**List of Documents that must be submitted by security holders to NSD for the purposes of receiving payments on securities (in cases where the Foreign Nominee Holder has/has not made the List of Holders available)**

# **Terms and Definitions**

* 1. **“Details Form АА001”** shall mean a Legal Entity's Details Form to be submitted by the Holder-Legal Entity using the form prescribed by NSD (Form AA001), as set out in [Appendix 1](#_Приложение_№_1) to the NSD List.
  2. **“Details Form АА101”** shall mean the additional details for identification of a Legal Entity to be submitted by the Holder-Legal Entity using the form prescribed by NSD (Form AA101), as set out in [Appendix 3](#_Приложение_3_3) to the NSD List.
  3. **“Details Form АА106”** shall mean the details of Individual Beneficiary's (Beneficial Owner's) to be submitted by the Holder using the form prescribed by NSD (Form AA106), as set out in [Appendix 4](#_Приложение_3_1) to the NSD List.
  4. **“Details Form АА107”** shall mean the Corporate Beneficiary's details to be submitted by the Holder using the form prescribed by NSD (Form AA107), as set out in [Appendix 5](#_Приложение_4) to the NSD List.
  5. **“Details Form AA116”** shall mean an Individual's Details Form to be submitted by the Holder-Natural Person using the form prescribed by NSD (Form AA116), as set out in [Appendix 6](#_Приложение_№_1) or Appendix 6.1 to the List.
  6. **“Apostille”** shall mean a stamp that meets the requirements set out in the Hague Convention Abolishing the Requirement of Legalisation for Foreign Public Documents signed in Hague on October 5, 1961 (the Hague Convention) and that is affixed by a competent authority of the state in which the relevant document is issued.
  7. **“Extract from the Document”** shall mean a document portion in hard copy that is certified by a Holder's authorized person and stamped with the seal (if any).
  8. **Payment on Securities** (as appropriate):
     1. cash proceeds and other cash payments on bonds of Russian issuers (except Russian Eurobonds) and bonds issued by foreign issuers that are not foreign persons referred to in Clause 1 of Decree No.95, for which NSD performs collective recordkeeping of rights (holds in collective safe custody);
     2. funds transferred by Russian legal entities in fulfilment of their obligations on foreign bonds issued by foreign organizations
     3. dividends on shares of Russian joint stock companies.
  9. **“Record Date”** shall mean the end of the transaction day on the date on which the persons eligible for Payments on Securities are decided.
  10. **“Holder”** shall mean any of the following persons eligible to receive Payment on Securities in a Russian joint stock company and who have applied to NSD for receiving such Payments on Securities pursuant to Clause 1.5 of Resolution of December 23, 2022 or Clause 3.9 of Resolution of December 23, 2022 or Clause 1.8 of the Resolution of December 29, 2022:
      1. a holder of securities (a person exercising the rights to securities) of a Russian joint stock company who is eligible for Payments on Securities;
      2. the beneficiary (beneficial owner) of an international organization (including one that is not a legal entity under the law of the organization's country of incorporation) that is a shareholder (only for dividend payment on shares of Russian joint stock companies”.
  11. **“EDI Agreement”** shall mean the Electronic Data Interchange Agreement between NSD and the Holder (if any).
  12. **“Application”** shall mean a Holder’s Payment on Securities Application (Appendix 5 or Appendix 5.1 to the List).
  13. **“International Securities Depository”** shall mean an international organization which is authorized under the personal law to record and transfer the rights to Securities (including the entity that has a Foreign Nominee Holder Account with).
  14. **“Foreign Nominee Holder”** shall mean an International securities depository which a Foreign Nominee Holder Account has been opened to.
  15. **“International Broker”** shall mean an international organisation entitled to carry out brokerage activities on the securities market under its personal law.
  16. **“Copy”** shall mean a document that reproduces in full an Original / Notarized Copy and its appearance, in hard copy, that is certified by the Holder's authorized person and stamped with corporate seal (if any), or a scanned copy certified by the EDS of Holder's authorized person, unless otherwise provided for by the EDI Agreement or the List, and submitted via the User Account.

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

* 1. **“Bank of Russia/Federal Tax Service User Account”** shall mean a Bank of Russia Data Interchange Participant's User Account, or Application Suite “E-Repository of Credit Institutions' Legal Files”, or Corporate User Account being used by the Holder to communicate with the registration authority.
  2. **“User Account”** shall mean the User Account software and hardware solution, a component of the Moscow Exchange's EDI System, through which the Participant may maintain Web-communications with the Moscow Exchange Group companies, including NSD.
  3. **“Nominee Holder”** shall mean a securities depository recording the rights to securities owned by other persons on its personal account (securities account).
  4. **“Notarized Extract”** shall mean a copy of a document portion which faithfulness to the Original is attested by a notary public in accordance with the applicable Russian laws on notaries or by a competent authority (person) of other country (accepted by NSD subject to legalisation in accordance with the procedures set forth in paragraphs 2.1 and 2.3 of the List).
  5. **“Notarized Copy”** shall mean (whichever applicable):
     1. a document copy which faithfulness to the Original is attested by a notary public in accordance with the applicable Russian laws on notaries;
     2. a document copy which faithfulness to the Original is attested by a relevant authority (person) of a foreign country (NSD accepts such copies only if legalized according to paragraphs 2.1 and 2.3 of Section 2 of the List).
  6. **“NSD”** shall mean National Settlement Depository.
  7. **“Restrictions”** shall mean (whichever applicable):
     1. restrictive measures imposed by foreign authorities, international organizations, foreign financial organizations in respect of the person for whose account information on the ownership of Securities has been submitted, or in relation to the person who directly or indirectly, solely or in the aggregate owns 50 or more per cent of the shares (interest) of the person in respect of whose account information on the ownership of Securities has been provided;
     2. restrictive measures imposed by foreign authorities, international organizations, foreign financial organizations on the territory of registration (citizenship) of the person for whose account information on the ownership of Securities has been submitted.
  8. **“Original”** shall mean (whichever applicable):
     1. an original document (first edition) in hard copy that is signed by the Holder (Holder’s authorized person) and stamped with corporate seal (if any), or a document/information in the form of an electronic file issued in the User Account (submitted via the User Account) and signed with the EDS of the Holder's authorized person, unless otherwise provided for by the EDI Agreement;
     2. an original document (first edition) in hard copy signed by the International Securities Depository (International Securities Depository’s authorized person) and bears the corporate seal (if any);
     3. original (first edition) of the document in hard copy signed by the International Broker (International Broker’s authorized person) and bears the corporate seal (if any).
  9. **“List”** shall mean the List of Documents to be Submitted by Security Holders to NSD for the Purposes of Receiving Payments on Securities (in cases where the Foreign Nominee Holder has/has not made the List of Holders available).
  10. **“NSD List”** shall mean the List of Documents to Be Submitted by Clients-Legal Entities to NSD available on the Website.
  11. **List 1 of Information (Documents) Necessary for Tax Withholding** shall mean List 1 of information (documents) in Appendix No.1 to the List.
  12. **List 2 of Information (Documents) Necessary for Tax Withholding** shall mean List 2 of information (documents) in Appendix No.2 to the List.
  13. **List 3 of Information (Documents), Necessary for Tax Withholding** shall mean a list 3 of information (documents) in Appendix No.3 to the List.
  14. **“Resolution of December 23, 2022”** shall mean the Bank of Russia BoD’s resolution dated December 23, 2022 “On establishing temporary requirements applicable to professional participants in the securities market engaged in depository activities and on the procedure for Russian legal entities holding Eurobond obligations to transfer funds to Eurobond holders”.
  15. **“Resolution of December 29, 2022”** shall mean the Bank of Russia BoD's resolution dated December 29, 2022 “On establishing requirements applicable to professional participants in the securities market engaged in depository activities when they transfer dividends paid on shares of Russian joint stock companies”.
  16. **“AML/CFT/WMD”** shall mean anti-money laundering and combating the financing of terrorism and financing of the proliferation of weapons of mass destruction.
  17. **“EDI Rules”** shall mean NSD's Electronic Data Interchange Rules.
  18. **“Website”** shall mean the website of NSD on the Internet at [www.nsd.ru](http://www.nsd.ru).
  19. **“List of Holders from the Foreign Nominee Holder”** means the list of Holders on the Record Date provided by the Foreign Nominee Holder to NSD upon request.
  20. **“Foreign Nominee Holder Account”** shall mean a securities account opened for the Foreign Nominee Holder.
  21. **Notification of Information (Documents)** shall mean a notification of sending information (documents) according to the form in Appendix 4 or Appendix 4.1 to the List.
  22. **“Decree No. 95”** -shall mean Russian Presidential Decree No.95 dated March 05, 2022 "On the temporary procedure for the fulfillment of obligations to certain foreign creditors".
  23. **“EDS”** shall mean an enhanced (either certified or non-certified) digital signature.
  24. **“BOoI”** shall mean beneficial ownership of income.
  25. **“Securities”** shall mean (as appropriate):
      1. bonds of Russian issuers (except Russian Eurobonds) and bonds of foreign issuers other than foreign persons referred to in Clause 1 of Decree No. 95 for which NSD performs collective recordkeeping of rights (holds in collective safe custody);
      2. foreign bonds issued by foreign organizations with obligations to be fulfilled by a Russian Legal Entity;
      3. shares of Russian joint stock companies;
      4. DRs representing shares of Russian joint stock companies.
  26. **“Non-resident Legal Entities”** shall mean legal entities that meet criteria of [paragraph 7 of part 1 of article 1](consultantplus://offline/ref=317790E51BCFACF469CA8A74DAC66273F0048F709B34E0294A56573C2C7592256D733403FBB4DCC7384CD55B1222A35BECE5BD409C83CAB6p5wAL) of Federal Law No. 173-FZ On Currency Regulation and Currency Control, dated December 10, 2003.
  27. **“Russian Resident Legal Entities”** shall mean legal entities that meet criteria of [paragraph 6 of part 1 of article 1](consultantplus://offline/ref=EE2A2EEEC4FB9E1B88E14B304EE80ED3CCDCB99C1AEC80C09F88A00F0D4609B5B8A2B5A5E2418A17B222C9D31C53107F8522DD5B23B94F97JBtBH) of Federal Law No. 173-FZ On Currency Regulation and Currency Control, dated December 10, 2003.
  28. Any other terms used in this List shall have the meanings given to them in the relevant Russian laws and in the EDI Rules.

