically  (if the EDI Agreement is available)  In hard copy (if the EDI Agreement is not available) | To be provided in respect of each Eurobond payment. |
| 2. | Documents identifying the person confirming the rights to the Eurobonds (unless such documents were previously submitted to NSD) | | | |
| 2.1. | **Documents submitted by Resident Legal Entities (if not previously submitted to NSD)** | | | |
| 2.1.1. | **Details Form AA001** (Appendix to the Application) | Original | In hard copy  Electronically  (if the EDI Agreement is available) | The authenticity of the signature of a person acting on behalf of the Resident legal Entity must be notarized or a specimen signature of such person must be executed in the presence of a NSD employee.  This requirement does not apply if the signature is notarized or a specimen signature is executed in the presence of a NSD employee in another document submitted by the Resident Legal Entity to NSD in accordance with the List.  If the signature is certified in a foreign country, the document must be duly legalised (item 2.2 of the List). |
| 2.1.2. | **Details Form AA101** (Appendix to the Application) | Original | In hard copy  Electronically  (if the EDI Agreement is available) |  |
| 2.1.3. | **Details Form AA106** (Appendix to the Application) | Original | In hard copy  Electronically  (if the EDI Agreement is available) | To be submitted if there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA101. |
| 2.1.4. | **Details Form AA107** (Appendix to the Application) | Original | In hard copy  Electronically  (if the EDI Agreement is available) | To be submitted individually for each corporate beneficiary whose details appear on Details Form AA101. |
| 2.1.5 | The Resident Legal Entity's **constituent documents** complying with the requirements set out in the Russian laws for forms of business entities, as amended and supplemented as of the date of submission to NSD | [Notarized copy](#_Нотариальная_копия_–)  Copy of the document certified by the by the registering authority | In hard copy | Legal entities whose legal status, purposes of establishment and business are determined by interstate and intergovernmental agreements, legislative or regulatory legal acts, shall submit copies of such documents certified by an authorised person of the entity. |
| [Copy](#_Копия_–_документ,) (including a copy of the document received via the Personal Account of the Bank of Russia/FTS) | Electronically  (if the EDI Agreement is available) |
| 2.1.6 | A document containing specimen signatures and a seal impression (a card/power of attorney containing a specimen signature of the person to whom it is issued/manager's card/signature and stamp card in the form of Attachment 2 to NSD's List) | [Original](#_Оригинал_–_подлинник)  [Notarized copy](#_Нотариальная_копия_–) | In hard copy | The signature of a person acting on behalf of the Resident Legal Entity without a power of attorney, as well as persons acting under a power of attorney (if applicable), must be made in one of the following ways:   1. a specimen signature on the signature and seal card in the form of Appendix 2 to the NSD List may be made in the presence of an NSD employee; 2. the authenticity of the signature on the card/power of attorney containing the specimen signature of the person to whom it is issued/manager's card/ signature and stamp card in the form of Appendix 2 to the NSD's List may be notarized.   If the signature is certified in a foreign country, the document must be duly legalised (item 2.2 of the List). |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 2.1.7 | **Documents that support the authority** of the person acting on behalf of the Resident Legal Entity without a power of attorney  *(e.g. minutes/decisions/orders of election (appointment) to office)* | [Original](#_Оригинал_–_подлинник)  [Notarized copy](#_Нотариальная_копия_–)  [Notarized extract](#_Нотариальная_выписка_–_1)  [Extract from the document](#_Выписка_из_документа_1) | In hard copy | Adoption by the general meeting of shareholders of the decision at the meeting and the composition of shareholders of the company present at that moment shall be confirmed in accordance with the procedure established by [*Article 67.1 of the Civil Code of the Russian Federation.*](consultantplus://offline/ref=B5A3237287FEC4C590E4123635477BF3010278B409EF9936F37DAFE843B98A4FA3E5625ADAD273CEA0B5F73BD0187369B888C9BA8978K6k8H)  At the same time, if the LLC's Articles of Association does not provide for an alternative (non-notarial) method of confirming decision-making, the decision of the sole participant/general meeting of participants of the LLC on an alternative (non-notarial) method of confirming decision-making by the sole participant/general meeting requires notarial certification.  Provision of a document confirming the powers of a person acting on behalf of the entity without a power of attorney is not required in case of revocation of the banking license of a Resident Legal Entity which is a credit institution and appointment of a temporary administration. |
| [Copy](#_Копия_–_документ,) | In hard copy  Electronically  (if the EDI Agreement is available) |
| 2.1.8 | **Documents certifying identity** of persons authorized to:  - act on behalf of the Resident Legal Entity without a power of attorney;  - sign the relevant documents on behalf of the Resident Legal Entity. | [original](#_Оригинал_–_подлинник) (to be made and certified by NSD's employee)  [Notarized copy](#_Нотариальная_копия_–) | In hard copy | Foreign nationals/stateless persons shall also submit to NSD the documents referred to in paragraph 2.6in the List. |
| [Copy](#_Копия_–_документ,) | Electronically  (if the EDI Agreement is available) | Only a copy made from a Notarized Copy of the document can be provided electronically. |
| 2.1.9 | **Power of attorney** issued to persons authorized:  - sign the relevant documents on behalf of the Resident Legal Entity. | [Original](#_Оригинал_–_подлинник) | In hard copy  Electronically  (if the EDI Agreement is available) | Only a power of attorney for signing electronic documents in NSD's EDI System may be submitted in electronic form.  The power of attorney must contain a specimen signature of the person to whom it has been issued, unless the documents under such power of attorney are signed in the presence of an NSD employee or the person acting under such power of attorney is represented by the documents specified in item 2.2.6 of the List. |
| [Notarized copy](#_Нотариальная_копия_–) | In hard copy |
| 3. | Eurobond Custody Scheme which keeps details of all International Securities Depositories and/or International Brokers, as well as Russian Depositories involved in keeping records of the rights to Eurobonds, issued by any of these entities | Original | Electronically  (if the EDI Agreement is available)  In hard copy (if the EDI Agreement is not available) | The document should contain information on all International Securities Depositories and/or International Brokers, as well as Russian Depositories involved in keeping records of the rights to Eurobonds. |
| 4. | Information provided by a Russian depository to which a Russian depository account is opened with an International Securities Depository or an account of the Russian depository owner and which has not reported the total number of Eurobonds to the central depository upon its request, indicating that information on the number of Eurobonds has not been provided by such depository upon the central depository's request. | Original | Electronically  (if the EDI Agreement is available)  In hard copy (if the EDI Agreement is not available) | The document must include the following details:   1. full name and actual address of the Russian depository which did not provide/provided incompletely the central depository with information on the total number of Eurobonds upon its request; 2. securities parameters (ISIN code, securities name); 3. the number of securities in units, information on the number of which was not provided to the central securities depository upon its request within the period specified in the request; 4. if the total number of Eurobonds was reported to the central securities depository upon its request within the period specified in the request, it is necessary to specify information on the date of provision of such information and the number of the instruction under which such information was provided. |

