

## List of Documents to Be Submitted by Legal Entities to NSD

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## 1. Terms and Definitions

- 1.1. **"Details Form AA001"** shall mean a Legal Entity's Details Form to be submitted by the Client using the form prescribed by NSD (Form AA001), as set out in [Appendix 1](#) to this List.
- 1.2. **"Details Form AA101"** shall mean the details form entitled "Additional Details for Identification of a Legal Entity" to be submitted by the Client using the form prescribed by NSD (Form AA101), as set out in [Appendix 3](#) to this List.
- 1.3. **"Details Form AA106"** shall mean the details form entitled "Individual Beneficiary's (Beneficial Owner's) Details" to be submitted by the Client using the form prescribed by NSD (Form AA106), as set out in [Appendix 4](#) to this List.
- 1.4. **"Details Form AA107"** shall mean the details form entitled "Corporate Beneficiary's Details" to be submitted by the Client using the form prescribed by NSD (Form AA107), as set out in [Appendix 5](#) to this List.
- 1.5. **"Nominee Account Beneficiary's Details Form"** shall mean a details form of a legal entity / individual / individual entrepreneur, which is to be submitted by the Client (at the time of opening a nominee account) using the form prescribed by NSD, as set out in [Appendix 6/Appendix 7/Appendix 8](#) to this List, respectively.
- 1.6. **"FATCA/CRS Questionnaire"** shall mean the Questionnaire for Identification of Foreign Taxpayers to be submitted by the Client, which is available on Moscow Exchange's web site at <http://moex.com/ru/fatca> (Russian version) and <http://moex.com/en/fatca> (English version).
- 1.7. **"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 5 October 1961 (the Hague Convention) and that is affixed by a competent authority of the state in which the relevant document is issued.
- 1.8. **"Document Excerpt"** shall mean a document portion in hard copy that is certified by a Client's authorized person and bears the Client's corporate seal (if any).
- 1.9. **"EDI Agreement"** shall mean the Electronic Data Interchange Agreement between NSD and the Client.
- 1.10. **"Authorized Representative's Details Form"** shall mean the details form entitled "Authorized Representative's Details Form" to be submitted by the Client using the form prescribed by NSD (Form AA003), as set out in [Appendix 2](#) to this List.
- 1.11. **"Client"** shall mean a legal entity that intends to enter into / has entered into an Agreement with NSD.
- 1.12. **"Copy"** shall mean a document that reproduces in full an Original / Notarized Copy and its appearance, in hard copy, that is certified by a Client's authorized person and bears the Client's corporate seal (if any), or a scanned copy certified by the EQDS of a Client's authorized person and submitted via the User Account.

A scanned copy of a document may only be submitted if any changes are made to the document earlier submitted in hard copy. A scanned copy to be made shall be a copy of a document issued in accordance with the requirements set out in this List.

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- 1.13. **"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 Client to communicate with the registration authority.
- 1.14. **"User Account"** shall mean the User Account IT System, 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.
- 1.15. **"Russian Non-residents"** shall mean legal entities that meet the criteria set out in paragraph 7 of Clause 1 of Article 1 of Federal Law No. 173-FZ dated 10 December 2003 "On Foreign Exchange Regulation and Foreign Exchange Control".
- 1.16. **"Notarized Excerpt"** shall mean a copy of a document portion which faithfulness to the Original is attested by a notary public in accordance with the applicable Russian laws.
- 1.17. **"Notarized Copy"** shall mean a copy of a document which faithfulness to the Original is attested by a notary public in accordance with the applicable Russian laws.
- 1.18. **"NSD"** shall mean National Settlement Depository.
- 1.19. **"Original"** shall mean an original document in hard copy that is signed by a Client's authorized person and bears the Client's corporate seal (if any), or a document/information in the form of an electronic file issued in the User Account and signed with the EQDS of a Client's authorized person.
- 1.20. **"AML/CFT/WMD Internal Control Rules"** shall mean NSD's Internal Control Rules on Anti-Money Laundering, Combating the Financing of Terrorism and Financing of the Proliferation of Weapons of Mass Destruction.
- 1.21. **"List"** shall mean this List of Documents to Be Submitted by Legal Entities to NSD.
- 1.22. **"EDI Rules"** shall mean NSD's Electronic Data Interchange Rules set out in Appendix 1 to the EDI Agreement.
- 1.23. **"Russian Residents"** shall mean legal entities that meet the criteria set out in paragraph 6 of Clause 1 of Article 1 of Federal Law No. 173-FZ dated 10 December 2003 "On Foreign Exchange Regulation and Foreign Exchange Control".
- 1.24. **"EQDS"** shall mean an enhanced qualified digital signature.
- 1.25. Any other terms used in this List shall have the meanings given to them in the relevant Russian laws and in the EDI Rules.

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

- 2.1. If the Client and NSD already have an agreement, then, in order for the Client to open a new account under that agreement or for the purposes of entering into a new agreement, the Client shall not be required to re-submit the applicable set of documents (other than documents that replace those no longer valid, or documents to which any changes have been made, or documents that are referred to in this List but were not submitted to NSD earlier).

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- 2.2. To enable NSD to act as foreign exchange control agent and to implement the AML/CFT/WMD Internal Control Rules, or in any other cases stipulated by Russian laws or relevant agreements, the Client shall be required to provide any further information or documents as may be requested by NSD, including documents that support any information provided in Details Forms.
- 2.3. If the Client being a credit institution with the cancelled banking license is declared bankrupt, and an official receiver is appointed with respect to the Client, the Client shall be required to submit a Copy of the court ruling appointing the official receiver in the bankruptcy proceedings instituted against the Client, such Copy to be certified either by the court, or by a notary public, or by an authorized representative of the official receiver (or the Client shall be required to submit an Excerpt from the said court ruling, as certified by the court or by a notary public).
- 2.4. Official documents that evidence the legal status of the Client being a Russian Non-resident, as issued by competent authorities of the relevant foreign state, will only be accepted by NSD if they are duly legalized:
  - 2.4.1. 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
  - 2.4.2. for [Hague Convention](#) countries, by an Apostille.
- 2.5. Legalization of documents 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](#) signed in Minsk on 22 January 1993 (Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, Turkmenistan, Uzbekistan, or Ukraine).
- 2.6. Documents issued, either in full or in part, in a foreign language must be accompanied by their notarized translation into Russian, except for ID documents issued to an individual by a competent authority of the relevant foreign state, provided that:
  - the individual holds a document that supports his/her right to legitimately stay (reside) in the Russian Federation;
  - such documents are issued in more than one language, including Russian.
- 2.7. Foreign nationals or stateless persons who are Client's authorized representatives located in the Russian Federation, shall be required to submit to NSD the following documents in addition to their ID documents:
  - 2.7.1. a [Copy](#) of the document that supports his/her right to stay (reside) in the Russian Federation;
  - 2.7.2. a [Copy](#) of his/her migration card;
  - 2.7.3. information (in any form in writing) evidencing his/her address of stay in the Russian Federation and residence address outside the Russian Federation.

### **3. Documents to Be Submitted by Russian Residents**

For the purpose of entering into agreements, the documents listed below shall be submitted to NSD by any Russian Resident, other than federal public authorities of the Russian Federation; regional public authorities of the Russian Federation; and legal entities established in accordance with

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international or inter-governmental agreements (they shall submit documents the list and form of which are determined in accordance with the regulations that govern their establishment and legal status):

<b>Group I</b>	<p><b>Documents to be submitted for the purpose of entering into the following agreement types:</b></p> <ul style="list-style-type: none"> <li>– agreement for repository services;</li> <li>– agreement for repository's auxiliary services;</li> <li>– agreement for depository services in the course of a public offering of securities;</li> <li>– information services agreement;</li> <li>– electronic data interchange agreement;</li> <li>– electronic documents transit services agreement;</li> <li>– software license agreement;</li> <li>– confidentiality agreement;</li> <li>– agreement that governs the use of a digital signature for the purpose of electronic data interchange via NSD's EDI System;</li> <li>– LEI assignment and verification services agreement;</li> <li>– agreement for providing assistance in CFI allocation to non-Russian financial instruments;</li> <li>– services agreement for holding general meetings of bondholders;</li> <li>– SWIFT Service Bureau services agreement;</li> <li>– agreement that governs interaction with a UIT management company via the Centralized UIT Units Record Keeping System (CUU RKS);</li> <li>– agreement that governs interaction with a bondholder representative; and</li> <li>– other agreements that are not categorized as Group II or III agreements.</li> </ul>			
№	Document title	Permitted forms	Permitted submission methods	Notes
1.	<b>Agreement</b>	<a href="#">Original</a>	Hard copy	The Client needs to submit two (2) originals of the agreement or of a declaration of accession (where the Client unilaterally accedes to the relevant regulations / guidelines / rules / terms and conditions or any other similar document), signed by a Client's duly authorized officer and bearing the Client's corporate seal (if any)

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2.	<b>Details Form AA001</b>	<a href="#">Original</a>	Hard copy In electronic format	
3.	<b>Documents</b> that support the authority of the person acting on behalf of the Client without a power of attorney  <i>(such as minutes / decisions / resolutions to elect (appoint) the person)</i>	<a href="#">Original</a>	Hard copy	
		<a href="#">Notarized Copy</a> <a href="#">Notarized Excerpt</a> <a href="#">Document Excerpt</a>		
4.	<b>Power of attorney</b> issued in the name of a person authorized to sign documents on behalf of the Client	<a href="#">Original</a>	Hard copy In electronic format	A power of attorney may only be submitted in electronic format if the power of attorney authorizes to sign electronic documents in NSD's EDI System
		<a href="#">Notarized Copy</a>	Hard copy	
5.	<b>Power of attorney</b> issued in the name of a person authorized to submit documents to, and receive documents from, NSD	<a href="#">Original</a> <a href="#">Notarized Copy</a>	Hard copy	
<b>Group II</b>	Documents to be submitted for the purpose of entering into the following agreement types: <ul style="list-style-type: none"> <li>– securities account agreement (for an owner securities account, nominee securities account, trustee securities account, clearing securities account, or treasury securities account);</li> <li>– services agreement for the assignment of an identification number to a commercial paper issue / commercial paper program;</li> <li>– issuer account agreement;</li> <li>– paying agent services agreement (for payment of redemption proceeds and coupon income from bonds);</li> <li>– clearing services agreement; and</li> <li>– collateral management services agreement.</li> </ul>			
<b>№</b>	<b>Document title</b>	<b>Permitted forms</b>	<b>Permitted submission methods</b>	<b>Notes</b>

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<b>1.</b>	<b>Agreement</b>	<a href="#">Original</a>	Hard copy	The Client needs to submit two (2) originals of the agreement or of a declaration of accession (where the Client unilaterally accedes to the relevant regulations / guidelines / rules / terms and conditions or any other similar document), signed by a Client's duly authorized officer and bearing the Client's corporate seal (if any)
<b>2.</b>	<b>Details Form AA001</b>	<a href="#">Original</a>	Hard copy In electronic format	
<b>3.</b>	<b>Details Form AA101</b>	<a href="#">Original</a>	Hard copy In electronic format	
<b>4.</b>	<b>Details Form AA106</b>	<a href="#">Original</a>	Hard copy In electronic format	To be submitted if there is an individual beneficial owner and/or beneficiary whose details are provided in the Details Form AA101 (a separate Details Form AA106 has to be submitted for each individual beneficial owner and/or beneficiary)
<b>5.</b>	<b>Details Form AA107</b>	<a href="#">Original</a>	Hard copy	To be submitted if there is a corporate beneficiary whose details are provided in the Details Form AA101 (a separate Details Form AA107 has to be submitted for each corporate beneficiary)
		<a href="#">Copy</a>	In electronic format	