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

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

* + 1. in accordance with the general rule, by way of consular legalization by consular posts of the Russian Federation or by consular sections of diplomatic missions of the Russian Federation; or

# for [Hague Convention](consultantplus://offline/ref=12E44CB08295DCA0320B0EAE6D04734A4F0E377F4FF79D1AA0758AE4E7DDC6A266F056F514E86F112E3E5FD792296B0A07616E10F3CFB6342A7912n2N) countries, by an Apostille.

# Legalization shall not be required if:

# the documents have been issued in a country that is a party to the [Convention on Legal Assistance and Legal Relations in Civil, Family and Criminal Matters](consultantplus://offline/ref=229A2E894FFE8C945714C306A1FCB7F625FEBE81BE17361CA3D758D1C9A91BB668A7F38EF7C03DB1AE14DA90EBC85D2E5FF883C385B8oAFDI) signed in Chisinau on 07 October 2002 (Armenia, Azerbaijan, Belarus, Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan);

# documents confirming the status of non-resident banks issued by competent authorities of other states;

# documents confirming the status of non-resident legal entities other than non-resident banks or foreign organisations without formation of a legal entity issued by the competent authorities of other states, unless NSD has any doubts as to the reliability or accuracy of the documents and/or information submitted by the said entities. In this case, NSD may request that such documents be legalised.

# Documents evidencing ownership of the securities in accordance with paragraph 2 section 4 of the List will be accepted by NSD provided that the signatories' signatures are authenticated[[1]](#footnote-1). NSD will accept these documents with the signatories' signatures authenticated outside the Russian Federation provided that legalization requirements are met:

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

# Requirement of paragraph 2.3 of the List are not applicable:

* + 1. if restrictive measures are imposed by foreign authorities, international organizations, foreign financial organizations on the person in respect of whose account information about the ownership of Securities has been provided, or on the person who directly or indirectly, solely or in the aggregate owns 50 or more per cent of the shares (interest) of the person in respect of whose account information on the ownership of Securities has been provided;
    2. if the Holder is a credit institution or a non-credit financial institution regulated by the Bank of Russia and whose securities rights are recorded by the International Securities Depository;
    3. if the International Securities Depository keeping records of the Holder's rights is a legal entity in respect of which a credit institution or a non-credit financial institution regulated by the Bank of Russia, by virtue of holding an interest in such legal entity or by virtue of authority received, inter alia, by virtue of a written agreement from other persons, holds more than fifty percent of the votes attributable to the voting shares (equity stake) in the share (contributed) capital of such legal entity[[2]](#footnote-2).

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

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

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

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

* + 1. [a Copy](#_Копия_–_документ,_1) of the document that supports his/her right to stay (reside) in the Russian Federation;
    2. information (in any form in writing) evidencing their address of stay in the Russian Federation and registration address outside the Russian Federation.
  1. The Holder may not provide identification documents if two conditions are satisfied concurrently (unless otherwise stipulated in the List):
     1. such documents were submitted by the Holder to NSD less than one (1) year ago;
     2. the Application states that there are no changes to the documents identifying the Holder previously submitted to NSD.
  2. When a Holder, who is the beneficial owner (beneficiary) of an international organization which is a shareholder, applies to NSD, such international organization is not required to submit documents for the purpose of dividend payments for a similar period. When NSD receives documents from both the beneficial owner of an international organization that is a shareholder and from such an international organization, NSD considers the documents that have been received from the beneficial owner of the international organization that is a shareholder.
  3. If NSD receives documents (data) on a counterparty and date of securities purchase from a Holder, and in parallel in the List of Holders from the Foreign Nominee Holder, NSD will consider those received from a Holder. By submitting these documents, a Holder assumes responsibility for their accuracy and completeness.
  4. If NSD receives Holder’s RUB account details to credit proceeds on Securities both from the Holder through a notification, and in the List of Holders from the Foreign Nominee Holder, NSD will consider those details available in the List of Holders from the Foreign Nominee Holder. If such details are not available to use, NSD will use those received from the Holder. By submitting these documents, a Holder assumes responsibility for their accuracy and completeness. When a “C” type bank account is not opened, NSD takes actions to open such account pursuant to Resolution of December 23, 2022 and Resolution December 29, 2022.
  5. For the purposes of exercising withholding agent functions, implementing NSD's AML/CTF/FPWMD Internal Control Rules, and in other cases prescribed by Russian laws and treaties, as well as when a Holder who is a beneficiary (beneficial owner) of a foreign entity (including one that is not a legal entity under the law of the country where the entity is incorporated) that is a shareholder applies to NSD, the Holder must provide further information and documents requested by NSD.
  6. If the documents referred to in section 4, paragraphs 2 and 3 of the List are signed by a person acting under a power of attorney on behalf of an International Securities Depository (international broker who records and transfers rights to the Securities), either an Original or a Notarized Copy of the power of attorney must be submitted.

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

# **Documents to be submitted by Holders when a List of Holders from the Foreign Nominee Holder is made available**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1. | Notification of information (documents) | Original | Hard copy |  |
| 2. | Documents with information on the purchase of securities: date of purchase, counterparty, counterparty's jurisdiction (e.g. contracts, transaction confirmations, depository's records) | 1. Original 2. Copy 3. Notarized Copy 4. a scanned image 5. a document on paper, according to which a Holder certifies its equivalence to an electronic document; | Hard copy | To be provided at the Holder's discretion in respect of OFZs.  If documents are not submitted and the information mentioned is missing from the List of Holders from the Foreign Nominee Holder, cash funds may be sent to type C bank account.  Documents to be provided residents and foreign creditors not named in Clause 1 of Decree No. 95 dated March 5, 2022:   1. if securities were purchased on or before March 1, 2022 – to the extent of purchase date; 2. if securities were purchased after March 1, 2022 – to the extent of purchase date, counterparty, counterparty’s jurisdiction. |
| 3 | Information (documents), necessary for tax withholding |  |  | Documents should be submitted in respect of:   1. **governmental and municipal bonds**, for which NSD performs collective recordkeeping of rights (holds in collective safe custody) – in accordance with List 1 of information (documents) necessary for tax withholding; 2. **corporate bonds of Russian issuers and bonds of foreign issuers other than** foreign persons referred to in Clause 1 of Decree No.95 for which NSD performs collective recordkeeping of rights (holds in collective safe custody) – in accordance with List 2 of information (documents) necessary for tax withholding; 3. **foreign bonds issued by international organizations** with obligations attached to such bonds to be fulfilled by a Russian Legal Entity – in accordance with List 2 of information (documents) necessary for tax withholding; 4. **shares** – in accordance with List 3 of information (documents) necessary for tax withholding. |