Appendix 1

**LIST 1**

**of information (documents) necessary for tax withholding**

(for payments on governmental and municipal bonds, and on Russian Eurobonds)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| № | Document title | Permitted forms | Permitted submission methods | Notes |
| **1.  Individuals-Russian tax residents (Russian and foreign citizens)** | | | | |
| 1.1 | ID documents | Original (for an NSD’s employee to make and certify a copy)  [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard Copy |  |
| **2.  Individuals who are not Russian tax residents (foreign citizens, persons without citizenship, and citizens of the Russian Federation without confirmation of their Russian tax residency status** | | | | |
| 2.1 | ID documents | Original (for and NSD’s employee to make and certify a copy)  [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard Copy |  |
| 2.2 | Certificate of Tax Residency | Original  [Notarized](#_Нотариальная_копия_–) Copy  (for a Certificate of Russian Federation Tax Residency) |  | To be issued in accordance with the Certificate of Tax Residency Procedure (\*)  The document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List). |
| **3. Foreign structures which relate to the collective investment schemes** | | | | |
| 3.1 | Tax disclosure of investors, actual beneficiaries of income (according to NSD’s form) | Original | Hard Copy | To be signed by an authorized signatory |
| 3.2 | For individual investors who are actual beneficiaries of income, the documents required under paragraphs 1 - 2 of List 1 of information (documents) necessary for tax withholding must be submitted (as appropriate) |  |  |  |

\* **Certificate of Tax Residency Procedure**

**Certificate of Russian Federation Tax Residency**

The Certificate of Tax Residency for persons who are not residents of the Russian Federation must be issued by a foreign competent authority and must meet the following criteria:

* a certificate must bear the following phrase (or a phrase close to it): "It is certified that \_\_\_\_ (name of organization) is a resident of (state) over a period of (period of time) within the meaning of the Treaty (name of the international treaty) between the Russian Federation/USSR and (foreign state)". In Russian: «Подтверждается, что \_\_\_ является в течение (указывается период) лицом с постоянным местопребыванием в (указывается государство) в смысле Соглашения (указывается наименование международного договора) между Российской Федерацией/СССР и (указывается иностранное государство)»;
* a certificate must indicate a definite validity period or bear a date of the year in which the income is paid (in this case, the validity period will be the calendar year of issue);
* a certificate must be sealed (stamped) by a competent body (or its authorized body) within the meaning of the respective double taxation treaty and completed with a signature of an authorized official of that body.

If a foreign authority/official, which is an authorized authority/official as defined in the relevant treaty, has delegated its powers to another authority(-ies)/individual(-s), the taxpayer should provide supporting information to prove such delegation.

**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.

Приложение 2

Уведомление

о направлении сведений (документов), необходимых для удержания налога

Направляю НКО АО НРД документы для удержания налога:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | ISIN код Еврооблигаций | |  | | |
|  | | Вид выплаты по Еврооблигациям | | * Купонный (процентный) доход * Номинальная стоимость * Частичная номинальная стоимость | | |
|  | | Дата фиксации | |  | | |
|  | | Дата выплаты | |  | | |
|  | | Количество Еврооблигаций (в штуках)[[9]](#footnote-9) | |  | | |
|  | | Полное наименование иностранного депозитария, которому открыт счет депо иностранного номинального держателя в НКО АО НРД и который предоставил в НКО АО НРД сведения о Держателе Еврооблигаций | |  | | |
|  | | Полное наименование и адрес иностранного депозитария, которое предоставляет в НКО АО НРД документы в соответствии с Уведомлением (если применимо) | |  | | |
| **Сведения, позволяющие идентифицировать Держателя Еврооблигаций** | | | | | | |
|  | | Полное наименование/ФИО Держателя Еврооблигаций | |  | | |
|  | | Наименование документа, удостоверяющего личность физического лица/регистрационного документа юридического лица | |  | | |
|  | | Серия и/или номер документа, удостоверяющего личность физического лица/регистрационный номер юридического лица | |  | | |
|  | | Дата выдачи документа, удостоверяющего личность физического лица/дата регистрации в качестве юридического лица | |  | | |
|  | | Адрес места жительства (регистрации) физического лица/ адрес местонахождения юридического лица | |  | | |
|  | | Адрес электронной почты для направления уведомлений (e-mail) | |  | | |
|  | | Контактный телефон | |  | | |
| **Держатель Еврооблигаций является иностранной структурой, относящейся к схемам коллективного инвестирования** | | | | | | |
|  | | Возможные значения | | * ДА * НЕТ | | |
|  | Перечень прилагаемых документов: | | | |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (наименование/ФИО) | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (подпись) | | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (дата) | |