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6.	<b>FATCA/CRS Questionnaire</b>	<a href="#">Original</a>	<p>Hard copy</p> <p>with simultaneous delivery of a ZIP file by e-mail at <a href="mailto:FATCA.CRS@nsd.ru">FATCA.CRS@nsd.ru</a>, or simultaneous delivery of the FATCA/CRS Questionnaire on a magnetic media by courier service or special delivery service</p> <p>In electronic format (via channels provided for by the <a href="#">EDI Rules</a>, other than <a href="#">User Account</a>)</p>	<p>Do not need to be submitted:</p> <ul style="list-style-type: none"> <li>- by an issuer when entering into an issuer account agreement or a services agreement for the assignment of an identification number to a commercial paper issue / commercial paper program, provided that the issuer does not have any other contractual relationships with NSD which involve the opening of a securities account and/or bank account;</li> <li>- when an account is to be opened for a public or local authority acting on behalf of the Russian Federation, or a Russian region, or a municipality.</li> </ul>
7.	<b>Securities Account/Account Application</b> (in the form prescribed by NSD)	<a href="#">Original</a>	<p>Hard copy</p> <p>In electronic format</p>	To be submitted in the cases provided for by the agreement

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8.	<b>Client's constitutional documents</b> that meet the requirements of the applicable Russian laws (with amendments in force as at the date the documents are submitted to NSD)	<a href="#">Notarized Copy</a> Copy certified by the registration authority	Hard copy	A legal entity whose legal status and objectives are defined in an inter-state or inter-governmental agreement, or in any laws or other regulations, shall submit a Copy of such documents, which has to be certified by a legal entity's authorized person
		<a href="#">Copy</a> (including a Copy of a document received via the Bank of Russia/Federal Tax Service User Account)	In electronic format	
9.	<b>Certificate of an Entry Made in the Unified State Register of Legal Entities</b> with respect to a legal entity registered before 1 July 2002  <i>(for legal entities registered before 1 July 2002)</i>  <i>or</i> <b>Certificate of a Legal Entity's State Registration</b> <i>(for legal entities registered on or after 1 July 2002 but before 1 January 2017)</i>  <i>or</i> <b>Data Entry Extract</b> from the Unified State Register of Legal Entities  <i>(for legal entities registered on or after 1 July 2017)</i>	<a href="#">Notarized Copy</a> Copy certified by the registration authority	Hard copy	
		<a href="#">Copy</a>	Hard copy In electronic format	

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10.	<b>Licenses (permits)</b> issued to enable the Client to be engaged in licensable business	<u>Copy</u> (including a Copy of a document received via the Bank of Russia User Account)	Hard copy In electronic format	To be submitted if the Client must hold a license in order to open the relevant account
11.	<b>Document confirming that the Bank of Russia has approved the appointment</b> of officers whose appointment needs to be so approved and who are authorized to sign instructions and other documents on behalf of the Client	<u>Copy</u> (including a Copy of a document received via the Bank of Russia User Account)	Hard copy In electronic format	To be submitted by credit institutions
12.	<b>Information (letter):</b> - stating whether or not the Client has in place AML/CFT/WMD Internal Control Rules; - stating whether or not the Client has designated an officer in charge for the implementation of AML/CFT/WMD Internal Control Rules.	<u>Original</u>	Hard copy	To be submitted by microfinance institutions when entering into securities account agreements or issuer account agreements.  A letter shall be issued using the Client's letterhead, signed by a Client's authorized person and bearing the Client's corporate seal (if any) / signed by an EQDS.
		<u>Copy</u>	In electronic format	
13.	<b>Signature and seal card / specimen signature book (for the Bank of Russia) containing authorized signatures and Client's seal impression</b>	Notarized Original signature and seal card  Notarized Copy of a notarized Original signature and seal card	Hard copy	
14.	<b>Authorized Representative's Details Form</b>  To be issued for Client's	<u>Original</u>	Hard copy	An Authorized Representative's Details Form is not required to be submitted, if the relevant power of attorney contains the specimen signature of the person in whose name the

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	authorized representatives who are authorized to sign instructions and other documents on behalf of the Client, but not included in the Client's signature and seal card			power of attorney is issued
15.	<b>Documents that support the authority</b> of the person acting on behalf of the Client without a power of attorney  <i>(such as minutes / decisions / resolutions to elect (appoint) the person)</i>	<a href="#">Original</a> <a href="#">Notarized Copy</a> <a href="#">Notarized Excerpt</a> <a href="#">Document Excerpt</a>	Hard copy	It shall not be required to submit a document that supports the authority of the person acting on behalf of the Client without a power of attorney, where the banking license of the Client being a credit institution has been revoked and the Client has been placed into administration
		<a href="#">Copy</a>	Hard copy In electronic format	
16.	<b>ID documents</b> of the persons authorized to:  - act on behalf of the Client without a power of attorney;  - sign instructions; and  - sign any other documents on behalf of the Client.	<a href="#">Original</a> (for a copy to be made and certified by a member of NSD's staff)  <a href="#">Notarized Copy</a>	Hard copy	ID documents of persons authorized to sign instructions shall be submitted when entering into a securities account agreement or issuer account agreement.  In addition, foreign nationals / stateless persons shall be required to submit documents referred to in <a href="#">paragraph 2.7</a> of this List.
		<a href="#">Copy</a>	In electronic format	
17.	<b>Power of attorney</b> issued in the name of a person authorized to:	<a href="#">Original</a>	Hard copy In electronic format	A power of attorney issued in the name of a person authorized to sign instructions shall be submitted when entering into a securities

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	- sign instructions; and - sign any other documents on behalf of the Client.	<a href="#">Notarized Copy</a>	Hard copy	account agreement or issuer account agreement.  A power of attorney may only be submitted in electronic format if the power of attorney authorizes to sign electronic documents in NSD's EDI System
18.	<b>Power of attorney</b> issued in the name of a person authorized to submit documents to, and receive documents from, NSD	<a href="#">Original</a> <a href="#">Notarized Copy</a>	Hard copy	
19.	<b>Certificate of Title with respect to non-residential premises</b> <i>or</i> <b>Excerpt from the Unified State Register of Immovable Property</b> <i>(if title was registered after 15 July 2016)</i> <i>or</i> <b>Lease Agreement</b> <i>or</i> <b>Sublease Agreement</b> along with the initial Lease Agreement	<a href="#">Copy</a>	Hard copy  In electronic format	To be submitted by non-credit institutions when entering into a securities account agreement (other than a treasury securities account agreement)
<b>Group III</b>	<b>Documents to be submitted for the purpose of entering into a bank account agreement<sup>1</sup></b>			
<b>№</b>	<b>Document title</b>	<b>Permitted forms</b>	<b>Permitted submission</b>	<b>Notes</b>

<sup>1</sup> For the purpose of opening the second and further bank accounts, the Client shall be required to submit documents referred to under items 7 and 25 of Group III

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			<b>methods</b>	
<b>1.</b>	<b>Agreement</b>	<a href="#">Original</a>	Hard copy	The Client needs to submit two (2) originals of the agreement or of a declaration of accession (where the Client unilaterally accedes to the relevant regulations / guidelines / rules / terms and conditions or any other similar document), signed by a Client's duly authorized officer and bearing the Client's corporate seal (if any)
<b>2.</b>	<b>Details Form AA001</b>	<a href="#">Original</a>	Hard copy In electronic format	
<b>3.</b>	<b>Details Form AA101</b>	<a href="#">Original</a>	Hard copy In electronic format	
<b>4.</b>	<b>Details Form AA106</b>	<a href="#">Original</a>	Hard copy In electronic format	To be submitted if there is an individual beneficial owner and/or beneficiary whose details are provided in the Details Form AA101 (a separate Details Form AA106 has to be submitted for each individual beneficial owner and/or beneficiary)
<b>5.</b>	<b>Details Form AA107</b>	<a href="#">Original</a>	Hard copy	To be submitted if there is a corporate beneficiary whose details are provided in the Details Form AA101 (a separate Details Form AA107 has to be submitted for each corporate beneficiary)
		<a href="#">Copy</a>	In electronic format	
<b>6.</b>	<b>FATCA/CRS Questionnaire</b>	<a href="#">Original</a>	Hard copy with simultaneous delivery of a ZIP file by e-mail at <a href="mailto:FATCA.CRS@nsd.ru">FATCA.CRS@nsd.ru</a> , or simultaneous delivery of	Not to be submitted when an account is to be opened for a public or local authority acting on behalf of the Russian Federation, or a Russian region, or a municipality

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			<p>the FATCA/CRS Questionnaire on a magnetic media by courier service or special delivery service</p> <p>In electronic format (via channels provided for by the <a href="#">EDI Rules</a>, other than <a href="#">User Account</a>)</p>	
7.	<b>Bank Account Application</b> (in the form prescribed by NSD)	<a href="#">Original</a>	<p>Hard copy</p> <p>In electronic format</p>	
8.	<b>Declaration of Accession to the NSD Payment System Rules</b> (in the form prescribed by NSD)	<a href="#">Original</a>	Hard copy	To be submitted if the Client intends to accede to the NSD Payment System Rules
9.	<b>Client's constitutional documents</b> that meet the requirements of the applicable Russian laws (with amendments in force as at the date the documents are submitted to NSD)	<a href="#">Notarized Copy</a> Copy certified by the registration authority	Hard copy	A legal entity whose legal status and objectives are defined in an inter-state or inter-governmental agreement, or in any laws or other regulations, shall submit a Copy of such documents, which has to be certified by a legal entity's authorized person
		<a href="#">Copy</a> (including a Copy of a document received via the Bank of Russia/Federal Tax Service User Account)	In electronic format	
10.	<b>Certificate of an Entry Made in the Unified State Register of Legal Entities</b> with respect to a	<a href="#">Notarized Copy</a> Copy certified by the registration authority	Hard copy	

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	<p>legal entity registered before 1 July 2002</p> <p><i>(for legal entities registered before 1 July 2002)</i></p> <p>or</p> <p><b>Certificate of a Legal Entity's State Registration</b> <i>(for legal entities registered on or after 1 July 2002 but before 1 January 2017)</i></p> <p>or</p> <p><b>Data Entry Extract</b> from the Unified State Register of Legal Entities</p> <p><i>(for legal entities registered on or after 1 July 2017)</i></p>	<a href="#">Copy</a>	<p>Hard copy</p> <p>In electronic format</p>	
<b>11.</b>	<b>Tax Registration Certificate</b> of the legal entity incorporated under the Russian laws, issued by a Russian tax authority at the domicile of the legal entity in the Russian Federation	<a href="#">Copy</a>	<p>Hard copy</p> <p>In electronic format</p>	
<b>12.</b>	<b>Licenses (permits)</b> issued to enable the Client to be engaged in licensable business	<a href="#">Copy</a> (including a Copy of a document received via the Bank of Russia User Account)	<p>Hard copy</p> <p>In electronic format</p>	To be submitted if the Client must hold a license in order to open the relevant account

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13.	<b>Document confirming that the Bank of Russia has approved the appointment</b> of officers whose appointment needs to be so approved and who are authorized to sign instructions and other documents on behalf of the Client	<a href="#">Copy</a> (including a Copy of a document received via the Bank of Russia User Account)	Hard copy In electronic format	To be submitted by credit institutions
14.	<b>Signature and seal card / specimen signature book (for the Bank of Russia) containing authorized signatures and Client's seal impression</b>  using Form No. 0401026 as per OKUD (All-Russia Classifier of Management Documentation OK 011-93)	Notarized Original signature and seal card	Hard copy	When a bank account is requested by the Client's official receiver to be closed, it shall not be required to submit a signature and seal card, provided that an instruction to transfer the bank account balance is issued and signed by NSD
15.	<b>Documents that support:</b>  - the authority of the person acting on behalf of the Client without a power of attorney <i>(such as minutes / decisions / resolutions to elect (appoint) the person)</i>  - the authority of the persons named in the signature and seal card <i>(such as orders/minutes/resolutions)</i>  - the authority to sign of the persons named in the signature and seal card <i>(such as orders/minutes/resolutions)</i>	<a href="#">Original</a> <a href="#">Notarized Copy</a> <a href="#">Notarized Excerpt</a> <a href="#">Document Excerpt</a>	Hard copy	It shall not be required to submit a document that supports the authority of the person acting on behalf of the Client without a power of attorney, where the banking license of the Client being a credit institution has been revoked and the Client has been placed into administration
<a href="#">Copy</a>	In electronic format			

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16.	<b>Power of attorney</b> issued in the name of a person authorized to sign documents on behalf of the Client	<a href="#">Original</a> <a href="#">Notarized Copy</a>	Hard copy	
17.	<b>Power of attorney</b> issued in the name of a person authorized to submit documents to, and receive documents from, NSD	<a href="#">Original</a> <a href="#">Notarized Copy</a>	Hard copy	
18.	<b>Documents</b> that support the authority of a person authorized to use an equivalent of their handwritten signature, codes, passwords, and other tools in order to deal with cash funds (in the forms prescribed by NSD)	<a href="#">Original</a>	Hard copy In electronic format	To be submitted if the Client connects to NSD's EDI System and intends to use electronic communication channels to communicate with NSD
		<a href="#">Notarized Copy</a>	Hard copy	
19.	<b>ID documents</b> of the persons authorized to: - act on behalf of the Client without a power of attorney; - sign documents on behalf of the Client; and - use an electronic equivalent of their handwritten signature, and ID documents of the persons named in the signature and seal card	<a href="#">Original</a> (for a copy to be made and certified by a member of NSD's staff) <a href="#">Notarized Copy</a>	Hard copy	ID documents of the persons authorized to: - use an electronic equivalent of their handwritten signature - are to be submitted only if the Client enters into an EDI Agreement and intends to use electronic communication channels to communicate with NSD. In addition, foreign nationals / stateless persons shall be required to submit documents referred to in <a href="#">paragraph 2.7</a> of this List.
		<a href="#">Copy</a>	In electronic format	Only a Copy of a Notarized Copy of a document may be submitted in electronic format.