# **Documents to be submitted by Holders when a List of Holders from the Foreign Nominee Holder is not made available**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Document title | Permitted forms | Permitted submission methods | Notes |
| **Documents proving Securities holding** | | | | |
| 1. | Application | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) |  |
| 2. | **Document** (any of the listed below) certifying ownership of the Securities as of Record Date: | | | |
| 2.1 | **Account statement** for the purpose for prove of holding issued by the International Securities Depository (or by a Nominee Holder for Payments on Securities in the form of dividends on shares of Russian joint stock companies) | Original | Hard copy | The document (account statement) must include the following details:   1. International Securities Depository's (or Nominee Holder’s for Payments on Securities in the form of dividends on shares of Russian joint stock companies); full name and physical address; 2. in respect of the person for whom the account statement is submitted: if an individual – surname and given name, details of an identity document; if a legal entity – full name, address and (or) OGRN/registration number; 3. the date on which details of the number of Securities are provided (must be the same as the Record Date); 4. Securities parameters (ISIN code, securities name); 5. number of Securities, or for Securities in the form of bonds denominated in a foreign currency at face value (FAMT); 6. details allowing to confirm that the Holder is the owner of securities or another person exercising the rights to the securities, and, if the Holder is the beneficiary (beneficial owner) of an international organization, including other than a legal entity under the law of the jurisdiction where the organization is incorporated, which is a shareholder, information allowing to confirm that such international organization is the owner of the securities, and documents confirming the legal relationship between the Holder and such international organization/a statement by the Holder that it is not possible to submit documents proving the legal relationship need to be provided.   The information required by paragraphs 2 and 6 may not be included in the document (account statement), if a document (agreement, letter, other document as Original or Notarized Copy) with such information, signed by an International Securities Depository’s official (or by an official of a Nominee Holder for Payments on Securities in the form of dividends on shares of Russian joint stock companies) is submitted. |
| 2.2 | **SWIFT MT 535 message** (Statement of Holdings), submitted by the International Securities Depository to the depositor (applicable to legal entities members of SWIFT messaging exchange | Permitted forms:   1. a hard copy document in respect of which a notary public or a competent authority (person) of a foreign state certifies its equivalence to an electronic document; 2. a hard copy document whereby a notary public of the Russian Federation, in support of evidence, has examined information available on the information and telecommunication network “Internet”, using the Holder's account; 3. copy of the document for which the Holder being a credit institution or non-credit financial institution regulated by the Bank of Russia whose rights to securities are recorded in the International Securities Depository has certified its equivalence with an electronic document[[3]](#footnote-3) (with a copy of statements/extract from statements sent to the Bank of Russia as of the latest reporting date preceding the Record Date containing information on such Securities, with a Bank of Russia confirmation of acceptance / copy of the electronic message confirming its acceptance by the Bank of Russia) attached. The copies must be certified by the sole executive body of the organization or by any other authorized person whose authority has been confirmed by a notarized power of attorney, or in electronic format (if an EDI Agreement is signed). | Hard copy | The document must include the following details:   1. SWIFT BIC of the sender; 2. SWIFT BIC of the legal entity in respect of whom the document is submitted; 3. the date on which details of the number of Securities are provided (must be the same as the Record Date); 4. Security parameters (ISIN code); 5. number of Securities or for Securities in the form of bonds denominated in a foreign currency at face value (FAMT); 6. account number for recording securities with the International Securities Depository.   In addition, a document (agreement, letter, other document as an Original or a Notarized Copy) signed by an official of the International Securities Depository must be submitted allowing to confirm that the Holder is the owner of securities or another person exercising the rights to the securities, and, if the Holder is the beneficiary (beneficial owner) of an international organization, including other than a legal entity under the law of the jurisdiction where the organization is incorporated, which is a shareholder, information allowing to confirm that such international organization is the owner of the securities, and documents confirming the legal relationship between the Holder and such international organization/a statement by the Holder that it is not possible to submit documents proving the legal relationship need to be provided. |
| 2.3 | **Account statement by an international broker** who keeps records of securities and transfers rights to securities (combining brokerage and depository activities) | Original | Hard copy | The account statement must include the following details:   1. International broker's full name and physical address; 2. in respect of the person for whom the account statement is submitted: if an individual – surname and given name, details of an identity document; if a legal entity – full name, address and (or) OGRN/registration number. 3. the date on which details of the number of Securities are provided (must be the same as the Record Date); 4. Securities parameters (ISIN code, securities name); 5. number of Securities, or for Securities in the form of bonds denominated in a foreign currency at face value (FAMT); 6. details allowing to confirm that the Holder is the owner of securities or another person exercising the rights to the securities, and, if the Holder is the beneficiary (beneficial owner) of an international organization, including other than a legal entity under the law of the jurisdiction where the organization is incorporated, which is a shareholder, information allowing to confirm that such international organization is the owner of the securities, and documents confirming the legal relationship between the Holder and such international organization/a statement by the Holder that it is not possible to submit documents proving the legal relationship need to be provided; 7. data allowing to confirm that the Securities of the person named in the account statement are not used by the broker and are held in the broker's account with an international organization.   The information required by paragraph 2, paragraphs 5-7 may not be included in the document (account statement), if a document (agreement, letter, other document as Original or Notarized Copy) with such information, signed by an international broker official is submitted. |
| 2.4 | **Message from the bank-client system** or from other electronic document transmission service of the International Securities Depository/international broker that records and transfers rights to securities (combining brokerage and depository business) | Permitted forms:   1. a hard copy document in respect of which a notary public or a competent authority (person) of a foreign state certifies its equivalence to an electronic document; 2. a hard copy document whereby a notary public of the Russian Federation, in support of evidence, has examined information available on the information and telecommunication network “Internet”, using the Holder's account;   copy of the document for which the Holder being a credit institution or non-credit financial institution regulated by the Bank of Russia whose rights to securities are recorded in the International Securities Depository has certified its equivalence with an electronic document[[4]](#footnote-4) (with a copy of statements/extract from statements sent to the Bank of Russia as of the latest reporting date preceding the Record Date containing information on such Securities, with a Bank of Russia confirmation of acceptance / copy of the electronic message confirming its acceptance by the Bank of Russia) attached. The copies must be certified by the sole executive body of the organization or by any other authorized person whose authority has been confirmed by a notarized power of attorney, or in electronic format (if an EDI Agreement is signed). | Hard copy | The document must include the following details:   1. details allowing to identify the International Securities Depository / international broker; 2. in respect of the person for whom the account statement is submitted: if an individual – surname and given name, details of an identity document; if a legal entity – full name, address and (or) OGRN/registration number; 3. the date on which details of the number of Securities are provided (must be the same as the Record Date); 4. Security parameters (ISIN code); 5. number of Securities, or for Securities in the form of bonds denominated in a foreign currency at face value (FAMT); 6. account number for recording Securities with the International Securities Depository / international broker; 7. details allowing to confirm that the Holder is the owner of Securities or another person exercising the rights to the securities, and, if the Holder is the beneficiary (beneficial owner) of an international organization, including other than a legal entity under the law of the jurisdiction where the organization is incorporated, which is a shareholder, information allowing to confirm that such international organization is the owner of the securities, and documents confirming the legal relationship between the Holder and such international organization to be provided; 8. data allowing to confirm that the Securities of the person named in the account statement are not used by the broker and are held in the broker's account with an international organization.   The information required by paragraph 2, paragraphs 5-8 may not be included in the document (account statement), if a document (agreement, letter, other document as Original or Notarized Copy) with such information, signed by an international broker’s official is submitted. |
| 2.5 | Other document available in the circumstances and evidencing that the Holder holds the amount of Securities as indicated in the Application | Original | Hard copy |  |
| 3 | Document issued by a Foreign Nominee Holder (the International Securities Depository to which the Foreign Nominee Holder Account has been opened with NSD), indicating the Securities safekeeping scheme, including the International Securities Depository keeping records of the Holder's rights to securities, and all International Securities Depositories with which accounts are opened for persons acting on behalf of other persons, where the rights to Securities are recorded as of Record Date, or other documents proving Securities specified in [paragraph 2](consultantplus://offline/ref=75F2017CE1643B14E900CC258D67CF136CF7042C9EFD78B6F9BB20634EFC88BB8C15B18D4ED6107D17907E4BA8E1C4C52403298938317C24z6cCL) of the List are available on accounts of all nominee holders (international nominee holders) involved in recording the rights to securities as of Record Date. | Permitted forms:   1. Original 2. a hard copy document whereby a Russian notary public, in support of evidence, made an examination of information found on the Internet using the Applicant's account (in particular, scanned images of documents issued by the relevant International Securities Depository) using email messages out of email boxes (email addresses) of the Holder received from such International Securities Depository. | Hard copy | The document must unambiguously identify each International Securities Depository under the personal law of that person.  Requirement of paragraph 2.3 of the List, not applicable.  Other documents shall be[[5]](#footnote-5):  - one or more documents issued by each of the Nominee Holders, Foreign Nominee Holders, International Securities Depositories recording the rights to Securities, including the International Securities Depository (or a Nominee Holder for payments in the form of dividends on shares of Russian joint stock companies) that has issued to the Holder the document specified in paragraph 2 of the List, and the International Securities Depository for which a Foreign Nominee’s Account is opened with NSD;  - a **document** signed by the International Securities Depository (or by a Nominee Holder for payments in the form of dividends on shares of Russian joint stock companies) issuing for the Holder the document specified in paragraph 2 of the List, if such an International Securities Depository (or a Nominee Holder for payments in the form of dividends on shares of Russian joint stock companies) meets any of the following criteria,  or a **combination of documents:** one or more documents issued by one or more Nominee Holders, Foreign Nominee Holders, International Securities Depositories which keep records of rights to Securities (including the International Securities Depository (or a Nominee Holder for payments in the form of dividends on shares of Russian joint stock companies) which provided the Holder with the document referred to in paragraph 2 of the List) and the document stating the remaining Securities holding signed by the Nominee Holder, Foreign Nominee Holder, an International Securities Depository meeting any of the following criteria:   * 1. the International Securities Depository is a legal entity in respect of which a credit institution or a non-credit financial institution regulated by the Bank of Russia, by virtue of holding an interest in such legal entity or by virtue of authority received, inter alia, by virtue of a written agreement from other persons, holds more than fifty percent of the votes attributable to the voting shares (equity stake) in the share (contributed) capital of such legal entity[[6]](#footnote-6);   2. the International Securities Depository is listed among the international organizations that meet the criteria set out in the Bank of Russia Ordinance No. 5311-U dated November 11, 2019, available on the Bank of Russia's official website;   3. the International Securities Depository is rated by either Fitch-Ratings, Standard & Poor's or Moody's Investors Service[[7]](#footnote-7);   4. the International Securities Depository is a central securities depository;   5. the International Securities Depository is a client of an International Securities Depository belonging to an international clearing and settlement organization or central securities depository, and the relevant information is available on the official website of such International Securities Depository[[8]](#footnote-8).   6. the International Securities Depository is a client of a Foreign Nominee Holder, and the relevant information is available on the official website of such Foreign Nominee Holder.   The Holder is not required to submit the documents as follows below:   1. if restrictions are imposed on the person in respect of whose account information about the ownership of Securities has been provided, or on the person who directly or indirectly, solely or in the aggregate owns 50 or more per cent of the shares (interest) of the person in respect of whose account information on the ownership of Securities has been provided, or on the territory of registration (citizenship) of the person for whose account information on the ownership of Securities has been submitted; 2. if the rights to Securities are recorded by an International Securities Depository where the account referred to in the document proving Securities holding named in in paragraph 2 of the List is opened and no other Nominee Holder, Foreign Nominee Holder, International Securities Depository participating in record keeping of rights to Securities exists. |
| 4 | Documents with information on the purchase of securities: date of purchase, counterparty, counterparty's jurisdiction (e.g. contracts, transaction confirmations, depository's records) | 1. Original 2. Copy 3. Notarized Copy 4. a scanned image 5. a document on paper, according to which a Holder certifies its equivalence to an electronic document; | Hard copy | To be provided at the Holder's discretion in respect of OFZs.  The scanned image of a document on paper may be submitted via e-mail at [income@nsd.ru](mailto:income@nsd.ru).  If documents are not submitted and the information mentioned is missing from the List of Holders from the Foreign Nominee Holder, cash funds may be sent to type C bank account.  Documents to be provided residents and foreign creditors not named in Clause 1 of Decree No. 95:   1. if securities were purchased on or before March 1, 2022 – to the extent of purchase date; 2. if securities were purchased after March 1, 2022 – to the extent of purchase date, counterparty, counterparty’s jurisdiction. |