Приложение 2.1

Уведомление

о направлении сведений (документов), необходимых для удержания налога/

Notification of information (documents) required for tax withholding

Направляю НКО АО НРД документы для удержания налога/ We hereby submit the following documents to NSD for tax withholding purposes:

|  |  |  |
| --- | --- | --- |
|  | ISIN код Еврооблигаций/ ISIN for Eurobond |  |
|  | Вид выплаты по Еврооблигациям/ Type of payment on Eurobond | * Купонный (процентный) доход/ Coupon (interest) yield * Номинальная стоимость/ Face value * Частичная номинальная стоимость/ Partial face value |
|  | Дата фиксации/ Record date |  |
|  | Дата выплаты/ Payout date |  |
|  | Количество Еврооблигаций (в штуках)[[10]](#footnote-10)/ Number of Eurobonds (in units of security)[[11]](#footnote-11) |  |
|  | Полное наименование иностранного депозитария, которому открыт счет депо иностранного номинального держателя в НКО АО НРД и который предоставил в НКО АО НРД сведения о Держателе Еврооблигаций / Full name of the foreign depository holding a foreign nominee securities account with NSD and who has provided NSD with information on the Holder |  |
|  | Полное наименование и адрес иностранного депозитария, которое предоставляет в НКО АО НРД документы в соответствии с Уведомлением (если применимо)/ Full name and address of the foreign depositorywhich provides documents to the NSD in accordance with the Notification (if applicable) |  |
| **Сведения, позволяющие идентифицировать Держателя Еврооблигаций / Information to identify the Holder** | | |
|  | Полное наименование/ФИО Держателя Еврооблигаций / Full name / name, surname of the Holder |  |
|  | Наименование документа, удостоверяющего личность физического лица/регистрационного документа юридического лица/ Identity document of the natural person / incorporation records of the legal entity |  |
|  | Серия и/или номер документа, удостоверяющего личность физического лица/регистрационный номер юридического лица/ Series and / or number of the identity document of the natural person / registration number of the legal entity |  |
|  | Дата выдачи документа, удостоверяющего личность физического лица/дата регистрации в качестве юридического лица/ Date of issue of the identity document of the natural person / date of registration as a legal entity |  |
|  | Адрес места жительства (регистрации) физического лица/ адрес местонахождения юридического лица/ Registered address of the natural person/registered address of the legal entity |  |
|  | Адрес электронной почты для направления уведомлений (e-mail)/ Email address for notifications |  |
|  | Контактный телефон/ Telephone number |  |
| **Держатель Еврооблигаций является иностранной структурой, относящейся к схемам коллективного инвестирования / Indication of a foreign structure which relates to the collective investment  schemes** | | |
|  | Возможные значения/ Possible answers | * ДА/YES * НЕТ/NO |

Перечень прилагаемых документов / List of attached documents:

В случае каких-либо расхождений между русской и английской версиями, текст на русском языке имеет преимущественную силу/In case of any discrepancies between the Russian and English versions, the Russian version shall prevail.

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (должность/ФИО)/(position/full name) | ­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (подпись)/(signed) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (дата)/(date) |

Приложение 3

Заявление

о перечислении денежных средств по Еврооблигациям

Прошу НКО АО НРД перечислить денежные средства в рублях по Еврооблигациям:

|  |  |  |
| --- | --- | --- |
|  | ISIN код Еврооблигаций |  |
|  | Вид выплаты по Еврооблигациям | * Купонный (процентный) доход * Номинальная стоимость * Частичная номинальная стоимость |
|  | Дата фиксации |  |
|  | Дата выплаты |  |
|  | Количество Еврооблигаций (в штуках)[[12]](#footnote-12) |  |
| **Сведения, позволяющие идентифицировать Держателя** **Еврооблигаций** | | |
|  | Тип Держателя Еврооблигаций | * владелец ценных бумаг * лицо, осуществляющее права по ценным бумагам |
|  | Признак лица, имеющего право на получение выплат по ценным бумагам | * физическое лицо * юридическое лицо * иностранная структура, без образования юридического лица |
|  | Полное (краткое) наименование/ФИО Держателя Еврооблигаций |  |
|  | Наименование документа, удостоверяющего личность физического лица/регистрационного документа юридического лица |  |
|  | Серия и/или номер документа, удостоверяющего личность физического лица/регистрационный номер юридического лица |  |
|  | Дата выдачи документа, удостоверяющего личность физического лица/дата регистрации в качестве юридического лица |  |
|  | Дата рождения Держателя - физического лица |  |
|  | Адрес места жительства (регистрации) физического лица/ адрес местонахождения юридического лица |  |
|  | Наименование страны регистрации (гражданства /подданства) Держателя Еврооблигаций |  |
|  | Адрес электронной почты для направления уведомлений (e-mail) |  |
|  | Контактный телефон |  |
| **Банковские реквизиты Держателя Еврооблигаций для перечисления выплат по Еврооблигациям**  *(указываются реквизиты счета в российских рублях в российском или иностранном банке)* | | |
|  | Наименование российского Банка Получателя  Банковский идентификационный код (БИК) банка Получателя (9 знаков)  Город российского Банка Получателя  Номер корреспондентского счета банка Получателя, открытый в подразделении Банка России (20 знаков)  ИНН получателя средств, присвоенный российскими налоговыми органами (10 знаков для ЮЛ или 12 знаков для ФЛ)  *\* В случае, если ИНН не присвоен российскими налоговыми органами, то реквизит «ИНН получателя» заполняется нулями (10 знаков для ЮЛ или 12 знаков для ФЛ)*  Наименование Получателя (в соответствии с Уставом)\*  *\* В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается наименование иностранного банка*  Счет получателя (корр/с или р/с Получателя)\*  *\* В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается корреспондентский счет, открытый иностранному банку в российском банке* |  |
| **Ссылка на официальный сайт в информационно-телекоммуникационной сети «Интернет» уполномоченного органа, выдавшего лицензию (разрешение) либо включившего Иностранный депозитарий в перечень (реестр) организаций, уполномоченных осуществлять учет и переход прав на ценные бумаги**  *(повторяющийся блок для каждого Иностранного депозитария)* | | |
|  | Полное наименование Иностранного депозитария |  |
|  | Ссылка на страницу официального сайта уполномоченного органа |  |
| **При предоставлении документов, идентифицирующих Держателя Еврооблигаций, в порядке, предусмотренном пунктом 2.7 Перечня** | | |
|  | Документы, идентифицирующие Держателя Еврооблигаций, предоставлены в НРД менее 1 (одного) года назад, изменения в указанных документах (в том числе в соответствующих Анкетах) отсутствуют | * ДА |
| **Держатель Еврооблигаций является иностранной структурой, относящейся к схемам коллективного инвестирования** | | |
|  | Возможные значения | * ДА * НЕТ |
| **При предоставлении Держателем Еврооблигаций документов до вступления в силу изменений в Приказ** | | |
|  | Документы для выплаты были предоставлены в НРД до вступления в силу изменений в Приказ | * ДА |