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20.	<p><b>Certificate of Title with respect to non-residential premises</b></p> <p><i>or</i></p> <p><b>Excerpt from the Unified State Register of Immovable Property</b></p> <p><i>(if title was registered after 15 July 2016)</i></p> <p><i>or</i></p> <p><b>Lease Agreement</b></p> <p><i>or</i></p> <p><b>Sublease Agreement</b> along with the initial Lease Agreement</p>	<a href="#">Copy</a>	Hard copy In electronic format	To be submitted by non-credit institutions
21.	<p><b>Information (letter):</b></p> <ul style="list-style-type: none"> <li>- stating whether or not the Client has in place AML/CFT/WMD Internal Control Rules;</li> <li>- stating whether or not the Client has designated an officer in charge for the implementation of AML/CFT/WMD Internal Control Rules.</li> </ul>	<a href="#">Original</a>	Hard copy	To be submitted by microfinance institutions only.  A letter shall be issued using the Client's letterhead, signed by a Client's authorized person and bearing the Client's corporate seal (if any) / signed by an EQDS.
		<a href="#">Copy</a>	In electronic format	
22.	<b>Notice of Being Included in the List of Bondholder Representatives</b>	Copy of the notice issued by the Bank of Russia, as certified by a bondholder representative's authorized person	Hard copy	To be submitted when opening a bondholder representative's designated account

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23.	<b>Nominee Account Beneficiary's Details Form</b>	<a href="#">Original</a>	Hard copy	To be submitted additionally when opening a nominee account (in the form set out in <a href="#">Appendix 6/Appendix 7/Appendix 8</a> , as the case may be)
24.	<b>Agreement</b> evidencing the authority of the holder and the beneficiary of the nominee account to be involved in relationships under the nominee account agreement	<a href="#">Copy</a>	Hard copy	To be submitted when opening a nominee account
25.	<b>Agreement</b> under which asset management on a trust basis takes place	<a href="#">Notarized Copy</a>	Hard copy	To be submitted when opening an account for a trustee for the purpose of making settlements associated with asset management on a trust basis
<b>Additional documents for branches</b>				
1.	<b>Branch Regulations</b>	<a href="#">Notarized Copy</a>	Hard copy	
		<a href="#">Copy</a>	In electronic format	
2.	<b>Certificate of an Entry Made in the Unified State Register of Legal Entities</b> with respect to a legal entity registered before 1 July 2002  <i>(for legal entities registered before 1 July</i>	<a href="#">Notarized Copy</a>  Copy certified by the registration authority	Hard copy	

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	<p>2002)</p> <p>or</p> <p><b>Certificate of a Legal Entity's State Registration</b> (for legal entities registered on or after 1 July 2002 but before 1 January 2017)</p> <p>or</p> <p><b>Data Entry Extract</b> from the Unified State Register of Legal Entities</p> <p>(for legal entities registered on or after 1 July 2017)</p>	<p><a href="#">Copy</a></p>	<p>Hard copy</p> <p>In electronic format</p>	
3.	<p><b>Signature and seal card for the branch</b></p> <p>using Form No. 0401026 as per OKUD (All-Russia Classifier of Management Documentation OK 011-93)</p>	<p>Notarized Original signature and seal card</p>	<p>Hard copy</p>	
4.	<p><b>Power of attorney</b> issued in the name of the branch manager to authorize him/her to open accounts and to deal with cash funds available in those accounts</p>	<p><a href="#">Original</a></p> <p><a href="#">Notarized Copy</a></p>	<p>Hard copy</p>	
5.	<p><b>Documents that support:</b></p> <p>- the authority of the persons named in the signature and seal card;</p>	<p><a href="#">Original</a></p> <p><a href="#">Notarized Copy</a></p> <p><a href="#">Notarized Excerpt</a></p> <p><a href="#">Document Excerpt</a></p>	<p>Hard copy</p>	

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	<p>- the authority to sign of the persons named in the signature and seal card</p> <p><i>(such as orders/minutes/decisions/resolutions:</i></p> <ul style="list-style-type: none"> <li>- regarding the election (appointment) of the person to the relevant position;</li> <li>- regarding the delegation of the authority to sign)</li> </ul>	<p><a href="#">Copy</a></p>	<p>In electronic format</p>	
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#### 4. Documents to Be Submitted by Russian Non-residents

<b>Group I</b>	<b>Documents to be submitted for the purpose of entering into the following agreement types:</b> <ul style="list-style-type: none"> <li>– agreement for repository services;</li> <li>– agreement for repository's auxiliary services;</li> <li>– information services agreement;</li> <li>– electronic data interchange agreement;</li> <li>– electronic documents transit services agreement;</li> <li>– software license agreement;</li> <li>– confidentiality agreement;</li> <li>– agreement that governs the use of a digital signature for the purpose of electronic data interchange via NSD's EDI System;</li> <li>– LEI assignment and verification services agreement;</li> <li>– agreement for providing assistance in CFI allocation to non-Russian financial instruments;</li> <li>– SWIFT Service Bureau services agreement;</li> <li>– other agreements that are not categorized as Group II or III agreements.</li> </ul>			
№	Document title	Permitted forms	Permitted submission methods	Notes
1.	<b>Agreement</b>	<a href="#"><u>Original</u></a>	Hard copy	The Client needs to submit two (2) originals of the agreement or of a declaration of accession (where the Client unilaterally accedes to the relevant regulations / guidelines / rules / terms and conditions or any other similar document), signed by a Client's duly authorized officer and bearing the Client's corporate seal (if any)
2.	<b>Details Form AA001</b>	<a href="#"><u>Original</u></a>	Hard copy	

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3.	<p><b>Documents</b> that support the authority of the person acting on behalf of the Client without a power of attorney</p> <p><i>(such as minutes / decisions / resolutions to elect (appoint) the person)</i></p>	<p><a href="#">Original</a></p> <p><a href="#">Notarized Copy</a></p> <p><a href="#">Notarized Excerpt</a></p> <p><a href="#">Document Excerpt</a></p> <p><a href="#">Copy (only for Clients listed in paragraph 2.5.1 of this List)</a></p>	Hard copy	
4.	<p><b>Power of attorney</b> issued in the name of a person authorized to sign documents on behalf of the Client</p>	<p><a href="#">Original</a></p> <p><a href="#">Notarized Copy</a></p>	Hard copy	
5.	<p><b>Power of attorney</b> issued in the name of a person authorized to submit documents to, and receive documents from, NSD</p>	<p><a href="#">Original</a></p> <p><a href="#">Notarized Copy</a></p>	Hard copy	
6.	<p><b>Document</b> that certifies the Client's incorporation</p>	<p><a href="#">Notarized Copy</a></p> <p>Copy certified by the registration authority</p> <p><a href="#">Copy (only for Clients listed in paragraph 2.5.1 of this List)</a></p>	Hard copy	<p>This may be an excerpt from the trade register of the Client's jurisdiction of incorporation issued no earlier than six months prior to the date of its submission to NSD, or any other equivalent document issued by a state authority of that jurisdiction and containing information on the Client's legal status, legal standing, and composition of its management bodies</p> <p>Or constitutional documents and a brief excerpt</p>
<b>Group</b>	<p><b>Documents to be submitted for the purpose of entering into the following agreement types:</b></p> <p>– securities account agreement (for an owner securities account, foreign nominee securities account, or treasury securities account);</p>			

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<b>II</b>	<ul style="list-style-type: none"> <li>– issuer account agreement;</li> <li>– paying agent services agreement (for payment of redemption proceeds and coupon income from bonds);</li> <li>– clearing services agreement; and</li> <li>– collateral management services agreement.</li> </ul>			
№	Document title	Permitted forms	Permitted submission methods	Notes
1.	<b>Agreement</b>	<a href="#">Original</a>	Hard copy	The Client needs to submit two (2) originals of the agreement or of a declaration of accession (where the Client unilaterally accedes to the relevant regulations / guidelines / rules / terms and conditions or any other similar document), signed by a Client's duly authorized officer and bearing the Client's corporate seal (if any)
2.	<b>Details Form AA001</b>	<a href="#">Original</a>	Hard copy	
3.	<b>Details Form AA101</b>	<a href="#">Original</a>	Hard copy	
4.	<b>Details Form AA106</b>	<a href="#">Original</a>	Hard copy	To be submitted if there is an individual beneficial owner and/or beneficiary whose details are provided in the Details Form AA101 (a separate Details Form AA106 has to be submitted for each individual beneficial owner and/or beneficiary)
5.	<b>Details Form AA107</b>	<a href="#">Original</a>	Hard copy	To be submitted if there is a corporate beneficiary whose details are provided in the Details Form AA101 (a separate Details Form AA107 has to be submitted for each corporate beneficiary)
6.	<b>FATCA/CRS Questionnaire</b>	<a href="#">Original</a>	Hard copy with simultaneous delivery of a ZIP file by e-mail at	Do not need to be submitted: — by an issuer when entering into an issuer account agreement or a services agreement for the assignment of an

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			<p><a href="mailto:FATCA.CRS@nsd.ru">FATCA.CRS@nsd.ru</a>, or simultaneous delivery of the FATCA/CRS Questionnaire on a magnetic media by courier service or special delivery service</p> <p>In electronic format (via channels provided for by the <a href="#">EDI Rules</a>, other than <a href="#">User Account</a>)</p>	<p>identification number to a commercial paper issue / commercial paper program, provided that the issuer does not have any other contractual relationships with NSD which involve the opening of a securities account and/or bank account;</p> <p>— when an account is to be opened for a foreign state authority acting on behalf of the relevant foreign state.</p>
7.	<b>Securities Account/Account Application</b> (in the form prescribed by NSD)	<a href="#">Original</a>	<p>Hard copy</p> <p>In electronic format</p>	To be submitted in the cases provided for by the agreement
8.	<b>Documents</b> evidencing the Client's legal status in accordance with the laws of the Client's jurisdiction of incorporation	<p><a href="#">Notarized Copy</a></p> <p>Copy certified by the registration authority</p>	Hard copy	<p>Such documents may include:</p> <ul style="list-style-type: none"> <li>– constitutional documents;</li> <li>– documents evidencing incorporation of the client; and</li> <li>– an excerpt from the trade register of the Client'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</li> </ul>
9.	<b>Certificate of registration of the foreign organization</b> with a tax authority in the Russian Federation	<p><a href="#">Notarized Copy</a></p> <p>Copy certified by the registration authority</p> <p><a href="#">Copy</a></p>	Hard copy	To be submitted if available