| 5 | Documents conforming compliance of the Holder-Non-resident Legal Entity with requirements of Clause 12 of Russian Presidential Decree No.95 dated March 5, 2022 “On the temporary procedure for the fulfillment of obligations to certain foreign creditors” (if applicable). | Original  Notarized Copy | Hard copy | The documents must confirm that a Holder meets all the requirements below:   1. is controlled by Russian legal entities or individuals (the ultimate beneficiaries being the Russian Federation, Russian legal entities or individuals), including where this control is exercised through foreign legal entities related to such foreign states; 2. control information has been disclosed by Russian legal entities or individuals referred to in paragraph 1) to the tax authorities of the Russian Federation as required by Russian law |
| 6 | Documents conforming compliance of the Holder-Non-resident Legal Entity with requirements of Clause 4 of Russian Presidential Decree No.254 “On the temporary procedure for the fulfilment of financial obligations in the field of corporate relations to certain foreign creditors” dated May 4, 2022 (if applicable). | Original  Notarized Copy | Hard copy | The documents must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List).  The Documents must confirm that a Holder meets the following requirements:   1. a Holder is under the control of entities or individuals whose personal law is the law of a foreign state other than a foreign state committing unfriendly acts, provided that such control was established before 1 March 2022; 2. a Holder is under the control of a foreign state other than a foreign state committing unfriendly acts, provided that such control was established before 1 March 2022. |
| 7 | Documents conforming compliance of the Holder-Non-resident Legal Entity with requirements of Sub-clause “v” (In Russian: “в”) of Clause 1 of Russian Presidential Decree No. 738 “On the application of certain Russian Presidential Decrees” dated October 15, 2022 (if applicable). | Original  Notarized Copy | Hard copy | The documents must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List).  The documents must indicate that a Holder is the Asian Infrastructure Investment Bank, International Bank for Economic Co-operation, International Investment Bank, the New Development Bank, Russian Kyrgyz Development Fund and contain the information below:   1. if securities were purchased on or before March 1, 2022 – to the extent of purchase date; 2. if securities were purchased after March 1, 2022 – to the extent of purchase date, counterparty, counterparty’s jurisdiction. |
| 8 | Letter indicating the shareholding structure, accompanied by supporting documents | Original | Hard copy | To be provided by:   1. Holder-Non-resident Legal Entity; 2. Holder-Russian Resident Legal Entity where the Application indicates that Restrictions apply to a person holding directly or indirectly, solely or in the aggregate, 50 per cent or more of the shares (interest) in the person for whose account information on the ownership of Securities has been provided. |
| 9 | Documents identifying the Holder[[9]](#footnote-9) | | | |
| 9.1 | **Documents to be submitted by Individuals** | | | |
| 9.1.1 | **Details Form AA116** (Appendix to the Application) | Original | Hard copy | An individual's signature must be notarized or a sample of the individual's signature must be made in the presence of an NSD’s employee.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List).  If data referred to in Section 2 and Section 3 of Details Form AA116 issued and executed in accordance with the List changes, a scanned image of updated Details Form AA116 on paper may be submitted via e-mail at income@nsd.ru |
| 9.1.2 | **Details Form АА106** (Appendix to the Application) | Original | Hard copy | To be submitted if:   1. there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA106 has to be submitted for each corporate beneficiary; 2. there is an individual representative of the Holder acting on his/her behalf under a power of attorney. |
| 9.1.3 | ID documents of the persons below:   1. Holders-Natural Persons; 2. persons authorized by Holders-Natural Persons to sign the relevant documents on their behalf. | Original (for an NSD’s employee to make and certify a copy)  [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard copy | Foreign citizens / stateless persons shall additionally submit to NSD the documents referred to in paragraph 2.7 in the List. |
| 9.1.4 | **Power of attorney** issued to persons authorized:  - to sign relevant documents on behalf of a Holder-Natural Person. | Original  Notarized Copy | Hard copy | The power of attorney must be certified by a notary or a competent authority (person) (this includes certifying the necessary powers of the giver of the power of attorney).  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List). |
| 9.2 | **Documents to Be Submitted by Russian Resident Legal Entities** | | | |
| 9.2.1 | **Details Form АА001** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) | A signature of a person acting on behalf of a Resident Legal Entity must be notarized or a sample of the individual's signature must be made in the presence of an NSD’s employee.  This requirement does not apply if the authenticity of the signature is notarized or the specimen signature is made in the presence of an employee of NSD in another document submitted by the Resident Legal Entity to NSD in accordance with the List.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List). |
| 9.2.2 | **Details Form АА101** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) |  |
| 9.2.3 | **Details Form АА106** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) | To be submitted if there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA106 has to be submitted for each individual beneficiary. |
| 9.2.4 | **Details Form АА107** (Appendix to the Application) | Original | Hard copy  In electronic format  (if an EDI Agreement is signed) | To be submitted if there is a corporate beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA107 has to be submitted for each corporate beneficiary. |
| 9.2.2 | **Constituent documents** of the Russian Resident Legal Entity that comply with the applicable Russian laws with amendments in force as at the date the documents are submitted to NSD. | [Notarized Copy](#_Нотариальная_копия_–)  Copy of the document certified by the registering authority | Hard copy | Legal entities having their legal status, purposes of incorporation and activities defined in interstate and intergovernmental treaties, legislation or regulations shall provide copies of such documents certified by an authorized person of the organization. |
| [Copy](#_Копия_–_документ,) (this includes a Document Copy received via the Bank of Russia/Federal Tax Service User Account | In electronic format  (if an EDI Agreement is signed) |
| 9.2.3 | **Document containing specimen signatures and a seal impression** (signature and seal card / power of attorney containing a specimen signature of the attorney / Authorized Representative’s Details Form / signature and seal card in the form set out in Appendix 2 to the NSD List) | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–) | Hard copy | The signature of a person acting on behalf of a Non-resident Lelgal Entity without power of attorney and of persons acting under power of attorney (if applicable) must be made by either of the following:   1. a sample signature on the signature and seal card in accordance with the form in Appendix 2 to the List of NSD may be executed in the presence of an NSD’s employee; 2. authenticity of a signature on the signature and seal card in accordance with the form in Appendix 2 to the List of NSD may be certified by a notary.   If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List). |
| 9.2.4 | **Documents that support the authority** of the person acting on behalf of the Russian Resident Legal Entity without a power of attorney  *(such as minutes / decisions / resolutions to elect (appoint) the person)* | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–)  [Notarized Extract](#_Нотариальная_выписка_–_1)  [Extract from the Document](#_Выписка_из_документа_1) | Hard copy | The adoption of a resolution by the general meeting of shareholders and the list of company’s shareholders attending the meeting at the time of its adoption shall be confirmed in the manner required by [*Article 67.1 of the Russian Civil Code*](consultantplus://offline/ref=B5A3237287FEC4C590E4123635477BF3010278B409EF9936F37DAFE843B98A4FA3E5625ADAD273CEA0B5F73BD0187369B888C9BA8978K6k8H).  Where the company’s Articles of Association do not provide for a method of confirmation of resolutions passed, other than notarization, a resolution of the sole shareholder or of the general meeting of shareholders of a Russian limited liability company (OOO) regarding a method of confirmation of resolutions passed by the sole shareholder/general meeting, which is alternative to notarization, must also be notarized.  It shall not be required to submit a document that supports the authority of the person acting on behalf of the organization without a power of attorney, where the banking license of the Russian Resident Legal Entity being a credit institution has been revoked and the Russian Resident Legal Entity has been placed into administration. |
| [Copy](#_Копия_–_документ,) | Hard copy  In electronic format  (if an EDI Agreement is signed) |
| 9.2.5 | **Documents certifying identity** of persons authorized:  - to act on behalf of Resident Legal Entity without a power of attorney;  - to sign relevant documents on behalf of the Russian Resident Legal Entity. | [Original](#_Оригинал_–_подлинник) (to have a copy made and certified by a member of NSD’s staff)  [Notarized Copy](#_Нотариальная_копия_–) | Hard copy | Foreign citizens / stateless persons shall additionally submit to NSD the documents referred to paragraph 2.7 in the List. |
| [Copy](#_Копия_–_документ,) | In electronic format  (if an EDI Agreement is signed) | Only a Copy of a Notarized Copy of a document may be submitted in electronic format. |
| 9.2.6 | **Power of attorney** issued to persons authorized:  – to sign documents on behalf of Russian Resident Legal Entity. | [Original](#_Оригинал_–_подлинник) | Hard copy  In electronic format  (if an EDI Agreement is signed) | Only a power of attorney to sign electronic documents in NSD's EDI system may be submitted in electronic format.  A power of attorney must bear a specimen signature of the person to whom it is issued, unless the documents under such a power of attorney are signed in the presence of an NSD’s employee or the documents provided for in section 9.2.3 of the List are submitted in respect of the person acting under such a power of attorney. |
| [Notarized Copy](#_Нотариальная_копия_–) | Hard copy |  |
| 9.3 | **Documents to Be Submitted by Non-resident Legal Entities** | | | |
| 9.3.1 | **Details Form АА001** (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy | A signature of a person acting on behalf of a Non-resident Legal Entity must be notarized or a sample of the individual's signature must be made in the presence of an NSD’s employee.  This requirement does not apply if the authenticity of the signature is notarized or the specimen signature is made in the presence of an employee of NSD in another document submitted by the Non-resident Legal Entity to NSD in accordance with the List.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List). |
| 9.3.2 | **Details Form АА101** (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy |  |
| 9.3.3 | **Details Form АА106** (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy | To be submitted if there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA106 has to be submitted for each corporate beneficiary. |
| 9.3.4 | Details Form АА107 (Appendix to the Application) | [Original](#_Оригинал_–_подлинник) | Hard copy | To be submitted if there is a corporate beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA107 has to be submitted for each corporate beneficiary. |
| 9.3.5 | **Documents** evidencing the legal status of organization in accordance with the laws of the Non-resident Legal Entity’s jurisdiction of incorporation | [Notarized Copy](#_Нотариальная_копия_–)  Copy of the document certified by the registering authority | Hard copy | These documents shall be:   * constitutional documents; * document confirming state registration of Non-resident Legal Entity; * extract from the trade register of the Non-resident Legal Entity’s jurisdiction of incorporation issued no earlier than six (6) months prior to the date of its submission to NSD, or any other equivalent document issued by a state authority of that jurisdiction. |
| 9.3.6 | **Tax Certificate issued to international organization** confirming its registration with a tax authority in the Russian Federation | [Notarized Copy](#_Нотариальная_копия_–)  Copy of the document certified by the registering authority  [Copy](#_Копия_–_документ,) | Hard copy | The certificate must contain the Taxpayer Identification Number (INN).  To be submitted if available. |
| 9.3.7 | **Signature and seal card** **(or, for credit institutions, a specimen signature book)/ Signature and seal card according to the form in Appendix 2 to the List, or another document** containing specimen signatures and a seal impression, as issued in accordance with the laws of the relevant foreign jurisdiction | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–) | Hard copy | The signature of a person acting on behalf of a Non-resident Legal Entity without power of attorney and of persons acting under power of attorney (if applicable) must be made by either of the following:   1. a sample signature on the signature and seal card in accordance with the form in Appendix 2 to the List of NSD may be executed in the presence of an NSD’s employee; 2. authenticity of a signature on the signature and seal card in accordance with the form in Appendix 2 to the List of NSD may be certified by a notary.   Where a document is produced:  **in the Russian Federation**, it shall be produced in accordance with the Russian laws that govern notary activities;  **in accordance with the laws of the relevant foreign jurisdiction**, it must contain the following details: “Legal Entity name, “Last Name and First Name”, “Specimen Signature”, “Seal Impression” (if available), “Issue Date”, and “Signature Certification”.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List). |
| 9.3.8 | **Documents that support the authority** of the person acting on behalf of the Non-resident Legal Entity without a power of attorney  *(such as minutes / decisions / resolutions to elect (appoint) the person)* | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–)  [Notarized Extract](#_Нотариальная_выписка_–)  [Extract from the Document](#_Выписка_из_документа)  [Copy](#_Копия_–_документ,) ( [only for Non-resident Legal Entities which are residents of jurisdictions listed in paragraph 2.2 of the List)](#_Легализация_документов_не) | Hard copy |  |
| 9.3.9 | **Power of attorney** issued to persons authorized:  - to sign relevant documents on behalf of the Non-resident Legal Entity. | [Original](#_Оригинал_–_подлинник)  [Notarized Copy](#_Нотариальная_копия_–) | Hard copy | The power of attorney must be certified by a notary or a competent authority (person) (this includes certifying the necessary powers of the giver of the power of attorney).  A power of attorney must bear a specimen signature of the person to whom it is issued, unless the documents under such a power of attorney are signed in the presence of an NSD’s employee or the documents provided for in section 9.2.3 of the List are submitted in respect of the person acting under such a power of attorney.  If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 2.1, 2.2 of the List). |
| 9.3.10 | **Documents certifying identity** of persons authorized:  - to act on behalf of Non-resident Legal Entity without a power of attorney;  - to sign documents on behalf of the Non-resident Legal Entity. | [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard copy | Foreign citizens / stateless persons shall additionally submit to NSD the documents referred to paragraph 2.7 in the List. |
| 10 | Information (documents), necessary for tax withholding |  |  | Documents should be submitted in respect of:   1. **governmental and municipal bonds**, for which NSD performs collective recordkeeping of rights (holds in collective safe custody) – in accordance with List 1 of information (documents) necessary for tax withholding; 2. **corporate bonds of Russian issuers and bonds of foreign issuers other than** foreign persons referred to in Clause 1 of Decree No.95 for which NSD performs collective recordkeeping of rights (holds in collective safe custody) – in accordance with List 2 of information (documents) necessary for tax withholding; 3. **foreign bonds issued by international organizations** with obligations attached to such bonds to be fulfilled by a Russian Legal Entity – in accordance with List 2 of information (documents) necessary for tax withholding; 4. **shares** – in accordance with List 3 of information (documents) necessary for tax withholding. |