Перечень прилагаемых документов:

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (должность/ФИО) | ­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (подпись) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (дата)[[13]](#footnote-13) |

Приложение 3.1

Заявление о перечислении денежных средств по Еврооблигациям/

Application for the transfer of proceeds on Eurobonds

Прошу НКО АО НРД перечислить денежные средства в рублях по Еврооблигациям РФ/We hereby request NSD to transfer proceeds in Russian roubles on the Russian Eurobonds:

|  |  |  |
| --- | --- | --- |
|  | ISIN код Еврооблигаций/ ISIN for Eurobond |  |
|  | Вид выплаты по Еврооблигациям/ Type of payment on Eurobond | * Купонный (процентный) доход/ Coupon (interest) yield * Номинальная стоимость/ Face value * Частичная номинальная стоимость/ Partial face value |
|  | Дата фиксации/ Record date |  |
|  | Дата выплаты/ Payout date |  |
|  | Количество Еврооблигаций (в штуках)[[14]](#footnote-14)/ Number of Eurobonds (in units of security)[[15]](#footnote-15) |  |
| **Сведения, позволяющие идентифицировать Держателя Еврооблигаций** | | |
|  | Тип Держателя Еврооблигаций /Holder type | * владелец по ценным бумагам/   security owner   * лицо, осуществляющее права по ценным бумагам/   the person exercising the rights to the securities |
|  | Признак лица, имеющего право на получение выплат по ценным бумагам/  Classification of the person entitled to receive paymеnt | * физическое лицо/ an individual; * юридическое лицо/ a legal entity; * иностранная структура, без образования юридического лица/ an unincorporated foreign entity |
|  | Полное (краткое) наименование/ФИО Держателя Еврооблигаций / Full (short) name/name, surname of the Holder |  |
|  | Наименование документа, удостоверяющего личность физического лица/регистрационного документа юридического лица/ Identity document of the natural person / incorporation records of the legal entity |  |
|  | Серия и/или номер документа, удостоверяющего личность физического лица/регистрационный номер юридического лица/ Series and / or number of the identity document of the natural person / registration number of the legal entity |  |
|  | Дата выдачи документа, удостоверяющего личность физического лица/дата регистрации в качестве юридического лица/ Date of issue of the identity document of the natural person / date of registration as a legal entity |  |
|  | Дата рождения Держателя - физического лица/ Date of birth (for the Holder - the individual) |  |
|  | Адрес места жительства (регистрации) физического лица/ адрес местонахождения юридического лица/ Registered address of the natural person/registered address of the legal entity |  |
|  | Наименование страны регистрации (гражданства /подданства) Держателя Еврооблигаций/ Country of registration (citizenship/nationality) of the Holder |  |
|  | Адрес электронной почты для направления уведомлений (e-mail)/  Email address for notifications |  |
|  | Контактный телефон/Contact phone number |  |
| **Банковские реквизиты Держателя Еврооблигаций для перечисления выплат по Еврооблигациям**/  **Bank details of the Holder of Eurobonds for the transfer of proceeds on Eurobonds**  *(указываются реквизиты счета в российских рублях в российском или иностранном банке)*/  *(RUB account details with a Russian or foreign bank)* | | |
|  | Наименование российского Банка Получателя/ Name of Russian recipient Bank  Банковский идентификационный код (БИК) банка Получателя (9 знаков)/ Bank Identification Code (BIC) of Bank recipient (9 digit number)  Город российского Банка Получателя/ City of the Russian Bank recipient  Номер корреспондентского счета банка Получателя, открытый в подразделении Банка России (20 знаков)/ Correpondent account number of Bank recipient (20 digit number)  ИНН получателя средств, присвоенный российскими налоговыми органами (10 знаков для ЮЛ или 12 знаков для ФЛ)/ INN of recipient (Russain tax identification number - 10 digit number for legal enteties and 12 digit number for individuals)  *\* В случае, если ИНН не присвоен российскими налоговыми органами, то реквизит «ИНН получателя» заполняется нулями (10 знаков для ЮЛ или 12 знаков для ФЛ)/ if the INN is not assigned by the Russian tax authorities, then the INN requisite is filled in with zeros (10 zeros for legal entities or 12 zeros for individuals)*  Наименование Получателя (в соответствии с Уставом)\*/Name of the recipient (in accordance with the Charter)\*  \* *В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается наименование иностранного банка/ If the person entitled to receive the payment has an account opened in a foreign bank, then the name of the foreign bank shall be indicated.*  Счет получателя (корр/с или р/с Получателя)\*/ Recipient account (correspondent account or current account) \*  *\* В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается корреспондентский счет, открытый иностранному банку в российском банке/ If the person entitled to receive the payment has an account opened in a foreign bank, then the correspondent account opened for the foreign bank in a Russian bank shall be indicated.* |  |
| **Ссылка на официальный сайт в информационно-телекоммуникационной сети «Интернет» уполномоченного органа, выдавшего лицензию (разрешение) либо включившего Иностранный депозитарий в перечень (реестр) организаций, уполномоченных осуществлять учет и переход прав на ценные бумаги**/  **Link to the official website of the authorized body that issued the license (permit) or included the International Securities Depository in the list (register) of organizations authorized to keep record of and transfer the ownership to securities**  *(повторяющийся блок для каждого Иностранного депозитария)*/  *(Completed individually for each International Securities Depository)* | | |
|  | Полное наименование Иностранного депозитария/  Full name of the International Securities Depository |  |
|  | Ссылка на страницу официального сайта уполномоченного органа/  Link to the official website of the competent authority |  |
| **При предоставлении документов, идентифицирующих Держателя Еврооблигаций, в порядке, предусмотренном пунктом 2.7 Перечня/**  **If documents identifying the Holder are provided in the manner prescribed in paragraph 2.7 of the List** | | |
|  | Документы, идентифицирующие Держателя Еврооблигаций, предоставлены в НРД менее 1 (одного) года назад, изменения в указанных документах (в том числе в соответствующих Анкетах) отсутствуют/documents identifying the Holder were submitted to NSD less than 1 (one) year ago, and no changes have occurred (including the relevant Details Forms) | * ДА/ YES |
| **Держатель является иностранной структурой, относящейся к схемам коллективного инвестирования/** The Нolder is a foreign structure which relates to the collective investment schemes | | |
|  | Возможные значения/Possible answers | * ДА/ YES * НЕТ/ NO |
| **При предоставлении Держателем Еврооблигаций документов до вступления в силу изменений в Приказ/ If the documents were submitted by the Holder before the amendments to the Order No. 245 of the Ministry of Finance of Russia cаme into effect** | | |
| 22. | Документы для выплаты были предоставлены в НРД до вступления в силу изменений в Приказ/**the documents were submitted before the amendments to Order No. 245 of the Ministry of Finance of Russia cаme into effect** | * ДА/ YES |