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10.	<b>Licenses/permits or another document</b> issued to enable the Client to be engaged in licensable activities	<a href="#">Notarized Copy</a>	Hard copy	To be submitted (if available), provided that such license/permit/other document is directly relevant to the Client's ability to enter into the respective agreement types with NSD.
11.	<b>Signature and seal card (or, for credit institutions, a specimen signature book), or another document containing specimen signatures and a seal impression</b> , as issued in accordance with the laws of the relevant foreign jurisdiction	Notarized Original signature and seal card  Notarized Copy of a notarized Original signature and seal card	Hard copy	A signature and seal card may contain inter-linear translation of the card fields into a foreign language.  The signatures of all authorized signatories must be certified by the same notary public.  Where a signature and seal card is produced:  <b>in the Russian Federation</b> , it shall be produced in accordance with the Russian laws that govern activities of notaries public;  <b>in accordance with the laws of the relevant foreign jurisdiction</b> , it must contain the following details: "Client (Account Holder)", "Registered Office", "Telephone Number", "Last Name and First Name", "Specimen Signature", "Term of Authority", "Seal Impression" (if available), "Issue Date", "Client's (Account Holder's) Signature", and "Signature Certification". The document must state that it is issued for submission to NSD.
12.	<b>Documents</b> that support the authority of the person acting on behalf of the Client without a power of attorney  <i>(such as minutes / decisions /</i>	<a href="#">Original</a> <a href="#">Notarized Copy</a> <a href="#">Notarized Excerpt</a>	Hard copy	

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	<i>resolutions to elect (appoint) the person)</i>	<a href="#">Document Excerpt</a> <a href="#">Copy (only for Clients listed in paragraph 2.5.1 of this List)</a>		
<b>13.</b>	<b>Power of attorney</b> issued in the name of a person authorized to: - sign instructions; and - sign any other documents on behalf of the Client.	<a href="#">Original</a> <a href="#">Notarized Copy</a>	Hard copy	A power of attorney issued in the name of a person authorized to sign instructions shall be submitted when entering into a securities account agreement or issuer account agreement.
<b>14.</b>	<b>Power of attorney</b> issued in the name of a person authorized to submit documents to, and receive documents from, NSD	<a href="#">Original</a> <a href="#">Notarized Copy</a>	Hard copy	
<b>15.</b>	<b>ID documents</b> of the persons authorized to: - act on behalf of the Client without a power of attorney; - sign instructions; and - sign any other documents on behalf of the Client.	<a href="#">Notarized Copy</a>	Hard copy	ID documents of persons authorized to sign instructions shall be submitted when entering into a securities account agreement or issuer account agreement.  In addition, foreign nationals / stateless persons shall be required to submit documents referred to in <a href="#">paragraph 2.7</a> of this List.
<b>16.</b>	<b>Audited financial statements</b>	<a href="#">Copy</a>	Hard copy	Do not need to be submitted by a Client which is an international central securities depository, or which, in accordance with the laws of the jurisdiction of its incorporation, is either a central securities depository, and/or settles trades in securities traded on a foreign stock exchange or in any other

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				regulated market, or clears such trades.
17.	<b>Business reputation reference letter</b> regarding business reputation of the foreign organization with which the Client holds an account as a person acting on behalf of third parties and authorized to record and transfer rights to securities	<a href="#">Original</a> <a href="#">Copy</a>	Hard copy	To be submitted when opening a foreign nominee securities account with NSD.  Do not need to be submitted by a Client which is an international central securities depository, or which, in accordance with the laws of the jurisdiction of its incorporation, is either a central securities depository, and/or settles trades in securities traded on a foreign stock exchange or in any other regulated market, or clears such trades.
18.	<b>Client's tax residency details</b>	<a href="#">Original</a>	Hard copy	The recommended letter template is set out in <a href="#">Appendix 9</a> to this List.  Do not need to be submitted by credit institutions.  A letter shall be issued using the Client's letterhead, signed by a Client's authorized person and bearing the Client's corporate seal (if any).
<b>Group III</b>	<b>Documents to be submitted for the purpose of entering into a bank account agreement<sup>2</sup></b>			
<b>№</b>	<b>Document title</b>	<b>Permitted forms</b>	<b>Permitted submission methods</b>	<b>Notes</b>

<sup>2</sup> For the purpose of opening the second and further bank accounts, the Client shall be required to submit a document referred to under item 7 of Group III.

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1.	<b>Agreement</b>	<a href="#">Original</a>	Hard copy	The Client needs to submit two (2) originals of the agreement or of a declaration of accession (where the Client unilaterally accedes to the relevant regulations / guidelines / rules / terms and conditions or any other similar document), signed by a Client's duly authorized officer and bearing the Client's corporate seal (if any)
2.	<b>Details Form AA001</b>	<a href="#">Original</a>	Hard copy	
3.	<b>Details Form AA101</b>	<a href="#">Original</a>	Hard copy	
4.	<b>Details Form AA106</b>	<a href="#">Original</a>	Hard copy	To be submitted if there is an individual beneficial owner and/or beneficiary whose details are provided in the Details Form AA101 (a separate Details Form AA106 has to be submitted for each individual beneficial owner and/or beneficiary)
5.	<b>Details Form AA107</b>	<a href="#">Original</a>	Hard copy	To be submitted if there is a corporate beneficiary whose details are provided in the Details Form AA101 (a separate Details Form AA107 has to be submitted for each corporate beneficiary)
6.	<b>FATCA/CRS Questionnaire</b>	<a href="#">Original</a>	Hard copy  with simultaneous delivery of a ZIP file by e-mail at <a href="mailto:FATCA.CRS@nsd.ru">FATCA.CRS@nsd.ru</a> , or simultaneous delivery of the FATCA/CRS Questionnaire on a magnetic media by	Do not need to be submitted when an account is to be opened for a foreign state authority acting on behalf of the relevant foreign state.

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			courier service or special delivery service  In electronic format (via channels provided for by the <a href="#">EDI Rules</a> , other than <a href="#">User Account</a> )	
7.	<b>Bank Account Application</b> (in the form prescribed by NSD)	<a href="#">Original</a>	Hard copy	
8.	<b>Declaration of Accession to the NSD Payment System Rules</b> (in the form prescribed by NSD)	<a href="#">Original</a>	Hard copy	To be submitted if the Client intends to accede to the NSD Payment System Rules
9.	<b>Documents</b> evidencing the Client's legal status in accordance with the laws of the Client's jurisdiction of incorporation	<a href="#">Notarized Copy</a>  Copy certified by the registration authority	Hard copy	Such documents may include:  – constitutional documents; – documents evidencing incorporation of the client; and – an excerpt from the trade register of the Client'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
10.	<b>Certificate of registration of the foreign organization</b> with a tax authority in the Russian Federation	<a href="#">Notarized Copy</a>  Copy certified by the registration authority  <a href="#">Copy</a>	Hard copy	If the Client was registered by the tax authority on more than one basis, all certificates must be submitted

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11.	<b>Licenses/permits or another document</b> issued to enable the Client to be engaged in licensable activities	<a href="#">Notarized Copy</a>	Hard copy	To be submitted, provided that such license/permit/other document is directly relevant to the Client's ability to enter into the respective agreement types with NSD
12.	<b>Permit to open an account, as issued by the national (central) bank</b> of the relevant foreign country	<a href="#">Notarized Copy</a>	Hard copy	To be submitted, provided that such permit is required by an international treaty of the Russian Federation or by the laws of the relevant foreign country (for credit institutions).  Clients that are residents of the Republic of Belarus (other than credit institutions) may submit a permit issued by the National Bank of the Republic of Cyprus to open accounts with banks or other credit institutions outside the Republic of Belarus in the form of a <a href="#">Copy</a> .
13.	<b>Signature and seal card (or, for credit institutions, a specimen signature book) / document containing specimen signatures and a seal impression,</b>  as issued in accordance with the laws of the relevant foreign jurisdiction	Notarized Original signature and seal card	Hard copy	A signature and seal card may contain inter-linear translation of the card fields into a foreign language.  The signatures of all authorized signatories must be certified by the same notary public.  Where a signature and seal card is produced:  <b>in the Russian Federation</b> , it shall be produced in accordance with the Russian laws that govern activities of notaries public;  <b>in accordance with the laws of the relevant foreign jurisdiction</b> , it must contain the following details: "Client

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				(Account Holder)", "Registered Office", "Telephone Number", "Last Name and First Name", "Specimen Signature", "Term of Authority", "Seal Impression" (if available), "Issue Date", "Client's (Account Holder's) Signature", and "Signature Certification". The document must state that it is issued for submission to NSD.
14.	<p><b>Documents that support:</b></p> <ul style="list-style-type: none"> <li>- the authority of the person acting on behalf of the Client without a power of attorney <i>(such as minutes / decisions / resolutions to elect (appoint) the person)</i></li> <li>- the authority of the persons named in the signature and seal card <i>(such as orders/minutes/resolutions)</i></li> <li>- the authority to sign of the persons named in the signature and seal card <i>(such as orders/minutes/resolutions)</i></li> </ul>	<p><a href="#">Original</a></p> <p><a href="#">Notarized Copy</a></p> <p><a href="#">Notarized Excerpt</a></p> <p><a href="#">Document Excerpt</a></p>	Hard copy	
15.	<p><b>Power of attorney</b> issued in the name of a person authorized to sign documents (<b>other than those related to dealing with cash funds</b>) on behalf of the Client</p>	<p><a href="#">Original</a></p> <p><a href="#">Notarized Copy</a></p>	Hard copy	

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16.	<b>Power of attorney</b> issued in the name of a person authorized to submit documents to, and receive documents from, NSD	<a href="#">Original</a> <a href="#">Notarized Copy</a>	Hard copy	
17.	<b>Documents</b> that support the authority of a person authorized to use an equivalent of their handwritten signature, codes, passwords, and other tools in order to deal with cash funds (in the forms prescribed by NSD)	<a href="#">Original</a> <a href="#">Notarized Copy</a>	Hard copy	To be submitted if the Client connects to NSD's EDI System and intends to use electronic communication channels to communicate with NSD
18.	<b>ID documents</b> of the persons authorized to:  - act on behalf of the Client without a power of attorney;  - sign documents on behalf of the Client; and  - use an electronic equivalent of their handwritten signature,  and ID documents of the persons named in the signature and seal card	<a href="#">Notarized Copy</a>	Hard copy	ID documents of persons authorized to use a digital equivalent of their handwritten signature are to be submitted only if the Client has an EDI Agreement with NSD and uses electronic communication channels to communicate with NSD.  In addition, foreign nationals / stateless persons shall be required to submit documents referred to in <a href="#">paragraph 2.7</a> of this List.
19.	<b>Client's tax residency details</b>	<a href="#">Original</a>	Hard copy	The recommended letter template is set out in <a href="#">Appendix 9</a> to this List.  Do not need to be submitted by credit institutions.  A letter shall be issued using the Client's letterhead, signed by a Client's authorized person and bearing the Client's corporate

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				seal (if any).
20.	<b>Nominee Account Beneficiary's Details Form</b>	<a href="#">Original</a>	Hard copy	To be submitted additionally when opening a nominee account (in the form set out in <a href="#">Appendix 6/Appendix 7/Appendix 8</a> , as the case may be)
21.	<b>Agreement</b> evidencing the authority of the holder and the beneficiary of the nominee account to be involved in relationships under the nominee account agreement	<a href="#">Copy</a>	Hard copy	To be submitted when opening a nominee account
<b>Additional documents for Client's branches (representative offices) established in accordance with the laws of the Client's jurisdiction of incorporation and domiciled in the Russian Federation</b>				
1.	<b>Branch Regulations</b>	<a href="#">Notarized Copy</a>	Hard copy	
2.	<b>Documents evidencing the branch's (representative office's) physical address in the Russian Federation</b>	<a href="#">Notarized Copy</a> <a href="#">Copy</a>	Hard copy	Do not need to be submitted by Russian Non-resident credit institutions.  Such documents may include documents evidencing the ownership or lease/sublease of the premises occupied by the Client's branch (representative office), along with a copy of the initial lease agreement (in the case of sublease).
3.	<b>Document evidencing the state accreditation of the branch (representative office) in the Russian Federation</b>	<a href="#">Notarized Copy</a> <a href="#">Copy</a>	Hard copy	To be submitted if the branch (representative office) is domiciled in the Russian Federation.