\***Certificate of Tax Residency Procedure**

**Certificate of Russian Federation Tax Residency**

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

Appendix 1

**LIST 1**

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

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

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

\* **Certificate of Tax Residency Procedure**

**Certificate of Russian Federation Tax Residency**

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

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

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

**Certificate of Russian Federation Tax Residency**

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

Appendix 2

**LIST 2**

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

(for payments on corporate bonds and corporate Eurobonds)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| № | Document title | Permitted forms | Permitted submission methods | Notes |
| 1.   **Individuals-Russian tax residents (Russian and foreign citizens)** | | | | |
| 1.1 | ID documents | Original (for and NSD’s employee to make and certify a copy)  [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard Copy |  |
| 1.2 | Certificate of Tax Residency | Scanned image or a copy of electronic certificate (for a Certificate of Russian Federation Tax Residency) | Hard Copy | To be issued in accordance with the Certificate of Tax Residency Procedure (\*)  Scanned image may be submitted via e-mail at [income@nsd.ru](mailto:income@nsd.ru). |
| **2. Individuals who are not Russian tax residents (foreign citizens, persons without citizenship, and citizens of the Russian Federation without confirmation of their Russian tax residency status)** | | | | |
| 2.1 | ID documents | Original (for and NSD’s employee to make and certify a copy)  [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard Copy |  |
| **3. Foreign organizations** | | | | |
| 3.1 | Documents giving information for the purpose of identifying foreign persons and confirming state registration, location, full name | Original  Notarized Copy | Hard Copy | For Legal Entities-Non-residents these documents shall be:   * constitutional documents; * document confirming state registration of Non-resident Legal Entity; * extract from the trade register of the Non-resident Legal Entity’s jurisdiction of incorporation issued no earlier than six (6) months prior to the date of its submission to NSD, or any other equivalent document issued by a state authority of that jurisdiction. |
| 3.2 | Documents and information confirming beneficial ownership of income or a waiver of beneficial ownership of income (according to NSD's form) | Original | Hard Copy |  |
| **4. Foreign structures which relate to the collective investment schemes** | | | | |
| 4.1 | Tax disclosure of investors, actual beneficiaries of income (on NSD form) | Original | Hard Copy | To be signed by an authorized signatory |
| 4.2 | For individual investors who are actual beneficiaries of income, the documents required under items 1 - 2 of List No. 1 of the information (documents) necessary for the tax withholding must be submitted (as appropriate) |  |  |  |

\* **Certificate of Tax Residency Procedure**

**Certificate of Russian Federation Tax Residency**

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

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

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

**Certificate of Russian Federation Tax Residency**

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

Appendix 3

**LIST 3**

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

(for payments of dividends on shares of Russian joint stock companies)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| № | Document title | Permitted forms | Permitted submission methods | Notes |
| **1.  International organizations and foreign structures which relate to the collective investment schemes** | | | | |
| 1.1 | Documents giving information for the purpose of identifying foreign persons and confirming state registration, location, full name | Original  Notarized Copy | Hard Copy | For Legal Entities-Non-residents these documents shall be:   * constitutional documents; * document confirming state registration of Non-resident Legal Entity; * extract from the trade register of the Non-resident Legal Entity’s jurisdiction of incorporation issued no earlier than six (6) months prior to the date of its submission to NSD, or any other equivalent document issued by a state authority of that jurisdiction. |
| **2.  For Russian organization** | | | | |
| 2.1 | Documents and information confirming beneficial ownership of income or a waiver of beneficial ownership of income (according to NSD's form) | Original  Notarized Copy | Hard Copy | For the purpose of the Russian Tax Code and international treaties a person who has an actual right to income shall be a person who, by virtue of direct and (or) indirect participation in an organization or control over an organization, or by virtue of other circumstances, has the right independently to use and (or) dispose of income received by that organization, or a person in whose interests another person has the authority to dispose such income. In determining the person who has the actual right to income, account shall be taken of the functions performed and the risks assumed by the persons referred to in this paragraph. |
| 2.2 | Certificate of registration with the tax authority of the person having confirmed the beneficial ownership of income | Copy | Hard Copy |  |
| **3. Individuals who are not Russian tax residents (foreign citizens, persons without citizenship, and citizens of the Russian Federation without confirmation of their Russian tax residency status)** | | | | |
| 3.1 | ID documents | Original (for an NSD’s employee to make and certify a copy)  [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard Copy |  |
| **4. Individuals-Russian tax residents (Russian and foreign citizens)** | | | | |
| 4.1 | A letter confirming beneficial ownership of income or a letter-waiver of beneficial ownership (according to NSD's form) | Original | Hard Copy |  |
| 4.2 | ID documents | Original (for an NSD’s employee to make and certify a copy)  [Notarized Copy](#_Нотариальная_копия_–) (all pages) | Hard Copy |  |
| 4.3 | Certificate of Tax Residency | Scanned image or a copy of electronic certificate (for a Certificate of Russian Federation Tax Residency) | Hard Copy | To be issued in accordance with the Certificate of Tax Residency Procedure (\*)  Scanned image may be submitted via e-mail at [income@nsd.ru](mailto:income@nsd.ru). |