Перечень прилагаемых документов /list of attached documents:

В случае каких-либо расхождений между русской и английской версиями, текст на русском языке имеет преимущественную силу/In case of any discrepancies between the Russian and English versions, the Russian version shall prevail.

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (должность/ФИО)/(position/full name) | ­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (подпись)/(signed) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (дата)/(date)[[16]](#footnote-16) |

Приложение 4

|  |  |
| --- | --- |
| Настоящим \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (полное наименование/ФИО держателя еврооблигаций Российской Федерации)  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (документ о регистрации юридического лица/документ, удостоверяющий личность физического лица  в соответствии с личным законом держателя еврооблигаций Российской Федерации,)  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (государство, определяющее личный закон держателя еврооблигаций Российской Федерации)  подтверждает, что соглашается принять исполнение обязательств по принадлежащим ему государственным ценным бумагам Российской Федерации, номинальная стоимость которых указана в иностранной валюте (ISIN\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, дата фиксации \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, далее – еврооблигации Российской Федерации), совершенное в рублях Российской Федерации, а также признает и заверяет, что:   * перечисление в его пользу в счет выплаты   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ купонного дохода / погашения номинальной стоимости (части номинальной стоимости)  по еврооблигациям Российской Федерации в рублях Российской Федерации является надлежащим и полным исполнением обязательств по указанным еврооблигация Российской Федерации;   * не имеет и не будет иметь в дальнейшем каких-либо претензий к Российской Федерации, если исполнение обязательств по принадлежащим ему еврооблигациям Российской Федерации будет произведено в рублях Российской Федерации в порядке и на условиях, предусмотренных Указом Президента Российской Федерации «О временном порядке исполнения перед резидентами и иностранными кредиторами государственных долговых обязательств Российской Федерации, выраженных в государственных ценных бумагах, номинальная стоимость которых указана в иностранной валюте» от 22 июня 2022 г. № 394 и принятыми в соответствии с ним актами Правительства Российской Федерации, решениями и официальными разъяснениями Министерства финансов Российской Федерации и (или) Центрального банка Российской Федерации.   В случае каких-либо расхождений между русской и английской версиями, текст на русском языке имеет преимущественную силу.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ «\_\_\_\_\_»\_\_\_\_\_\_\_\_\_\_\_\_ 20\_\_\_г.  (Подпись и печать (при наличии)) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (full name of the holder of Eurobonds of the Russian Federation)  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (legal entity registration document / ID document of an individualin accordance with the law of the jurisdiction of the holder of Eurobonds of the Russian Federation,)  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (the state that determines the law of the jurisdiction of the holder of Eurobonds of the Russian Federation)  hereby confirms the consent to accept the fulfilment of obligations on government securities of the Russian Federation, the nominal value of which is indicated in foreign currency (ISIN\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, record date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, hereinafter referred to as Eurobonds of the Russian Federation), in roubles of the Russian Federation, and also acknowledges and certifies that:   * transfer of a payment of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ coupon income / redemption of the nominal value (part of the nominal value) on Eurobonds of the Russian Federation in roubles of the Russian Federation shall be deemed as the proper and complete fulfilment of obligations on the specified Eurobonds of the Russian Federation; * does not have and will not have in the future any claims against the Russian Federation, if the fulfilment of obligations on the Eurobonds of the Russian Federation is made in roubles of the Russian Federation in the manner and on the conditions provided for by the Decree of the President of the Russian Federation No. 394 dated 22 June 2022  “On the temporary procedure for executing the obligations to residents and foreign holders of the Russian Federations foreign currency denominated sovereign debt securities” and acts of the Government of the Russian Federation adopted in accordance with it, decisions and official explanations of the Ministry of Finance of the Russian Federation and (or) the Central Bank of the Russian Federation.   In case of any discrepancies between the Russian and English versions, the Russian version shall prevail.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ «\_\_\_\_\_»\_\_\_\_\_\_\_\_\_\_\_\_ 20\_\_\_г.  (Signature and seal (if any)) |