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4.	<p><b>Signature and seal card (or, for credit institutions, a specimen signature book) / document containing specimen signatures and a seal impression of the branch (representative office),</b></p> <p>as issued in accordance with the laws of the relevant foreign jurisdiction</p>	Notarized Original signature and seal card	Hard copy	<p>A signature and seal card may contain inter-linear translation of the card fields into a foreign language.</p> <p>The signatures of all authorized signatories must be certified by the same notary public.</p> <p>Where a signature and seal card is produced:</p> <p><b>in the Russian Federation</b>, it shall be produced in accordance with the Russian laws that govern activities of notaries public;</p> <p><b>in accordance with the laws of the relevant foreign jurisdiction</b>, it must contain the following details: “Client (Account Holder)”, “Registered Office”, “Telephone Number”, “Last Name and First Name”, “Specimen Signature”, “Term of Authority”, “Seal Impression” (if available), “Issue Date”, “Client’s (Account Holder’s) Signature”, and “Signature Certification”. The document must state that it is issued for submission to NSD.</p>
5.	<p><b>Power of attorney</b> issued in the name of the branch manager to authorize him/her to open accounts and to deal with cash funds available in those accounts</p>	<p><a href="#">Original</a></p> <p><a href="#">Notarized Copy</a></p>	Hard copy	
6.	<p><b>Documents that support:</b></p> <p>- the authority of the persons named in the signature and seal</p>	<p><a href="#">Original</a></p> <p><a href="#">Notarized Copy</a></p> <p><a href="#">Notarized Excerpt</a></p>	Hard copy	

*Please kindly note that the English version of this document is for your information only and the Russian version will prevail in the event of any discrepancies*

	<p>card;</p> <p>- the authority to sign of the persons named in the signature and seal card</p> <p><i>(such as orders/minutes/decisions/resolutions:</i></p> <p><i>- regarding the election (appointment) of the person to the relevant position;</i></p> <p><i>- regarding the delegation of the authority to sign)</i></p>	<p><a href="#">Document Excerpt</a></p>		
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*Please kindly note that the English version of this document is for your information only and the Russian version will prevail in the event of any discrepancies*

Appendix No.	
Document number:	Date

Client Identification Code	Depository Code

J

## Legal Entity's Details Form

**Legal Entity's General Details**

Full corporate name in Russian: \_\_\_\_\_

Short corporate name in Russian: \_\_\_\_\_

Full corporate name in a foreign language: \_\_\_\_\_

Short corporate name in a foreign language: \_\_\_\_\_

Legal form: \_\_\_\_\_

Legal entity type: \_\_\_\_\_

Servicing office: \_\_\_\_\_

Country: \_\_\_\_\_

Region: \_\_\_\_\_

OKPO Code: \_\_\_\_\_

OKVED Code: \_\_\_\_\_

Taxpayer identification number (INN): \_\_\_\_\_

Taxpayer registration reason code (KPP): \_\_\_\_\_

Foreign company code (KIO): \_\_\_\_\_

BIC \_\_\_\_\_

Russian bank identification code: \_\_\_\_\_

**Information Regarding the Entry Made in the Unified State Register of Legal Entities (the "Register")**

Principal State Registration Number (OGRN): \_\_\_\_\_

Date of the entry made in the Register \_\_\_\_\_

Registration authority: \_\_\_\_\_

**Information Regarding the Legal Entity's Registration**

Registration number: \_\_\_\_\_

State registration date: \_\_\_\_\_

Registration authority: \_\_\_\_\_

(Position)

(Full Name)

Stamp

(Signature)

<i>Appendix No.</i>	
<i>Document number:</i>	<i>Date</i>

<i>Client Identification Code</i>	<i>Depository Code</i>

**Legal Entity's Details Form**

**J**

***Principal Place of Business***

Postal code: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_

***Mailing address***

Postal code: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_

Telephone: \_\_\_\_\_  
 Fax: \_\_\_\_\_  
 E-mail: \_\_\_\_\_

***Legal Entity's Bank Account Details***

**For payments in Russian Roubles:**

Beneficiary's bank: \_\_\_\_\_  
 Bank's city: \_\_\_\_\_  
 BIC: \_\_\_\_\_  
 Bank's correspondent account: \_\_\_\_\_  
 Beneficiary's Taxpayer Identification Number (INN): \_\_\_\_\_  
 Beneficiary's Taxpayer Registration Reason Code (KPP): \_\_\_\_\_  
 Beneficiary: \_\_\_\_\_  
 Beneficiary's account: \_\_\_\_\_  
 Details to be added under 'Purpose of Payment' in a payment Instruction: \_\_\_\_\_  
 \_\_\_\_\_

Additional details \_\_\_\_\_

Code of a clearing participant's customer: \_\_\_\_\_

\_\_\_\_\_  
 (Position) (Full Name) Stamp (Signature)

### Completion Guidelines for a Legal Entity's Details Form (Form AA001)

<i>Field</i>	<b>M/O</b>	<b>Comments</b>
<i>Depository Code</i>	<b>-</b>	The field must be omitted if the Legal Entity's Details Form is submitted by the Client for the purpose of opening its first securities account with the Depository, or for the purpose of registration, with the Depository, of a Details Form of a Sub-account Operator that is not a Client of the Depository.
	<b>M</b>	Mandatory field if an additional Details Form is submitted, including when more than one owner securities account or more than one nominee securities account is applied to be opened with the Depository. In this case, in the <b>first line</b> of the field, provide the depository code assigned by the Depository at the time of opening the first securities account (or the depository code of the Client's head office) ( <i>12 characters, only Arabic numerals and/or Latin letters</i> )  The <b>second line</b> is to be completed by the Depository. In the second line of the field, the Depository specifies the code of the additional Details Form (Details Form of a Client's branch in case of registration of a Client's branch, etc.), as assigned by the Depository ( <i>12 characters, only Arabic numerals and/or Latin letters</i> ).
	<b>M</b>	Mandatory field if any changes are being made to the Legal Entity's Details Form earlier registered with the Depository. In this case, in the first line of the field, provide the code of the Legal Entity's Details Form being changed.
<b><i>Legal Entity's General Details</i></b>		
<i>Full corporate name in Russian</i>	<b>M</b>	Provide the full corporate name of the legal entity (Client / Operator / Client's branch (collectively, "legal entity")) in accordance with the legal entity's constitutional documents ( <i>max. 254 characters</i> ). If the full corporate name consists of a greater number of characters, the legal form being part of the name shall be indicated in short.
<i>Short corporate name in Russian</i>	<b>M</b>	Provide the legal entity's short corporate name as per the constitutional documents. If the legal entity's constitutional documents do not contain its short name, specify the legal entity's legal form in short and corporate name ( <i>max. 120 characters</i> ).
<i>Full corporate name in a foreign language</i>	<b>O</b>	Provide the legal entity's full corporate name in a foreign language as per the constitutional documents, in Latin alphabet ( <i>max. 254 characters</i> ). If the full corporate name consists of a greater number of characters, the legal form being part of the name shall be indicated in short.
	<b>M</b>	Mandatory field for Russian Non-resident legal entities.  The name shall be specified in Latin alphabet.
<i>Short corporate name in a foreign language</i>	<b>O</b>	Provide the legal entity's short corporate name in a foreign language as per the constitutional documents, in Latin alphabet ( <i>max. 120 characters</i> ).
<i>Legal form</i>	<b>O</b>	Provide the legal entity's legal form as per the constitutional documents (as per the Reference Book).
<i>Legal entity type</i>	<b>M</b>	Provide the legal entity type as per the Depository's classification:  00 – Not established; 01 – Credit institutions; 02 – Non-profit organizations; 03 – Insurance and investment companies; 05 – Governmental authorities, public or municipal entities; 06 – Other; 07 – Russian Non-residents; 08 – Trustees.  For the purpose of registration of an additional Details Form (including for a Client's branch), use '00'.
<i>Servicing office</i>	<b>M</b>	Specify the legal entity's servicing office as follows: E – Ekaterinburg, G – Nizhny Novgorod, M – Moscow, N – Novosibirsk, P – St. Petersburg, R – Rostov-on-Don, S – Samara, V – Vladivostok (for the purposes of giving instructions or receiving statements in hard copy).
<i>Country</i>	<b>M</b>	Specify the code ( <i>2 characters</i> ) of the country of incorporation as per the Reference Book. Example: RU
<i>Region</i>	<b>M</b>	Specify the code ( <i>4 characters</i> ) and name of the region as per the Reference Book.  For Russian Non-resident legal entities: '9999 – not determined'

<i>Field</i>	<i>M/O</i>	<i>Comments</i>
<i>OKPO Code</i>	<b>M</b>	Specify the OKPO code ( <i>8 characters</i> ) assigned to the Russian Resident legal entity. Individual entrepreneurs must specify their ten-character OKPO code.
	<b>O</b>	<i>To be omitted by Russian Non-resident legal entities if they do not have an OKPO code.</i>
<i>OKVED Code</i>	<b>M</b>	Specify the OKVED code assigned to the Russian Resident legal entity ( <i>max. 8 characters including dots</i> ), e.g., <b>67.13.51</b> . If there is no OKVED code, use dash ('-').
	<b>O</b>	<i>Optional field for Russian Non-resident legal entities.</i>
<i>Taxpayer identification number (INN)</i>	<b>M</b>	Provide the legal entity's taxpayer identification number ( <i>for Russian Residents - 10 characters</i> ). For the purpose of registration of a Client's branch, it is possible to specify the taxpayer identification number of the Client's head office.
	<b>O</b>	<i>To be omitted if the Russian Non-resident legal entity does not have a taxpayer identification number.</i>
<i>Taxpayer registration reason code (KPP)</i>	<b>O</b>	Provide the legal entity's Taxpayer Registration Reason Code (KPP, 9 characters). The field is mandatory if the field "Taxpayer identification number (INN)" is completed.
<i>Foreign company code (KIO)</i>	<b>O</b>	Provide the legal entity's foreign company code (KIO). To be completed by Russian Non-resident legal entities (if they have a KIO code).
<i>BIC</i>	<b>C</b>	Provide the legal entity's BIC (Bank Identifier Code). BIC shall be specified without using blank spaces ( <i>8 or 11 characters</i> ).  Mandatory field if the legal entity has a BIC.  In any statements to be issued by the Depository to a Client, in which an eight-character BIC is used, the Depository may put 'XXX' in positions 9, 10 and 11. Example: NADCRUMMXXX.  In a legal entity's additional Details Form, it shall not be allowed to use the same BIC as specified in the legal entity's Details Form submitted to the Depository earlier. If no other BIC is available, this field in the legal entity's additional Details Form must be omitted.
<i>Russian bank identification code</i>	<b>M</b>	Provide the legal entity's Russian bank identification code ( <i>9 characters; the 3rd and 4th characters must be the same as the 3rd and 4th characters of the code specified in the field "Region"</i> ).  Mandatory field for legal entities that are credit institutions.
	<b>O</b>	<i>To be omitted by legal entities that are not credit institutions.</i>
<b>Information Regarding the Entry Made in the Unified State Register of Legal Entities (the "Register")</b>		
<i>Principal State Registration Number (OGRN)</i>	<b>M</b>	Provide the Principal State Registration Number (OGRN) assigned to the legal entity ( <i>13 characters</i> ).
	<b>O</b>	<i>Optional field for Russian Non-resident legal entities.</i>
<i>Date of the entry made in the Register</i>	<b>M</b>	Using the DD.MM.YYYY format, specify:  - for legal entities registered <b>before 1 July 2002</b> - the date of OGRN assignment; - for legal entities registered <b>after 1 July 2002</b> - the registration date.
	<b>O</b>	<i>Optional field for Russian Non-resident legal entities if the field "Principal State Registration Number (OGRN)" is not completed.</i>
<i>Registration authority</i>	<b>M</b>	Provide the name of the registration authority. Mandatory field for Russian Resident clients of a Clearing Participant.
<b>Information Regarding the Legal Entity's Registration</b>		