|  |  |  |
| --- | --- | --- |
| **Приложение 5**  **Форма AA116**  **АНКЕТА ФИЗИЧЕСКОГО ЛИЦА** | | |
| 1. **Общие сведения** | | |
| Фамилия, имя, отчество *(при наличии последнего)* | Фамилия:  Имя:  Отчество: | |
| Дата рождения | Дата (ДД.ММ.ГГГГ): | |
| Пол | * Мужской * Женский | |
| Гражданство  *(указать все страны, гражданином которых Вы являетесь)* | Гражданство:  *Повторяющийся блок для гражданства каждого государства* | |
| Реквизиты документа, удостоверяющего личность | Наименование документа:  Серия (при наличии) и номер:  Дата выдачи:  Наименование органа, выдавшего документ:  Код подразделения (если имеется): | |
| Данные документа, подтверждающего право иностранного гражданина или лица без гражданства на пребывание (проживание) в Российской Федерации (для иностранного гражданина и лица без гражданства) | Наименование документа:  Серия (если имеется) и номер:  Дата начала срока действия права пребывания (проживания):  Дата окончания срока действия права пребывания (проживания): | |
| Вид на жительство  *(указать все страны, в которых Вы имеете вид на жительство (при наличии)* | Вид на жительство:  *Повторяющийся блок для каждого вида на жительство* | |
| Адрес места регистрации | Страна:  Регион:  Населенный пункт (город и т.д.):  Наименование улицы:  Номер дома (владения):  Номер корпуса (строения):  Номер квартиры: | |
| Адрес места пребывания (фактический адрес проживания) | Страна:  Регион:  Населенный пункт (город и т.д.):  Наименование улицы:  Номер дома (владения):  Номер корпуса (строения):  Номер квартиры: | |
| ИНН *(при наличии)* |  | |
| TIN *(при наличии)*  ID-код соцобеспечения *(если иностранная юрисдикция не присваивает налогоплательщикам TIN)* | Юрисдикция: TIN:  *Повторяющийся блок для каждой юрисдикции*  Юрисдикция: ID:  *Повторяющийся блок для каждой юрисдикции* | |
| СНИЛС *(обязательно для граждан РФ)* |  | |
| Контактная информация (*при наличии*) | Номер телефона  Номер факса  Адрес электронной почты  Почтовый адрес | |
| **2. Сведения о принадлежности КЛИЕНТА к некоторым категориям лиц** | | |
| 1. Являетесь ли Вы 1) иностранным публичным должностным лицом\*; либо 2) должностным лицом публичных международных организаций\*\*; либо 3) лицом, замещающим (занимающим) государственные должности Российской Федерации, должности членов Совета директоров Центрального банка Российской Федерации, должности федеральной государственной службы, назначение на которые и освобождение от которых осуществляются Президентом Российской Федерации или Правительством Российской Федерации, должности в Центральном банке Российской Федерации, государственных корпорациях и иных организациях, созданных Российской Федерацией на основании федеральных законов, включенные в перечни должностей, определяемые Президентом Российской Федерации?  **(НЕТ/ДА)**  Если ответ на предыдущий вопрос «ДА», укажите занимаемую должность, наименование и адрес работодателя: заполните блок 4 настоящей Анкеты.  2. Являетесь ли Вы родственником категорий лиц, указанных в п. 1 (супругом/супругой или близким родственником (родственниками по прямой восходящей и нисходящей линии (родителями и детьми, дедушкой, бабушкой и внуками), полнородным и неполнородным (имеющими общих отца или мать) братьями и сестрами, усыновителями и усыновленными)?  **(НЕТ/ДА)**  Если ответ на предыдущий вопрос «ДА», укажите степень родства либо статус (супруг или супруга) и должность, ФИО, родственника и занимаемую им должность, а также наименование и адрес работодателя:  3. Осуществляете ли Вы операции и/или сделки с денежными средствами или иным имуществом от имени категорий лиц, указанных в п. 1-2?  **(НЕТ/ДА)**  Если ответ на предыдущий вопрос «ДА», укажите от имени какого лица Вы действуете:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \* *Любое назначаемое или избираемое лицо, занимающее какую-либо должность в законодательном, исполнительном, административном или судебном органе иностранного государства, и любое лицо, выполняющее какую-либо публичную функцию для иностранного государства, в том числе для публичного ведомства или публичного предприятия.*  *\*\* Международный гражданский служащий или любое лицо, которое уполномочено такой организацией действовать от ее имени (например, такой как: ООН, Международная морская организация, Совет Европы, институты ЕС, ОБСЕ, Организация американских государств, НАТО и т.д.);* | | |
| **3. Сведения о наличии/отсутствии у КЛИЕНТА бенефициарного владельца, представителя, выгодоприобретателя** | | |
| Наличие физического лица, которое в конечном счете прямо или косвенно (через третьих лиц) имеет возможность контролировать Ваши действия  *При ответе «ДА» следует заполнить и предоставить Анкету по форме АА106.* | | * ДА * НЕТ |
| Планирует ли проводить/проводит ли Клиент операции к выгоде другого лица, в т.ч. в рамках договоров комиссии, агентских договоров, договоров поручения, доверительного управления и др. и/или при осуществлении расчетов за третье лицо?  *При ответе «ДА» следует заполнить и предоставить Анкету выгодоприобретателя. Если выгодоприобретателей несколько, то форма заполняется на каждого выгодоприобретателя отдельно.* | | * ДА * НЕТ |
| Наличие лица, которое является Вашим Представителем при обслуживании в НКО АО НРД.  ***При ответе «ДА» следует заполнить и предоставить Анкеты по форме АА106*** | | * ДА * НЕТ |
| **4. Сведения об источниках происхождения денежных средств и (или) иного имущества КЛИЕНТА\***  *\* заполняется в случае, если Клиент-физическое лицо является иностранным публичным должностным лицом (ИПДЛ), а также в случаях, установленных действующих законодательством и нормативными актами Банка России, по отдельному запросу.* | | |
| Укажите источники: | | |
| **5. Дополнительные сведения о КЛИЕНТЕ - физическом лице \***  *\* заполняется в случаях, установленных действующих законодательством и нормативными актами Банка России по отдельному запросу.* | | |
| Цель установления и предполагаемый характер отношений с НКО АО НРД |  | |
| Цели финансово-хозяйственной деятельности |  | |
| Финансовое положение |  | |
|  |  | |
| Деловая репутация |  | |
| **6. Дата заполнения сведений** |  | |

Настоящим подтверждаю полноту и достоверность данных, указанных в настоящей анкете.

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (ФИО) | ­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (подпись) |  |

|  |  |  |
| --- | --- | --- |
| **Приложение 5.1**  **Форма AA116/Details Form AA116**  **АНКЕТА ФИЗИЧЕСКОГО ЛИЦА/INDIVIDUAL'S DETAILS FORM** | | |
| 1. **Общие сведения/General information** | | |
| Фамилия, имя, отчество *(при наличии последнего)/*Surname, given name and middle name *(if any)* | Фамилия/Surname:  Имя/Name:  Отчество/Patronymic (if any): | |
| Дата/ Date of birth | Дата (ДД.ММ.ГГГГ)/Date (DD.MM.YYYY): | |
| Пол/Sex | * Мужской/Male * Женский/Female | |
| Гражданство/Citizenship  *(указать все страны, гражданином которых Вы являетесь)/* *(list all the countries you are a citizen of)* | Гражданство/Citizenship:  *Повторяющийся блок для гражданства каждого государства/For each country citizenship* | |
| Реквизиты документа, удостоверяющего личность/ID document details: | Наименование документа/Document type:  Серия (при наличии) и номер/Document series (if any) and number:  Дата выдачи/Date of issue:  Наименование органа, выдавшего документ/Issuing authority:  Код подразделения (если имеется)/ Subdivision code (if any): | |
| Данные документа, подтверждающего право иностранного гражданина или лица без гражданства на пребывание (проживание) в Российской Федерации (для иностранного гражданина и лица без гражданства)/ 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) | Наименование документа/Document type:  Серия (если имеется) и номер/Document series (if any) and number:  Дата начала срока действия права пребывания (проживания)/Effective date of the right to stay (reside):  Дата окончания срока действия права пребывания (проживания)/Expiry date of the right to stay (reside): | |
| Вид на жительство/Residence permit  *(указать все страны, в которых Вы имеете вид на жительство (при наличии)/(list all countries where you have a residence permit (if any)* | Вид на жительство/Residence permit:  *Повторяющийся блок для каждого вида на жительство/For each residence permit* | |
| Адрес места регистрации/Place of registration | Страна/Country:  Регион/Region:  Населенный пункт (город и т.д.)/City (town, etc.):  Наименование улицы/Street name:  Номер дома (владения)/House number:  Номер корпуса (строения)/Building number:  Номер квартиры/Apartment number: | |
| Адрес места пребывания (фактический адрес проживания)/Place of stay address | Страна/Country:  Регион/Region:  Населенный пункт (город и т.д.)/ City (town, etc.):  Наименование улицы/Street name:  Номер дома (владения)/House number:  Номер корпуса (строения)/Building number:  Номер квартиры/Apartment numder: | |
| ИНН *(при наличии)/*Taxpayer Number (INN) *(if any)* |  | |
| TIN *(при наличии)/*TIN *(if any)*  ID-код соцобеспечения *(если иностранная юрисдикция не присваивает налогоплательщикам TIN)/* Social security ID number *(if the foreign jurisdiction does not assign TINs to taxpayers)* | Юрисдикция/Jurisdiction: TIN:  *Повторяющийся блок для каждой юрисдикции*  Юрисдикция/Jurisdiction: ID:  *Повторяющийся блок для каждой юрисдикции/* *For each jurisdiction* | |
| СНИЛС *(обязательно для граждан РФ)/* SNILS *(required for Russian citizens)* |  | |
| Контактная информация (*при наличии*)/ Contact details *(if available)* | Номер телефона/Telephone  Номер факса/Fax  Адрес электронной почты/E-mail  Почтовый адрес/Mailing address | |
| **2. Сведения о принадлежности КЛИЕНТА к некоторым категориям лиц/** **Identification of the CLIENT as a special category person** | | |
| 1. Являетесь ли Вы 1) иностранным публичным должностным лицом\*; либо 2) должностным лицом публичных международных организаций\*\*; либо 3) лицом, замещающим (занимающим) государственные должности Российской Федерации, должности членов Совета директоров Центрального банка Российской Федерации, должности федеральной государственной службы, назначение на которые и освобождение от которых осуществляются Президентом Российской Федерации или Правительством Российской Федерации, должности в Центральном банке Российской Федерации, государственных корпорациях и иных организациях, созданных Российской Федерацией на основании федеральных законов, включенные в перечни должностей, определяемые Президентом Российской Федерации?/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?  **(НЕТ/ДА)**  **(NO/YES)**  Если ответ на предыдущий вопрос «ДА», укажите занимаемую должность, наименование и адрес работодателя: заполните блок 4 настоящей Анкеты/If you tick “YES” to the previous question, please indicate state the position held and the name and address of the employer: complete section 4 of this form.  2. Являетесь ли Вы родственником категорий лиц, указанных в п. 1 (супругом/супругой или близким родственником (родственниками по прямой восходящей и нисходящей линии (родителями и детьми, дедушкой, бабушкой и внуками), полнородным и неполнородным (имеющими общих отца или мать) братьями и сестрами, усыновителями и усыновленными)?/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)?  **(НЕТ/ДА) (NO/YES)**  Если ответ на предыдущий вопрос «ДА», укажите степень родства либо статус (супруг или супруга) и должность, ФИО, родственника и занимаемую им должность, а также наименование и адрес работодателя/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. Осуществляете ли Вы операции и/или сделки с денежными средствами или иным имуществом от имени категорий лиц, указанных в п. 1-2?/Do you perform transactions and/or deal with funds or other assets on behalf of the categories of persons mentioned in paragraphs 1-2?  **(НЕТ/ДА) (NO/YES)**  Если ответ на предыдущий вопрос «ДА», укажите от имени какого лица Вы действуете:/If you tick “YES” to the previous question, please indicate the person on whose behalf you are acting:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \* *Любое назначаемое или избираемое лицо, занимающее какую-либо должность в законодательном, исполнительном, административном или судебном органе иностранного государства, и любое лицо, выполняющее какую-либо публичную функцию для иностранного государства, в том числе для публичного ведомства или публичного предприятия/\*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.*  *\*\* Международный гражданский служащий или любое лицо, которое уполномочено такой организацией действовать от ее имени (например, такой как: ООН, Международная морская организация, Совет Европы, институты ЕС, ОБСЕ, Организация американских государств, НАТО и т.д.)/\*\* 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. Сведения о наличии/отсутствии у КЛИЕНТА бенефициарного владельца, представителя, выгодоприобретателя/Information on whether the CLIENT has a beneficial owner, representative, or a beneficiary** | | |
| Наличие физического лица, которое в конечном счете прямо или косвенно (через третьих лиц) имеет возможность контролировать Ваши действия/Do you have an individual who is ultimately controlling your actions, either directly or indirectly (through a third party)?  *При ответе «ДА» следует заполнить и предоставить Анкету по форме АА106/If you tick “YES”, please complete and submit the Details Form АА106* | | * ДА/YES * НЕТ/NO |
| Планирует ли проводить/проводит ли Клиент операции к выгоде другого лица, в т.ч. в рамках договоров комиссии, агентских договоров, договоров поручения, доверительного управления и др. и/или при осуществлении расчетов за третье лицо?/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?  *При ответе «ДА» следует заполнить и предоставить Анкету выгодоприобретателя. Если выгодоприобретателей несколько, то форма заполняется на каждого выгодоприобретателя отдельно/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.* | | * ДА/YES * НЕТ/NO |
| Наличие лица, которое является Вашим Представителем при обслуживании в НКО АО НРД/Do you have a Representative when you are serviced by NSD?  ***При ответе «ДА» следует заполнить и предоставить Анкеты по форме АА106/If you tick “YES”, please complete and submit the Details Form АА106*** | | * ДА/YES * НЕТ/NO |
| **4. Сведения об источниках происхождения денежных средств и (или) иного имущества КЛИЕНТА\*/Information on the source of funds and/or other assets of the CLIENT\***  *\* заполняется в случае, если Клиент-физическое лицо является иностранным публичным должностным лицом (ИПДЛ), а также в случаях, установленных действующих законодательством и нормативными актами Банка России, по отдельному запросу/\* 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.* | | |
| Укажите источники/Please indicate the sources: | | |
| **5. Дополнительные сведения о КЛИЕНТЕ - физическом лице \*/Further Individual Client details\***  *\* заполняется в случаях, установленных действующих законодательством и нормативными актами Банка России по отдельному запросу/\*to be completed where required by applicable laws and Bank of Russia regulations upon request.* | | |
| Цель установления и предполагаемый характер отношений с НКО АО НРД/Purpose and intended nature of the relationship with NSD |  | |
| Цели финансово-хозяйственной деятельности/Business and financial activity purposes |  | |
| Финансовое положение/Financial position |  | |
|  |  | |
| Деловая репутация/Business reputation |  | |
| **6. Дата заполнения сведений/Details Form completion date** |  | |