<i>Field</i>	<i>M/O</i>	<i>Comments</i>
<i>Registration number</i>	<b>M</b>	The following is to be specified: <ul style="list-style-type: none"> <li>- by Russian Resident legal entities registered <i>before 1 July 2002</i> - the legal entity's state registration number;</li> <li>- by Russian Resident legal entities registered <i>after 1 July 2002</i> - the Principal State Registration Number (OGRN) assigned to the legal entity at the time of its incorporation;</li> <li>- by Russian Non-resident legal entities - the legal entity's registration number</li> </ul>
<i>State registration date</i>	<b>M</b>	Provide the legal entity's registration date in the DD.MM.YYYY format. Legal entities registered <i>after 1 July 2002</i> shall specify the date when the entry confirming the incorporation of the legal entity was made in the Unified State Register of Legal Entities. Legal entities registered <i>before 1 July 2002</i> shall specify the registration date falling before 1 July 2002, which was entered in the Unified State Register of Legal Entities.
<i>Registration authority</i>	<b>M</b>	Provide the name of the registration authority that registered the legal entity upon its incorporation (max. 120 characters).
<b><i>Principal Place of Business</i></b>		
<i>Postal code</i>	<b>O</b>	Provide the postal code.
<i>Address</i>	<b>M</b>	For Russian Resident legal entities, provide the address of the legal entity's registered office as per the Unified State Register of Legal Entities, including the full name of the locality (city/town/etc.) and street (avenue/side street/square/etc.), as well as the house/building number and office/room number (max. 120 characters).  For Russian Non-resident legal entities, provide the address of the legal entity's registered office as per the legal entity's certificate of incorporation or constitutional documents, including the full name of the locality (city/town/etc.) and street (avenue/side street/square/etc.), as well as the house/building number and office/room number (max. 120 characters).
<b><i>Mailing address</i></b>		
<i>Postal code</i>	<b>O</b>	Provide the postal code.
<i>Address</i>	<b>M</b>	Provide the postal code, full name of the locality (city/town/etc.) and street (avenue/side street/square/etc.), as well as the house/building number and office/room number (legal entity's mailing address) (max. 120 characters).
<i>Telephone</i>	<b>M</b>	Provide the legal entity's telephone number, including the international/area code.
<i>Fax</i>	<b>O</b>	Provide the legal entity's fax number, including the international/area code.
<i>E-mail</i>	<b>M</b>	Provide the legal entity's e-mail address (max. 60 characters). The field is mandatory.
<b><i>Legal Entity's Bank Account Details</i></b>		
<i>For payments in Russian Roubles: Beneficiary's account</i>	<b>M</b>	Provide the number of the beneficiary's account (20 characters). This field may not be used to provide the correspondent account number. If the beneficiary is a credit institution, and the payment is to be remitted to its correspondent account, put 20 zeros in this field.
<i>Beneficiary</i>	<b>M</b>	Provide the beneficiary's name which has to be specified in the 'Beneficiary' field in the payment instruction (max. 160 characters).
<i>Beneficiary's INN (Taxpayer Identification Number)</i>	<b>M</b>	Provide the beneficiary's Taxpayer Identification Number (INN) which has to be specified in the 'Taxpayer Identification Number (INN)' field in the payment instruction (for Russian Residents, max. 10 characters).  If the Russian Non-resident legal entity does not have a Taxpayer Identification Number, put ten zeros.
<i>Beneficiary's Taxpayer Registration Reason Code (KPP)</i>	<b>O</b>	Provide the beneficiary's Taxpayer Registration Reason Code (KPP) which has to be specified in the 'Taxpayer Registration Reason Code (KPP)' field in the payment instruction (strictly 9 characters).

<b>Field</b>	<b>M/O</b>	<b>Comments</b>
<i>Bank's name</i>	<b>M</b>	Provide the full name of the bank with which the beneficiary's account is held ( <i>max. 70 characters</i> ).
<i>Bank's city</i>	<b>M</b>	Provide the city of the bank with which the beneficiary's account is held ( <i>max. 30 characters</i> ).
<i>Bank's correspondent account</i>	<b>M</b>	Provide the number of the correspondent account of the bank with which the beneficiary's account is held.
<i>Russian bank identification code</i>	<b>M</b>	Provide the Russian bank identification code of the bank with which the beneficiary's account is held ( <i>9 characters</i> ).
<i>Details to be added under 'Purpose of Payment' in a payment instruction</i>	<b>O</b>	Provide the details to be added in the 'Purpose of Payment' field in the payment instruction, without which the payment cannot be properly remitted to the Client ( <i>max. 70 characters</i> ).
<i>Additional details</i>	<b>O</b>	Provide additional details ( <i>max. 254 characters</i> ).

<i>Appendix No.</i>	
<i>Document number:</i>	<i>Date</i>

<i>Depository Code</i>

**AUTHORIZED REPRESENTATIVE'S DETAILS FORM**

The City of \_\_\_\_\_ 20\_\_

1. Client: \_\_\_\_\_
2. Client's depository code: \_\_\_\_\_
3. Operator: \_\_\_\_\_
4. Operator's depository code: \_\_\_\_\_

**Authorized Representative:**

5. Full name: \_\_\_\_\_
6. Position: \_\_\_\_\_
7. Passport: \_\_\_\_\_  

Series \_\_\_\_\_
№ \_\_\_\_\_

issue date \_\_\_\_\_
\_\_\_\_\_
8. Business phone number: \_\_\_\_\_

Specimen signature	
Specimen seal impression	

\_\_\_\_\_ (Position)
\_\_\_\_\_ (Full Name)
\_\_\_\_\_ (Signature)

**Stamp**

<p><b>Instruction's reg. number</b> _____</p> <p><b>Instruction acceptance date:</b> _____ 20__</p> <p><b>Instruction acceptance time:</b> _____</p> <p><b>Operations clerk:</b> _____  <div style="text-align: center;">(Signature)</div> </p>	<p><b>Instruction entry date:</b> _____</p> <p><b>Operator:</b> _____  <div style="text-align: center;">(Signature)</div> </p>
---	--

Transaction Completion Report No.: \_\_\_\_\_ Date: \_\_\_\_\_, 20\_\_ Controller: \_\_\_\_\_  

(Signature)

### Form AA003 Completion Guidelines

Field	M/O	Comments
<i>Document number</i>	<b>O</b>	Provide the sequential number of the Appendix and the details of the Instruction to which the Authorized Representative's Details Form is attached: <ul style="list-style-type: none"> <li>• Number and acceptance date of the Instruction to which the Details Form is attached;</li> <li>• Client's/Operator's depository code</li> </ul>
<i>Client</i>	<b>M</b>	Provide the Client's full corporate name
<i>Client's depository code</i>	<b>M</b>	Provide the Client's depository code ( <i>12 characters</i> )
<i>Operator</i>	<b>M/O</b>	Provide the Operator's full corporate name ( <i>to be completed if an Operator's authorized representative is designated</i> )
<i>Operator's depository code</i>	<b>M/O</b>	Provide the Operator's depository code ( <i>12 characters</i> ) ( <i>to be completed if an Operator's authorized representative is designated</i> )
<i>Full name</i>	<b>M</b>	Provide the full name (last, first and patronymic names) of the authorized person with respect to the relevant securities account/sub-account
<i>Position</i>	<b>M</b>	Specify the position (job title) of the authorized representative at the Client's/Operator's organization
<i>Passport</i>	<b>M</b>	Provide the details of the authorized person's ID document
<i>Business phone number</i>	<b>M</b>	Provide the authorized person's business phone number ( <i>including international code</i> )
<i>Specimen signature</i>	<b>M</b>	Provide the authorized representative's specimen signature
<i>Specimen seal impression</i>	<b>M</b>	Provide the specimen seal impression to be used along with the authorized representative's signature

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

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

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

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

### Additional Details for Identification of a Legal Entity

**Section 1.**

<i>No changes have been made to the earlier provided details in Section 1 of Form AA101.</i>				
<b>1. Details of Incorporators (Shareholders / Members)</b> <i>(if necessary, add the required number of lines)</i>				
<b>Member / Shareholder</b> <i>(Individual's full name / Legal entity's full corporate name)</i>	<b>Shareholding</b> <i>(in %)</i>	<b>TIN</b>	<b>Country of incorporation / citizenship</b>	
<b>2. Details of the legal entity's management bodies</b> <i>(tick the appropriate management bodies as per your organization's constitutional documents)</i>				
General Meeting of Shareholders <input type="checkbox"/>	Supervisory Board <input type="checkbox"/>	Executive Board <input type="checkbox"/>		
General Meeting of Members <input type="checkbox"/>	Board of Directors <input type="checkbox"/>	Chief Executive Officer <input type="checkbox"/>		
Other (please specify) <input type="checkbox"/>				
<b>Management body members</b> <i>(please list the members of the management bodies ticked in item 2 above)</i>				
Management body	Management body members			Status of the management body member
	Last name	First name	Patronymic name	
<b>3. Information regarding the amount of the registered share (charter) capital or the amount of contributed capital or assets</b>				
Please specify the amount of the registered share (charter) capital as per your organization's constitutional documents				
<b>4. Information on whether the legal entity's standing management body, or any other body, or an individual authorized to act on behalf of the legal entity without a power of attorney is physically present at the legal entity's principal place of business</b>				
Present <input type="checkbox"/>	Not present <i>(please specify the actual address)</i> _____ <input type="checkbox"/>			
<b>5. Place of registration</b> <i>(please specify the legal entity's registered office as per the Articles of Association or any other constitutional documents)</i>				
<b>6. Code as per the All-Russian Classifier of Subnational Entities (OKATO)</b> <i>(if any)</i>				
OKATO code				

<b>7. Details required to identify a beneficiary</b> <i>(tick as appropriate)</i>	
Beneficiary's details	Does not exist <span style="float: right;"><input type="checkbox"/></span>
	Exists* <span style="float: right;"><input type="checkbox"/></span>
<b>Details evidencing that the client acts for the benefit of a third party</b> <i>(Repeating part start)</i>	
Beneficiary's full corporate name / last name, first name, and patronymic name	
Document name	
Document number	
Document date	
<i>End of the repeating part "Details evidencing that the client acts for the benefit of a third party"</i>	
*Where beneficial owners and/or beneficiaries exist, a details form "Corporate Beneficiary's Details" (Form AA107) must be completed and provided for each corporate beneficiary, or "Individual Beneficiary's (Beneficial Owner's) Details" (Form AA106) must be completed and provided for each beneficial owner and/or beneficiary being an individual.	

\_\_\_\_\_

(Position)

\_\_\_\_\_ Stamp

(Full Name)

\_\_\_\_\_

(Signature)

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

<i>No changes have been made to the earlier provided details in Section 2 of Form AA101.</i>				
<b>8. Details required to identify beneficial owners</b>				
<b>Beneficial owners' details</b>				
<b>Do not exist</b> <input type="checkbox"/>	No individual beneficial owners exist			
<b>Information is not disclosed</b> <input type="checkbox"/>	<i>Please specify why information is not disclosed</i>			
<b>Exist**</b> <input type="checkbox"/> <i>(information on all individual beneficial owners must be disclosed)</i>	Last name	First name	Patronymic name <i>(if any)</i>	Information evidencing that the person is a beneficial owner
<b>The diagram showing owners and beneficial owners, indicating their respective shareholdings, is attached</b>				
** Where beneficial owners exist, a details form "Individual Beneficiary's (Beneficial Owner's) Details" (Form AA106) must be completed and provided for each beneficial owner.				
<b>9. Information regarding the intended purpose and expected nature of business relationships with NSD</b> <i>(to be completed if the legal entity establishes or expands its business relationships with NSD)</i>				
<b>10. Information regarding the objectives of financial and operating activities</b> <i>(to be completed if the legal entity establishes or expands its business relationships with NSD)</i>				
<b>11. Information regarding sources of cash and/or other assets</b> <i>(please choose one or more than one source)</i>				
Legal entity's operating income <input type="checkbox"/>	Clients' cash received under brokerage or asset management agreements <input type="checkbox"/>	Income from sale and purchase of securities / interest in the share capital of legal entities <input type="checkbox"/>		
Own funds <input type="checkbox"/>	Borrowings under loan/facility agreements <input type="checkbox"/>	Other <i>(please specify)</i> <input type="checkbox"/>		
<b>12. Information regarding the financial standing</b> <i>(please check one or more than one box)</i>				
The legal entity has been assigned a rating by an international or national rating agency, and the rating is posted online <input type="checkbox"/> <i>(please specify the rating and its source)</i>	There are no insolvency (bankruptcy) proceedings pending against the legal entity, or enforceable court rulings declaring the legal entity insolvent (bankrupt), or liquidation proceedings with respect to the legal entity, as at the date the documents are submitted to NSD <input type="checkbox"/>	Other <i>(please specify)</i> <input type="checkbox"/>		
<b>13. Information regarding the business reputation</b> <i>(please check one or more than one box)</i>				
A letter of reference is attached from a legal entity's counterparty being a client of NSD, or from a credit organization by which the legal entity was/is serviced <input type="checkbox"/>	An attested copy of the Auditors' Report for the last financial year is attached <input type="checkbox"/>	The Auditor's Report is available online in the electronic format at: <i>(please provide the web address)</i> <input type="checkbox"/>	Other <i>(please specify)</i> <input type="checkbox"/>	
<b>14. Information regarding the anti-money laundering measures being taken by the legal entity, including measures in accordance with the legal entity's 'know-your-customer' policy</b>				
Internal Control Rules for AML/CFT/WMD are approved <input type="checkbox"/>	A business unit responsible for compliance with the Internal Control Rules for AML/CFT/WMD is established <input type="checkbox"/>	Identification of clients, their representatives, beneficiaries, and beneficial owners is performed <input type="checkbox"/>		

Identification of transactions subject to mandatory control and abnormal transactions and trades is performed <input type="checkbox"/>	AML/CFT/WMD training of staff is organized <input type="checkbox"/>	An AML/CFT/WMD officer is appointed (please provide his/her full name) <input type="checkbox"/>		
<b>15. Information collected with the aim of identifying business entities of strategic importance for the defense industry and state security of the Russian Federation, and business entities directly or indirectly controlled thereby, or federal unitary enterprises of strategic importance for the defense industry and state security of the Russian Federation, and business entities directly or indirectly controlled thereby, or state corporations, state-owned enterprises, or public law companies</b>				
Is your organization a business entity or federal unitary enterprise of strategic importance for the defense industry and state security of the Russian Federation?	Is your organization controlled by a business entity or federal unitary enterprise of strategic importance for the defense industry and state security of the Russian Federation?			
No <input type="checkbox"/>	No <input type="checkbox"/>			
	Yes (please provide the details below) <input type="checkbox"/>			
Yes <input type="checkbox"/>	Business entity's / federal unitary enterprise's full name			
	Business entity's / federal unitary enterprise's taxpayer identification number			
Is your organization a state corporation?	No, it is not			
	Yes, it is			
Is your organization a state-owned company?	No, it is not			
	Yes, it is			
Is your organization a public law company?	No, it is not			
	Yes, it is			
<b>16. Information on whether the legal entity maintains relationships with non-resident banks accounts with which are known to be used by a bank that does not have its standing management bodies within the jurisdiction of its incorporation</b>				
No such relationships exist <input type="checkbox"/>	Such relationships exist <input type="checkbox"/>			
	Non-resident bank's full name			
	Jurisdiction of incorporation			
	Jurisdiction within which the bank's standing management bodies are located			
<b>17. Details of licenses: type, number, date of issue, issuing authority, duration, and types of licensed activities</b>				
License type	License number	Date of issue	Issuing authority	Types of licensed activities
Banking license <input type="checkbox"/>				
Professional securities market participant license for depository business <input type="checkbox"/>				
Professional securities market participant license for dealer business <input type="checkbox"/>				
Professional securities market participant license for brokerage business <input type="checkbox"/>				
Professional securities market participant license for securities management business <input type="checkbox"/>				
Other (please specify) <input type="checkbox"/>				
<b>18. Details of the principal (actual) activities</b>				
<b>19. E-mail address for sending requests for documents required to update the legal entity's details</b>				

\_\_\_\_\_  
(Position)

\_\_\_\_\_  
(Full Name)

\_\_\_\_\_  
Stamp

\_\_\_\_\_  
(Signature)



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

<b>20. Information required to determine the nature of business relations</b>	
Value of clients' securities held in custody at the foreign organization (as at the date when the Details Form is submitted, in USD)	
Types of securities held in clients' accounts with the foreign organization	
Interaction with NSD is expected to be maintained: by the foreign organization on its own <input type="checkbox"/> through an operator <input type="checkbox"/>	
Are bank accounts expected to be opened with NSD? Yes <input type="checkbox"/> No <input type="checkbox"/>	Purpose for which the bank accounts are to be opened with NSD:
Expected average annual balance of securities held in custody at NSD	
Types of securities expected to be held in the foreign nominee securities account with NSD	
Types of trades expected to be settled using the foreign nominee securities account with NSD: On-exchange trades <input type="checkbox"/> OTC trades <input type="checkbox"/>	
Is your organization, in accordance with the laws of jurisdiction of its incorporation, authorized to record and transfer rights to securities: Yes <input type="checkbox"/> No <input type="checkbox"/>	

\_\_\_\_\_ (Position)

\_\_\_\_\_ (Full Name)

\_\_\_\_\_ (Signature)

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## Form AA101 Completion Guidelines

### Section 1.

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

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

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

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

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

All shareholders holding at least one per cent in the share capital of your organization have to be named.
  - 1.2. Shareholding (in %)**

Please specify the shareholding owned by each shareholder holding at least one per cent in the share capital of your organization.
  - 1.3. Taxpayer Identification Number (INN)**

Please specify INN for each corporate shareholder being a Russian resident.
  - 1.4. Country of incorporation / citizenship**

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

For each legal entity, please specify his/her country of incorporation in full.
- 2. Details of the legal entity's management bodies** *(tick the appropriate management bodies as per the legal entity's constitutional documents)*

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

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

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

If any member of any management body is a legal entity, the 'Last name' field must be used to specify the legal entity's full corporate name. In this case, the 'First name' and 'Patronymic name' fields are to be omitted.
- 3. Information regarding the amount of the registered share (charter) capital or the amount of contributed capital or assets**

Please specify the amount of the registered share (charter) capital as per the legal entity's constitutional documents, including the currency of the share capital.
- 4. Information on whether the legal entity's standing management body, or any other body, or an individual authorized to act on behalf of the legal entity without a power of attorney is physically present at the legal entity's principal place of business**

Please check 'Present' or 'Not present', as appropriate. If the legal entity's standing management body, or any other body, or an individual authorized to act on behalf of your organization without a power of attorney is not physically present at your organization's principal place of business, please specify their actual address.
- 5. Place of registration** *(please specify the legal entity's registered office as per the Articles of Association or other constitutional documents)*

Please specify your organization's registered office as per the constitutional documents.

**6. Code as per the All-Russian Classifier of Subnational Entities (OKATO) (if any)**

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

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

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

**7.1. Details evidencing that the client acts for the benefit of a third party (Repeating part start)**

These fields are to be completed if there is a beneficiary.

Please provide the following details in the applicable fields:

- Beneficiary's full corporate name / last name, first name, and patronymic name (if any);
- Name, date, and number of the document evidencing that your organization acts for the benefit of the relevant third party.

If there are several beneficiaries, the part "Details evidencing that the client acts for the benefit of a third party" has to be repeated as many times as necessary.

Where beneficiaries exist, a details form "Corporate Beneficiary's Details" (Form AA107) (for organizations) or "Individual Beneficiary's (Beneficial Owner's) Details" (Form AA106) (for individuals) must be completed and provided for each beneficiary.

**Section 2.**

*(To be filled in on a separate sheet)*

***No changes have been made to the earlier provided details in Section 2 of Form AA101.***

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

**8. Details required to identify beneficial owners**

**8.1. Beneficial owners' details**

Please check one of the boxes:

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

NB:

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

**9. Information regarding the intended purpose and expected nature of business relationships with NSD (to be completed if the legal entity establishes or expands its business relationships with NSD)**

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

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

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

For the purpose of entering into an Issuer Account Agreement, the following details have to be provided with respect to the proposed bond offering: nominal value per security; number of securities to be issued; maturity; bond yield (e.g., proposed coupon rate and coupon income frequency); type of

bonds to be issued: commercial papers (registered by NSD), or on-exchange bonds (specify the relevant exchange), or bonds registered by the Bank of Russia. If private offering is proposed, specify potential buyers.

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

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

- Types of agreements (contracts) payments under which are expected to be made through NSD;
- Your organization's key counterparties; and
- Expected payers and payees in transactions involving cash funds in your organization's bank account(s).

**11. Information regarding sources of cash and/or other assets** *(please choose one or more than one source)*

Please check as appropriate.

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

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

Please check as appropriate.

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

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

Please check as appropriate.

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

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

**14. Information regarding the anti-money laundering measures being taken by the legal entity, including measures in accordance with the legal entity's 'know-your-customer' policy**

If this part is to be completed, please provide information regarding the anti-money laundering measures being taken by your organization, including measures in accordance with your organization's 'know-your-customer' policy.

**15. Information collected with the aim of identifying business entities of strategic importance for the defense industry and state security of the Russian Federation, and business entities directly or indirectly controlled thereby, or federal unitary enterprises of strategic importance for the defense industry and state security of the Russian Federation, and business entities directly or indirectly controlled thereby, or state corporations, state-owned enterprises, or public law companies**

**15.1. Is your organization a business entity or federal unitary enterprise of strategic importance for the defense industry and state security of the Russian Federation?**

Please check as appropriate.

**15.2. Is your organization controlled by a business entity or federal unitary enterprise of strategic importance for the defense industry and state security of the Russian Federation?**

Please check as appropriate.

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

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

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

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

Please check as appropriate.

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

Please check as appropriate.

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

Please check as appropriate.

**16. Information on whether the legal entity maintains relationships with non-resident banks accounts with which are known to be used by a bank that does not have its standing management bodies within the jurisdiction of its incorporation**

**16.1. No such relationships exist**

This box has to be checked if your organization does not maintain relationships with non-resident banks accounts with which are known to be used by a bank that does not have its standing management bodies within the jurisdiction of its incorporation.

**16.2. Such relationships exist**

This box has to be checked if your organization maintains relationships with non-resident banks accounts with which are known to be used by a bank that does not have its standing management bodies within the jurisdiction of its incorporation.

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

- Full name of the non-resident bank accounts with which are known to be used by a bank that does not have its standing management bodies within the jurisdiction of its incorporation;
- Jurisdiction of incorporation of such non-resident bank; and
- Jurisdiction within which the non-resident bank's standing management bodies are located.

**17. Details of licenses: type, number, date of issue, issuing authority, duration, and types of licensed activities**

Please check all of the licenses held by your organization.

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

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

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

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

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

Please provide details of your organization's principal (actual) activities as per your organization's constitutional and/or any other documents.