Настоящим подтверждаю полноту и достоверность данных, указанных в настоящей анкете/I hereby acknowledge that data on this form is correct and complete.

В случае каких-либо расхождений между русской и английской версиями, текст на русском языке имеет преимущественную силу/In case of any discrepancies between the Russian and English versions, the Russian version shall prevail.

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (ФИО)/(Name, surname) | ­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (подпись)/(signed) |  |

1. A person's signature may be authenticated by a competent authority (person) of a foreign state (including a notary public) or a notary public of the Russian Federation, or, provided they are signed in the presence of an authorised employee of the CSD, if such documents are executed in the Russian Federation. [↑](#footnote-ref-1)
2. To confirm this criterion, any of the following documents should be provided: a letter from the parent company with the specified information (original with a notarized power of attorney attached, if the letter is signed by a representative under a power of attorney); statements (extract from the statements) of the group of companies with the specified information (notarized copy/copy certified by the sole executive body). [↑](#footnote-ref-2)
3. The requirement stipulated in paragraph 2.3 of the List does not apply. [↑](#footnote-ref-3)
4. The requirement stipulated in paragraph 2.3 of the List does not apply. [↑](#footnote-ref-4)
5. In order to make a favourable decision, NSD may use the documents submitted earlier and containing the required information. [↑](#footnote-ref-5)
6. Any of the following documents must be submitted to confirm this criterion: a letter from the parent company containing the needed information (original with a notarized power of attorney attached, if the letter is signed by a representative under a power of attorney); statements (excerpt from the statements) of a group of companies containing the needed information (notarized copy/copy certified by the sole executive body). [↑](#footnote-ref-6)
7. Any of the following documents may be submitted to confirm this criterion: a letter from a rating agency on assigning a rating to the International Securities Depository (notarized copy/ copy certified by the sole executive body); a letter indicating a link to the page of the rating agency's or International Securities Depository's website where information on assigning a rating to the International Securities Depository is available (original). [↑](#footnote-ref-7)
8. To confirm the above criterion, a letter may be submitted indicating a link to the page of the website of the international depository relating to international settlement and clearing organisations or central depositories of which the relevant depository is a client, where the relevant information is posted (original). [↑](#footnote-ref-8)
9. Для пересчета в штуки количества Еврооблигаций, выраженного в валюте по номинальной стоимости, можно разделить такое количество на номинальную стоимость одной Еврооблигации. [↑](#footnote-ref-9)
10. Для пересчета в штуки количества Еврооблигаций, выраженного в валюте по номинальной стоимости, можно разделить такое количество на номинальную стоимость одной Еврооблигации. [↑](#footnote-ref-10)
11. To convert the number of Eurobonds denominated in a currency at face value into units, you can divide such number by the face value of one Eurobond. [↑](#footnote-ref-11)
12. Для пересчета в штуки количества Еврооблигаций, выраженного в валюте по номинальной стоимости, можно разделить такое количество на номинальную стоимость одной Еврооблигации. [↑](#footnote-ref-12)
13. Указывается в случае предоставления Заявления о перечислении денежных средств по Еврооблигациям на бумажном носителе и исключается в случае его направления через СЭД НРД [↑](#footnote-ref-13)
14. Для пересчета в штуки количества Еврооблигаций, выраженного в валюте по номинальной стоимости, можно разделить такое количество на номинальную стоимость одной Еврооблигации. [↑](#footnote-ref-14)
15. To convert the number of Eurobonds denominated in a currency at face value into units, you can divide such number by the face value of one Eurobond. [↑](#footnote-ref-15)
16. Указывается в случае предоставления Заявления о перечислении денежных средств по Еврооблигациям на бумажном носителе и исключается в случае его направления через СЭД НРД/

    To be specified if the Application for transfer of proceeds on Eurobonds is submitted in hard copy and is not applicable if it is sent through NSD's EDI system [↑](#footnote-ref-16)