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

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

### Section 3.

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

#### **Information required to determine the nature of business relations**

Value of clients' securities held in custody at the foreign organization (as at the date when the Details Form is submitted, in USD)	<p><i>This field is mandatory.</i></p> <p>Provide the total value of securities (in USD) in the Client's accounts intended to keep records of securities owned by Client's customers, which are held with non-Russian organizations, as at the date when such information is submitted; as well as the value of securities in the Client's account with each non-Russian organization (stating the organization's name and jurisdiction).</p> <p><i>Total value of securities: USD _____, including:</i></p> <ul style="list-style-type: none"><li>- organization's name and jurisdiction - (value, currency);</li><li>- organization's name and jurisdiction - (value, currency);</li></ul> <p><i>and so on, for each place of safekeeping.</i></p>
Types of securities held in clients' accounts with the foreign organization	<p><i>This field is mandatory.</i></p> <p>List the securities held by your clients in your accounts with a non-Russian organization, stating the name of securities issuers.</p> <p><b>Russian securities:</b></p> <ul style="list-style-type: none"><li>- shares (state the issuers' names);</li><li>- bonds (state the issuers' names);</li><li>- UIT units (state the names of UIT funds and their management companies);</li><li>- other (please specify)</li></ul> <p><b>Non-Russian securities:</b></p> <ul style="list-style-type: none"><li>- shares (state the issuers' names);</li><li>- bonds (state the issuers' names);</li><li>- units (state the funds' names);</li><li>- other (please specify)</li></ul>
Interaction with NSD is expected to be maintained:	<p><i>This field is mandatory.</i></p> <p>Specify how your organization will interact with NSD: either through an operator, or on its own. If through an operator, provide the operator's name.</p>
Are bank accounts expected to be opened with NSD?	<p><i>This field is mandatory.</i></p> <p>Tick 'Yes' or 'No' as appropriate, and specify the purpose of opening bank accounts with NSD.</p>
Expected average annual balance of securities held in custody at NSD	<p><i>This field is mandatory.</i></p> <p>Provide an approximate value of securities the Client intends to hold in the foreign nominee securities account with NSD: in RUB (for Russian securities), and in USD equivalent (for non-Russian securities).</p>
Types of securities expected to be held in the foreign nominee securities account with NSD	<p><i>This field is mandatory.</i></p> <p>List the securities your organization proposes to hold in the foreign nominee securities account with NSD, stating the name of securities issuers.</p> <p><b>Russian securities:</b></p> <ul style="list-style-type: none"><li>- shares (state the issuers' names);</li><li>- bonds (state the issuers' names);</li><li>- UIT units (state the names of UIT funds and their management</li></ul>

	<p><i>companies);</i>  <i>- other (please specify)</i>  <b>Non-Russian securities:</b>  <i>- shares (state the issuers' names);</i>  <i>- bonds (state the issuers' names);</i>  <i>- units (state the funds' names);</i>  <i>- other (please specify)</i></p>
Types of trades expected to be settled using the foreign nominee securities account with NSD	<p><i>This field is mandatory.</i>  Tick 'On-exchange trades' or 'OTC trades' as appropriate.</p>
Is your organization, in accordance with the laws of jurisdiction of its incorporation, authorized to record and transfer rights to securities?	<p><i>This field is mandatory.</i>  Tick 'Yes' or 'No' as appropriate.  'Yes' must be ticked if the Client applies to open a foreign nominee securities account.  By ticking 'Yes', the Client will be deemed to have acknowledged that, in accordance with the laws of jurisdiction of its incorporation, it is authorized to record and transfer rights to securities.  The Client is also required to submit any documents evidencing that, in accordance with the laws of jurisdiction of its incorporation, it is authorized to record and transfer rights to securities.  If no such documents are available, the Client is required to provide a reference to the laws of jurisdiction of its incorporation in accordance with which the Client is authorized to record and transfer rights to securities.  If 'No' is ticked, NSD will not open a foreign nominee securities account for the Client.</p>

### Individual Beneficiary's (Beneficial Owner's) Details

\_\_\_\_\_  
*Client's name*

Person's status (beneficiary or beneficial owner):	
Last name, first name, and patronymic name (unless otherwise required by law or national traditions):	
Date and place of birth:	Date (DD.MM.YYYY): Place of birth:
Nationality:	
ID document details:	Document type: Document series: Document number: Date of issue: Issuing authority: Department code (if any):
Migration card details (for foreign nationals or stateless persons):	Card number: Period of stay start date: Period of stay end date:
Details of a document evidencing a foreign national's or stateless person's right to stay (reside) in the Russian Federation (for foreign nationals or stateless persons):	Document type: Document series (if any): Document number: Effective date of the right to stay (reside): Expiry date of the right to stay (reside):
Place of residence (registration) or place of stay address:	
Taxpayer identification number (if any):	
Contact telephone and fax numbers (if any):	
Form completion date:	

\_\_\_\_\_  
(Position)

\_\_\_\_\_  
(Full Name)

\_\_\_\_\_  
(Signature)

Stamp



## Corporate Beneficiary's Details

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*Client's corporate name*

Beneficiary's full name in Russian	
Short name in Russian <i>(if any)</i>	
Full name in a foreign language <i>(if any)</i>	
Short name in a foreign language <i>(if any)</i>	
Legal form	
Taxpayer Identification Number (INN) <i>(for Russian residents)</i>	
Taxpayer Identification Number or Foreign Company Code (KIO) <i>(for non-Russian residents)</i>	
OKPO Code <i>(for Russian residents)</i>	
OKATO Code <i>(if any)</i>	

State registration details <i>(for Russian residents)</i>	
Principal State Registration Number (OGRN)	
Date of the entry made in the Russian Unified State Register of Legal Entities	
Registration authority	
Place of state registration (registered office)	

Initial registration details <i>(for Russian residents incorporated before 1 July 2002)</i> , or incorporation details <i>(for non-Russian residents)</i>	
Registration number	
Registration (incorporation) date	
Registration authority	
Place of registration	

Legal entity's address <i>(country, region, city (town, etc.), street, house number, building number, office number)</i>	
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Date of the Details Form:	
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Employee who has completed the Details Form:	
Full name:	
Position:	
Signature:	

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(Position)

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(Full Name)

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(Signature)

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**Nominee Account Beneficiary's Details Form  
(for Legal Entities)**

*(corporate name of the Client holding the nominee account)*

Nominee account beneficiary's full corporate name in Russian	
Short name in Russian (if any)	
Full name in a foreign language (if any)	
Short name in a foreign language (if any)	
Legal form	
Taxpayer Identification Number (INN) (for Russian residents)	
Taxpayer Identification Number or Foreign Company Code (KIO) (for non-Russian residents)	
OKPO Code (for Russian residents)	
OKATO Code (if any)	

State registration details (for Russian residents)	
Principal State Registration Number (OGRN)	
Date of the entry made in the Russian Unified State Register of Legal Entities	
Registration authority	
Place of state registration (registered office)	

Initial registration details (for Russian residents incorporated before 1 July 2002), or incorporation details (for non-Russian residents)	
Registration number	
Registration (incorporation) date	
Registration authority	
Place of state registration (registered office)	

Registered office (country, region, city (town, etc.), street, house number, building number, office number)	
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Date of the Details Form:	
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\_\_\_\_\_  
(Position)

\_\_\_\_\_  
(Full Name)

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\_\_\_\_\_  
(Signature)

### Nominee Account Beneficiary's Details Form (for Individuals)

(corporate name of the Client holding the nominee account)

Last name, first name, and patronymic name (if any) of the nominee account Beneficiary	
Date and place of birth	Date (DD.MM.YYYY) Place of birth
Nationality	
ID document details	Document name: Series and number: Date of issue: Issuing authority: Department code (if any):
Migration card details (for foreign nationals or stateless persons):	Card number: Period of stay start date: Period of stay end date:
Details of a document evidencing a foreign national's or stateless person's right to stay (reside) in the Russian Federation (for foreign nationals or stateless persons):	Document name: Series (if any) and number: Effective date of the right to stay (reside): Expiry date of the right to stay (reside):
Place of residence ( <i>registration</i> )	Country: Region: City (town, etc.): Street: House number: Building number: Apartment number:
Place of stay address	Country: Region: City (town, etc.): Street: House number: Building number: Apartment number:
Taxpayer Identification Number (if any)	
Contact details (if any)	Telephone: Fax: E-mail: Mailing address:
Date of the Details Form:	

\_\_\_\_\_  
(Position)

\_\_\_\_\_  
(Full Name)

\_\_\_\_\_  
(Signature)

Stamp

**Nominee Account Beneficiary's Details Form  
(for Individual Entrepreneurs)**

*(corporate name of the Client holding the nominee account)*

Last name, first name, and patronymic name <i>(if any)</i> of the nominee account Beneficiary	
Date and place of birth	Date (DDMMYYYY): Place of birth:
Nationality	
ID document details	Document name: Series and number: Date of issue: Issuing authority: Department code (if any):
Migration card details <i>(for foreign nationals or stateless persons)</i>	Card number: Period of stay start date: Period of stay end date:
Details of a document evidencing a foreign national's or stateless person's right to stay (reside) in the Russian Federation (for foreign nationals or stateless persons)	Document name: Series (if any) and number: Effective date of the right to stay (reside): Expiry date of the right to stay (reside):
Place of residence <i>(registration)</i>	Country: Region: City (town, etc.): Street: House number: Building number: Apartment number:
Place of stay address	Country: Region: City (town, etc.): Street: House number: Building number: Apartment number:
Taxpayer Identification Number (INN)	
Details of registration as individual entrepreneur	Registration date (DDMMYYYY): State registration number: Place of state registration:
Contact details <i>(if any)</i>	Telephone: Fax: E-mail: Mailing address:
Date of the Details Form:	

\_\_\_\_\_  
(Position)

\_\_\_\_\_  
(Full Name)

Stamp

\_\_\_\_\_  
(Signature)

## Tax Residency Details

*Client's name*

*To be issued using the official letterhead (if any) of the Russian Non-resident Client, with disclosure of details requested below, and any other details at the Client's discretion*

<b>1</b>	Jurisdiction(s) of which the Client is a tax resident	
Is the Client a Russian taxpayer?		
<b>2</b>	<input type="checkbox"/>	<b>Yes</b> specify the grounds on which the Client is a Russian taxpayer ( <i>e.g., the Client has a branch/representative office registered in the Russian Federation</i> )
	<input type="checkbox"/>	<b>No</b>
<b>3</b>	Name and address of the non-Russian credit institutions with which the Client maintains/used to maintain civil law-regulated relationships arising from a bank account agreement, including the nature and duration of such relationships	
<b>4</b>	Name of the Russian credit institutions with which the Client maintains/used to maintain civil law-regulated relationships arising from a bank account agreement, including the nature and duration of such relationships	
<b>5</b>	Name and address of the non-Russian organizations with which the Client holds/used to hold accounts to hold securities owned by the Client, including duration of such relationships	
<b>6</b>	Name and address of the non-Russian organizations with which the Client holds/used to hold accounts as a person acting on behalf of third parties and authorized to record and transfer rights to securities, including the duration of such relationships	
<b>7</b>	Name of the Russian depositories with which the Client maintains/used to maintain civil law-regulated relationships arising from securities account agreements, and types of securities accounts (owner securities accounts and/or foreign nominee securities accounts), including the duration of such relationships	
Is the Client obliged to file its financial statements with competent authorities in the jurisdiction of its incorporation or in the jurisdiction in which the Client operates?		
<b>8</b>	<input type="checkbox"/>	<b>Yes</b> Please list such competent authorities
	<input type="checkbox"/>	<b>No</b>
<b>9</b>	Has the Client submitted its financial statements for the last accounting period? ( <i>if the Client has the duty to do so</i> )	
	<input type="checkbox"/>	<b>Yes</b> Please specify the last accounting period and the URL link to the website ( <i>if any</i> ) where such financial statements are available

	<input type="checkbox"/>	<b>No</b>	
<b>10</b>	Does the Client prepare financial statements for its management bodies? <i>(applicable if the Client is not required to file its financial statements with competent authorities)</i>		
	<input type="checkbox"/>	<b>Yes</b>	Please provide the URL link to the website <i>(if any)</i> where the most recent financial statements are available
	<input type="checkbox"/>	<b>No</b>	
<b>11</b>	Are Client's financial statements independently audited?		
	<input type="checkbox"/>	<b>Yes</b>	Please provide the URL link to the website <i>(if any)</i> where the auditor's report is available
	<input type="checkbox"/>	<b>No</b>	
<b>12</b>	Client's headcount <i>(as at the date these details are provided)</i>		
<b>13</b>	Client's official web site <i>(if any)</i>		
<b>14</b>	Any other details <i>(at the Client's discretion)</i>		

\_\_\_\_\_  
(Position)

\_\_\_\_\_  
(Full Name)

\_\_\_\_\_  
Stamp (Signature)

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