\* **Certificate of Tax Residency Procedure**

**Certificate of Russian Federation Tax Residency**

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

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

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

**Certificate of Russian Federation Tax Residency**

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

Appendix 4

**Уведомление о направлении сведений (документов)**

Направляю НКО АО НРД документы в дополнение к Списку Иностранного депозитария:

|  |  |  |
| --- | --- | --- |
|  | Наименование эмитента ценных бумаг (полное, сокращенное) |  |
|  | ISIN код ценных бумаг |  |
|  | Вид ценных бумаг |  |
|  | Вид выплаты по ценным бумагам | * Дивиденды * Купонный (процентный) доход * Номинальная стоимость * Частичная номинальная стоимость |
|  | Дата фиксации списка лиц, имеющих право на получение выплат по ценным бумагам |  |
|  | Количество ценных бумаг на Дату фиксации (цифрами и прописью) | \_\_\_ (\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_) шт.[[10]](#footnote-10) |
|  | Полное наименование иностранного номинального держателя, которому открыт счет депо иностранного номинального держателя в НКО АО НРД и который предоставил в НКО АО НРД сведения о Держателе |  |
|  | Полное наименование и адрес иностранного номинального держателя, которое предоставляет в НКО АО НРД документы в соответствии с Уведомлением (если применимо) |  |
| **Сведения, позволяющие идентифицировать Держателя** | | |
|  | Полное наименование/ФИО Держателя |  |
|  | Наименование документа, удостоверяющего личность физического лица/регистрационного документа юридического лица |  |
|  | Серия и/или номер документа, удостоверяющего личность физического лица/регистрационный номер юридического лица |  |
|  | Дата выдачи документа, удостоверяющего личность физического лица/дата регистрации в качестве юридического лица |  |
|  | Адрес места жительства (регистрации) физического лица/ адрес местонахождения юридического лица |  |
|  | Адрес электронной почты для направления уведомлений (e-mail) |  |
|  | Адрес электронной почты Юридического лица – нерезидента для направления уведомления об открытии банковского счета типа «С»  *В случае если банковский счет типа «С» будет открыт НКО АО НРД в соответствии с Решением от 23.12.2022 или Решением от 29.12.2022* |  |
|  | Контактный телефон |  |
| **Держатель является иностранной структурой, относящейся к схемам коллективного инвестирования** | | |
|  | Возможные значения | * ДА * НЕТ |
| **Сведения о реквизитах банковского счета Держателя в российских рублях, на который должны быть зачислены причитающиеся выплаты по ценным бумагам, в том числе банковского счета типа "С" (при наличии) в предусмотренных законодательством РФ случаях[[11]](#footnote-11)** | | |
|  | Наименование российского Банка Получателя  Банковский идентификационный код (БИК) банка Получателя (9 знаков)  Город российского Банка Получателя  Номер корреспондентского счета банка Получателя, открытый в подразделении Банка России (20 знаков)  ИНН получателя средств, присвоенный российскими налоговыми органами (10 знаков для ЮЛ или 12 знаков для ФЛ)  *\* В случае, если ИНН не присвоен российскими налоговыми органами, то реквизит «ИНН получателя» заполняется нулями (10 знаков для ЮЛ или 12 знаков для ФЛ)*  Наименование Получателя (в соответствии с Уставом)\*  *\* В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается наименование иностранного банка*  Счет получателя (корр/с или р/с Получателя)\*  *\* В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается корреспондентский счет, открытый иностранному банку в российском банке* |  |

Перечень прилагаемых документов:

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (должность/ФИО)) | ­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (подпись) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (дата) |

Appendix 4.1

**Уведомление о направлении сведений (документов)**

**Notification of information (documents)**

Направляю НКО АО НРД документы в дополнение к Списку Иностранного депозитария /

We hereby submit the following documents to NSD in addition to the List of Holders:

|  |  |  |
| --- | --- | --- |
|  | Наименование эмитента ценных бумаг (полное, сокращенное)/ Name of the issuer (full and short) |  |
|  | ISIN код ценных бумаг/ ISIN of securities |  |
|  | Вид ценных бумаг/ Type of securities |  |
|  | Вид выплаты по ценным бумагам/ Type of payment on securities | * Дивиденды/ Dividends * Купонный (процентный) доход/ Coupon (interest) income * Номинальная стоимость/ Face value * Частичная номинальная стоимость / Partial face value |
|  | Дата фиксации списка лиц, имеющих право на получение выплат по ценным бумагам / Record date |  |
|  | Количество ценных бумаг на Дату фиксации (цифрами и прописью)/ Number of shares on the Record Date (in figures and words) | \_\_\_ (\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_) шт./ shares[[12]](#footnote-12) |
|  | Полное наименование иностранного номинального держателя, которому открыт счет депо иностранного номинального держателя в НКО АО НРД и который предоставил в НКО АО НРД сведения о Держателе/ Full name of the foreign nominee holder holding a foreign nominee securities account with NSD and who has provided NSD with information on the Holder |  |
|  | Полное наименование и адрес иностранного номинального держателя, которое предоставляет в НКО АО НРД документы в соответствии с Уведомлением (если применимо)/ Full name and address of the foreign nominee holder holding who submits documents to the NSD in accordance with the Notification (if applicable) |  |
| **Сведения, позволяющие идентифицировать Держателя/**  **Information to identify the Holder** | | |
|  | Полное наименование/ФИО Держателя/ Full (short) name/name, surname of the Holder |  |
|  | Наименование документа, удостоверяющего личность физического лица/регистрационного документа юридического лица/ Identity document of the natural person / incorporation records of the legal entity |  |
|  | Серия и/или номер документа, удостоверяющего личность физического лица/регистрационный номер юридического лица/ Series and / or number of the identity document of the natural person / registration number of the legal entity |  |
|  | Дата выдачи документа, удостоверяющего личность физического лица/дата регистрации в качестве юридического лица/ Date of issue of the identity document of the natural person / date of registration as a legal entity |  |
|  | Адрес места жительства (регистрации) физического лица/ адрес местонахождения юридического лица/ Registered address of the natural person/registered address of the legal entity |  |
|  | Адрес электронной почты для направления уведомлений (e-mail)/ Email address for notifications |  |
|  | Адрес электронной почты Юридического лица – нерезидента для направления уведомления об открытии банковского счета типа «С»/ E–mail address of a non-resident Legal entity for sending a notification about the opening of a Type C bank account  *В случае если банковский счет типа «С» будет открыт НКО АО НРД в соответствии с Решением от 23.12.2022 или Решением от 29.12.2022/ If a Type C bank account is opened by NSD JSC in accordance with the Resolution of December 23, 2022 or Resolution of December 29, 2022* |  |
|  | Контактный телефон/ Telephone number |  |
| **Держатель является иностранной структурой, относящейся к схемам коллективного инвестирования /**Indication of a foreign structure which relates to the collective investment  schemes | | |
|  | Возможные значения/Possible answers | * ДА/YES * НЕТ/NO |
| **Сведения о реквизитах банковского счета Держателя в российских рублях, на который должны быть зачислены причитающиеся выплаты по ценным бумагам, в том числе банковского счета типа "С" (при наличии) в предусмотренных законодательством РФ случаях/**  **Details of the Holder's bank account in Russian rubles to which the dividends due are to be credited, including Type C bank account (if any) in cases provided for by Russian legislation[[13]](#footnote-13)** | | |
|  | Наименование российского Банка Получателя/ Name of Russian recipient Bank  Банковский идентификационный код (БИК) банка Получателя (9 знаков)/ Bank Identification Code (BIC) of Bank recipient (9 digit number)  Город российского Банка Получателя/ City of the Russian Bank recipient  Номер корреспондентского счета банка Получателя, открытый в подразделении Банка России (20 знаков)/ Correpondent account number of Bank recipient (20 digit number)  ИНН получателя средств, присвоенный российскими налоговыми органами (10 знаков для ЮЛ или 12 знаков для ФЛ)/ INN of recipient (Russain tax identification number - 10 digit number for legal enteties and 12 digit number for individuals)  *\* В случае, если ИНН не присвоен российскими налоговыми органами, то реквизит «ИНН получателя» заполняется нулями (10 знаков для ЮЛ или 12 знаков для ФЛ)/ If the INN is not assigned by the Russian tax authorities, then the INN requisite is filled in with zeros (10 zeros for legal entities or 12 zeros for individuals)*  Наименование Получателя (в соответствии с Уставом)\*/Name of the recipient (in accordance with the Charter)\*  \* *В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается наименование иностранного банка/ If the person entitled to receive the payment has an account opened in a foreign bank, then the name of the foreign bank shall be indicated.*  Счет получателя (корр/с или р/с Получателя)\*/ Recipient account (correspondent account or current account) \*  *\* В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается корреспондентский счет, открытый иностранному банку в российском банке/ If the person entitled to receive the payment has an account opened in a foreign bank, then the correspondent account opened for the foreign bank in a Russian bank shall be indicated* |  |

Перечень прилагаемых документов / List of attached documents:

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

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

Appendix 5

Заявление о выплате по ценным бумагам

Прошу НКО АО НРД перечислить выплаты по ценным бумагам:

|  |  |  |
| --- | --- | --- |
|  | Наименование эмитента ценных бумаг (полное, сокращенное) |  |
|  | ISIN код ценных бумаг |  |
|  | Вид ценных бумаг |  |
|  | Вид выплаты по ценным бумагам | * Дивиденды * Купонный (процентный) доход * Номинальная стоимость * Частичная номинальная стоимость |
|  | Дата фиксации списка лиц, имеющих право на получение выплат по ценным бумагам |  |
|  | Количество ценных бумаг на Дату фиксации | \_\_\_ (\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_) шт.[[14]](#footnote-14) |
| **Сведения, позволяющие идентифицировать Держателя** | | |
|  | Тип Держателя  · | * владелец ценных бумаг * лицо, осуществляющее права по ценным бумагам * выгодоприобретатель (бенефициарный владелец) иностранной организации (только для выплат по ценным бумагам в виде дивидендов по акциям российского акционерного общества) |
|  | Признак лица, имеющего право на получение выплат по ценным бумагам | * физическое лицо; * юридическое лицо; * иностранная структура, без образования юридического лица |
|  | Полное (краткое) наименование/ФИО Держателя |  |
|  | Наименование документа, удостоверяющего личность физического лица/регистрационного документа юридического лица |  |
|  | Серия и/или номер документа, удостоверяющего личность физического лица/регистрационный номер юридического лица |  |
|  | Дата выдачи документа, удостоверяющего личность физического лица/дата регистрации в качестве юридического лица |  |
|  | Дата рождения Держателя - физического лица |  |
|  | Адрес места жительства (регистрации) физического лица/ адрес местонахождения юридического лица |  |
|  | Наименование страны регистрации (гражданства /подданства) Держателя |  |
|  | Адрес электронной почты для направления уведомлений (e-mail) |  |
|  | Адрес электронной почты Юридического лица – нерезидента для направления уведомления об открытии банковского счета типа «С»  *В случае если банковский счет типа «С» будет открыт НКО АО НРД в соответствии с Решением от 23.12.2022 или Решением от 29.12.2022* |  |
|  | Контактный телефон |  |
| **Информация о номинальном держателе (иностранном номинальном держателе), осуществляющем учет прав на ценные бумаги** | | |
|  | Полное наименование номинального держателя (иностранного номинального держателя) |  |
|  | Ссылка на страницу официального сайта в информационно-телекоммуникационной сети «Интернет» уполномоченного органа, содержащего сведения о выданной лицензии (разрешении) либо о включении номинального держателя (иностранного номинального держателя) в перечень (реестр) организаций, уполномоченных осуществлять учет и переход прав на ценные бумаги |  |
| **Информация о вышестоящих номинальных держателях (иностранных номинальных держателях)**  *(повторяющийся блок для каждого номинального держателя (иностранного номинального держателя)* | | |
|  | Полное наименование номинального держателя (иностранного номинального держателя) |  |
|  | Ссылка на страницу официального сайта в информационно-телекоммуникационной сети «Интернет» уполномоченного органа, выдавшего лицензию (разрешение) либо включившего номинального держателя (иностранного номинального держателя) в перечень (реестр) организаций, уполномоченных осуществлять учет и переход прав на ценные бумаги |  |
| **При предоставлении документов в случае наличия Ограничений** | | |
|  | Вид Ограничения | * Ограничительные меры, введенные уполномоченными органами иностранных государств, международными организациями, иностранными финансовыми организациями в отношении лица, по счету которого предоставлена информация о принадлежности ценных бумаг   *Наименование иностранного государства/ международной организации/ иностранной финансовой организации, которое ввело ограничительные меры:*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| * Ограничительные меры, введенные уполномоченными органами иностранных государств, международными организациями, иностранными финансовыми организациями в отношении лица, владеющего прямо или косвенно, единолично или в совокупности 50 или более процентами акций (долей) лица, по счету которого предоставлена информация о принадлежности ценных бумаг   *Наименование иностранного государства/ международной организации/ иностранной финансовой организации, которое ввело ограничительные меры:*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *Наименование лица, владеющего прямо или косвенно, единолично или в совокупности 50 или более процентами акций (долей) лица, по счету которого предоставлена информация о принадлежности ценных бумаг: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| * Ограничительные меры, введенные уполномоченными органами иностранных государств, международными организациями, иностранными финансовыми организациями в отношении территории регистрации (гражданства) лица, по счету которого предоставлена информация о принадлежности ценных бумаг.   *Наименование иностранного государства/ международной организации/ иностранной финансовой организации, которое ввело ограничительные меры:*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *Наименование территории регистрации (гражданства) лица, по счету которого предоставлена информация о принадлежности ценных бумаг: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| **При предоставлении документов, идентифицирующих Держателя, в порядке, предусмотренном пунктом 2.8 Перечня** | | |
|  | Документы, идентифицирующие Держателя, предоставлены в НРД менее 1 (одного) года назад, изменения в указанных документах (в том числе в соответствующих Анкетах) отсутствуют | * ДА |
| **Держатель является иностранной структурой, относящейся к схемам коллективного инвестирования** | | |
|  | Возможные значения | * ДА * НЕТ |
| **Сведения о реквизитах банковского счета Держателя в российских рублях, на который должны быть зачислены причитающиеся выплаты по ценным бумагам, в том числе банковского счета типа "С" (при наличии) в предусмотренных законодательством РФ случаях** | | |
|  | Наименование российского Банка Получателя  Банковский идентификационный код (БИК) банка Получателя (9 знаков)  Город российского Банка Получателя  Номер корреспондентского счета банка Получателя, открытый в подразделении Банка России (20 знаков)  ИНН получателя средств, присвоенный российскими налоговыми органами (10 знаков для ЮЛ или 12 знаков для ФЛ)  *\* В случае, если ИНН не присвоен российскими налоговыми органами, то реквизит «ИНН получателя» заполняется нулями (10 знаков для ЮЛ или 12 знаков для ФЛ)*  Наименование Получателя (в соответствии с Уставом)\*  *\* В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается наименование иностранного банка*  Счет получателя (корр/с или р/с Получателя)\*  *\* В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается корреспондентский счет, открытый иностранному банку в российском банке* |  |

Перечень прилагаемых документов:

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (должность/ФИО) | ­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (подпись) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (дата)[[15]](#footnote-15) |

Приложение 5.1

Заявление о выплате по ценным бумагам/

Application for payment of securities

Прошу НКО АО НРД перечислить выплаты по ценным бумагам/ We hereby request NSD to transfer payments on securities:

|  |  |  |
| --- | --- | --- |
|  | Наименование эмитента ценных бумаг (полное, сокращенное)/ Name of the issuer (full and short) |  |
|  | ISIN код ценных бумаг/ ISIN of securities |  |
|  | Вид ценных бумаг/ Type of securities |  |
|  | Вид выплаты по ценным бумагам/ Type of payment on securities | * Дивиденды/ Dividends * Купонный (процентный) доход/ Coupon (interest) income * Номинальная стоимость/ Face value * Частичная номинальная стоимость / Partial face value |
|  | Дата фиксации списка лиц, имеющих право на получение выплат по ценным бумагам/ Record date |  |
|  | Количество ценных бумаг на Дату фиксации/ Number of shares outstanding as of the Record Date | \_\_\_ (\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_) шт./ shares[[16]](#footnote-16) |
| **Сведения, позволяющие идентифицировать Держателя**/ **Information to identify the Holder** | | |
|  | Тип Держателя/ Holder type | * владелец ценных бумаг/   security owner   * лицо, осуществляющее права по ценным бумагам/   the person exercising the rights to the securities   * выгодоприобретатель (бенефициарный владелец) иностранной организации (только для выплат по ценным бумагам в виде дивидендов по акциям российского акционерного общества)/   the beneficiary (beneficial owner) of an international organization |
|  | Признак лица, имеющего право на получение выплат по ценным бумагам/ Identity of the person entitled to the dividend | * физическое лицо/ an individual; * юридическое лицо/ a legal entity; * иностранная структура, без образования юридического лица/ an unincorporated foreign entity |
|  | Полное (краткое) наименование/ФИО Держателя/ Full (short) name/name, surname of the Holder |  |
|  | Наименование документа, удостоверяющего личность физического лица/регистрационного документа юридического лица/ Identity document of individual/ name of registration document of the legal entity |  |
|  | Серия и/или номер документа, удостоверяющего личность физического лица/регистрационный номер юридического лица/ Series and/or number of the identity document of individual/ registration number of the legal entity |  |
|  | Дата выдачи документа, удостоверяющего личность физического лица/дата регистрации в качестве юридического лица/ Date of issue of the identity document of the individual/ date of registration of legal entity |  |
|  | Дата рождения Держателя - физического лица/ Date of birth (for the Holder - the individual) |  |
|  | Адрес места жительства (регистрации) физического лица/ адрес местонахождения юридического лица/ Registered address of individual/ registered address of the legal entity |  |
|  | Наименование страны регистрации (гражданства /подданства) Держателя/ Country of registration (citizenship/nationality) of the Holder |  |
|  | Адрес электронной почты для направления уведомлений (e-mail)/ Email address for notifications |  |
|  | Адрес электронной почты Юридического лица – нерезидента для направления уведомления об открытии банковского счета типа «С»/ E–mail address of a non-resident Legal entity for sending a notification about the opening of a Type C bank account  *В случае если банковский счет типа «С» будет открыт НКО АО НРД в соответствии с Решением от 23.12.2022 или Решением от 29.12.2022/ If a Type C bank account is opened by NSD JSC in accordance with the Resolution of December 23, 2022 or Resolution of December 29, 2022* |  |
|  | Контактный телефон/ Contact phone number |  |
| **Информация о номинальном держателе (иностранном номинальном держателе), осуществляющем учет прав на акции**/ **Details of the nominee holder (foreign nominee holder) keeping record of owners of shares** | | |
|  | Полное наименование номинального держателя (иностранного номинального держателя)/ Full name of the nominee holder (foreign nominee holder) |  |
|  | Ссылка на страницу официального сайта в информационно-телекоммуникационной сети «Интернет» уполномоченного органа, содержащего сведения о выданной лицензии (разрешении) либо о включении номинального держателя (иностранного номинального держателя) в перечень (реестр) организаций, уполномоченных осуществлять учет и переход прав на ценные бумаги/ Link to the page of the official website of the authorized body with information on the license (permit) or on the inclusion of the nominee holder (foreign nominee holder) into the list (register) of organizations authorized to keep record of and transfer the ownership to securities |  |
| **Информация о вышестоящих номинальных держателях (иностранных номинальных держателях)**/ **Information on superior nominee holders (foreign nominee holders)**  *(повторяющийся блок для каждого номинального держателя (иностранного номинального держателя)*/ *(please complete for each nominee holder (foreign nominee holder)* | | |
|  | Полное наименование номинального держателя (иностранного номинального держателя)/ Full name of the nominee holder (foreign nominee holder) |  |
|  | Ссылка на страницу официального сайта в информационно-телекоммуникационной сети «Интернет» уполномоченного органа, выдавшего лицензию (разрешение) либо включившего номинального держателя (иностранного номинального держателя) в перечень (реестр) организаций, уполномоченных осуществлять учет и переход прав на ценные бумаги/ Link to the page of the official website of the authorized body that issued the license (permit) or included the nominee holder (foreign nominee holder) in the list (register) of organizations authorized to keep record of and transfer the ownership to securities |  |
| **При предоставлении документов, свидетельствующих о принадлежности ценных бумаг, в порядке, предусмотренном пунктом 2.4 Перечня/ If documents certifying the ownership of securities are provided in accordance with the procedure specified in paragraph 2.4 of the List** | | |
|  | Вид Ограничения | * Ограничительные меры, введенные уполномоченными органами иностранных государств, международными организациями, иностранными финансовыми организациями в отношении лица, по счету которого предоставлена информация о принадлежности ценных бумаг/ Restrictive measures imposed by authorized bodies of foreign states, international organizations, foreign financial institutions in respect of a person for whose account the information on the ownership of the securities has been submitted   *Наименование иностранного государства/ международной организации/ иностранной финансовой организации, которое ввело ограничительные меры/ Foreign state/international organization/foreign financial organization which has imposed restrictive measures*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| * Ограничительные меры, введенные уполномоченными органами иностранных государств, международными организациями, иностранными финансовыми организациями в отношении лица, владеющего прямо или косвенно, единолично или в совокупности 50 или более процентами акций (долей) лица, по счету которого предоставлена информация о принадлежности ценных бумаг/ Restrictive measures imposed by authorized bodies of foreign states, international organizations, foreign financial institutions in respect of a person who owns directly or indirectly, solely or in the aggregate 50 percent or more of the shares (shares) of the person for whose account the information on the ownership of the securities has been submitted   *Наименование иностранного государства/ международной организации/ иностранной финансовой организации, которое ввело ограничительные меры/ Foreign state/international organization/foreign financial organization which has imposed restrictive measures:*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *Наименование лица, владеющего прямо или косвенно, единолично или в совокупности 50 или более процентами акций (долей) лица, по счету которого предоставлена информация о принадлежности ценных бумаг/ Name of a person who owns directly or indirectly, solely or in the aggregate 50 percent or more of the shares (shares) of the person for whose account the information on the ownership of the securities has been submitted: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| * Ограничительные меры, введенные уполномоченными органами иностранных государств, международными организациями, иностранными финансовыми организациями в отношении территории регистрации (гражданства) лица, по счету которого предоставлена информация о принадлежности ценных бумаг/ Restrictive measures imposed by authorized bodies of foreign states, international organizations, foreign financial institutions in respect of the territory (citizenship) of the person for whose account the information on the ownership of the securities has been submitted.   *Наименование иностранного государства/ международной организации/ иностранной финансовой организации, которое ввело ограничительные меры/ Foreign state/international organization/foreign financial organization which has imposed restrictive measures:*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *Наименование территории регистрации (гражданства) лица, по счету которого предоставлена информация о принадлежности ценных бумаг/ Territory of registration (citizenship) of the person for whose account information on the ownership of securities has been submitted: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_* |
| **При предоставлении документов, идентифицирующих Держателя, в порядке, предусмотренном пунктом 2.8 Перечня**/ **If documents identifying the Holder are provided in the manner prescribed in paragraph 2.8 of the List** | | |
|  | Документы, идентифицирующие Держателя, предоставлены в НРД менее 1 (одного) года назад, изменения в указанных документах (в том числе в соответствующих Анкетах) отсутствуют/ Documents identifying the Holder were submitted to NSD less than 1 (one) year ago, and no changes have occurred (including the relevant Details Forms) | * ДА/ YES |
| **Держатель является иностранной структурой, относящейся к схемам коллективного инвестирования/** The Нolder is a foreign structure which relates to the collective investment  schemes | | |
|  | Возможные значения/Possible answers | * ДА/ YES * НЕТ/ NO |
| **Сведения о реквизитах банковского счета Держателя в российских рублях, на который должны быть зачислены причитающиеся выплаты по ценным бумагам, в том числе банковского счета типа "С" (при наличии) в предусмотренных законодательством РФ случаях /**  **Details of the Holder's bank account in Russian rubles to which the dividends due are to be credited, including Type C bank account (if any) in cases provided for by Russian legislation** | | |
|  | Наименование российского Банка Получателя/ Name of Russian recipient Bank  Банковский идентификационный код (БИК) банка Получателя (9 знаков)/ Bank Identification Code (BIC) of Bank recipient (9 digit number)  Город российского Банка Получателя/ City of the Russian Bank recipient  Номер корреспондентского счета банка Получателя, открытый в подразделении Банка России (20 знаков)/ Correpondent account number of Bank recipient (20 digit number)  ИНН получателя средств, присвоенный российскими налоговыми органами (10 знаков для ЮЛ или 12 знаков для ФЛ)/ INN of recipient (Russain tax identification number - 10 digit number for legal enteties and 12 digit number for individuals)  *\* В случае, если ИНН не присвоен российскими налоговыми органами, то реквизит «ИНН получателя» заполняется нулями (10 знаков для ЮЛ или 12 знаков для ФЛ)/ If the INN is not assigned by the Russian tax authorities, then the INN requisite is filled in with zeros (10 zeros for legal entities or 12 zeros for individuals)*  Наименование Получателя (в соответствии с Уставом)\*/Name of the recipient (in accordance with the Charter)\*  \* *В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается наименование иностранного банка/ If the person entitled to receive the payment has an account opened in a foreign bank, then the name of the foreign bank shall be indicated.*  Счет получателя (корр/с или р/с Получателя)\*/ Recipient account (correspondent account or current account) \*  *\* В случае, если лицу, имеющему право на получение выплаты открыт счет в иностранном банке, то указывается корреспондентский счет, открытый иностранному банку в российском банке/ If the person entitled to receive the payment has an account opened in a foreign bank, then the correspondent account opened for the foreign bank in a Russian bank shall be indicated.* |  |

Перечень прилагаемых документов / List of attached documents:

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

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

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  |  | | --- | --- | --- | | **Appendix 6**  **Форма AA116**  **АНКЕТА ФИЗИЧЕСКОГО ЛИЦА** | | | | 1. **Общие сведения** | | | | Фамилия, имя, отчество *(при наличии последнего)* | Фамилия:  Имя:  Отчество: | | | Дата рождения | Дата (ДД.ММ.ГГГГ): | | | Пол | * Мужской * Женский | | | Гражданство  *(указать все страны, гражданином которых Вы являетесь)* | Гражданство:  *Повторяющийся блок для гражданства каждого государства* | | | Реквизиты документа, удостоверяющего личность | Наименование документа:  Серия (при наличии) и номер:  Дата выдачи:  Наименование органа, выдавшего документ:  Код подразделения (если имеется): | | | Данные документа, подтверждающего право иностранного гражданина или лица без гражданства на пребывание (проживание) в Российской Федерации (для иностранного гражданина и лица без гражданства) | Наименование документа:  Серия (если имеется) и номер:  Дата начала срока действия права пребывания (проживания):  Дата окончания срока действия права пребывания (проживания): | | | Вид на жительство  *(указать все страны, в которых Вы имеете вид на жительство (при наличии)* | Вид на жительство:  *Повторяющийся блок для каждого вида на жительство* | | | Адрес места регистрации | Страна:  Регион:  Населенный пункт (город и т.д.):  Наименование улицы:  Номер дома (владения):  Номер корпуса (строения):  Номер квартиры: | | | Адрес места пребывания (фактический адрес проживания) | Страна:  Регион:  Населенный пункт (город и т.д.):  Наименование улицы:  Номер дома (владения):  Номер корпуса (строения):  Номер квартиры: | | | ИНН *(при наличии)* |  | | | TIN *(при наличии)*  ID-код соцобеспечения *(если иностранная юрисдикция не присваивает налогоплательщикам TIN)* | Юрисдикция: TIN:  *Повторяющийся блок для каждой юрисдикции*  Юрисдикция: ID:  *Повторяющийся блок для каждой юрисдикции* | | | СНИЛС *(обязательно для граждан РФ)* |  | | | Контактная информация (*при наличии*) | Номер телефона  Номер факса  Адрес электронной почты  Почтовый адрес | | | **2. Сведения о принадлежности КЛИЕНТА к некоторым категориям лиц** | | | | 1. Являетесь ли Вы 1) иностранным публичным должностным лицом\*; либо 2) должностным лицом публичных международных организаций\*\*; либо 3) лицом, замещающим (занимающим) государственные должности Российской Федерации, должности членов Совета директоров Центрального банка Российской Федерации, должности федеральной государственной службы, назначение на которые и освобождение от которых осуществляются Президентом Российской Федерации или Правительством Российской Федерации, должности в Центральном банке Российской Федерации, государственных корпорациях и иных организациях, созданных Российской Федерацией на основании федеральных законов, включенные в перечни должностей, определяемые Президентом Российской Федерации?  **(НЕТ/ДА)**  Если ответ на предыдущий вопрос «ДА», укажите занимаемую должность, наименование и адрес работодателя: заполните блок 4 настоящей Анкеты.  2. Являетесь ли Вы родственником категорий лиц, указанных в п. 1 (супругом/супругой или близким родственником (родственниками по прямой восходящей и нисходящей линии (родителями и детьми, дедушкой, бабушкой и внуками), полнородным и неполнородным (имеющими общих отца или мать) братьями и сестрами, усыновителями и усыновленными)?  **(НЕТ/ДА)**  Если ответ на предыдущий вопрос «ДА», укажите степень родства либо статус (супруг или супруга) и должность, ФИО, родственника и занимаемую им должность, а также наименование и адрес работодателя:  3. Осуществляете ли Вы операции и/или сделки с денежными средствами или иным имуществом от имени категорий лиц, указанных в п. 1-2?  **(НЕТ/ДА)**  Если ответ на предыдущий вопрос «ДА», укажите от имени какого лица Вы действуете:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \* *Любое назначаемое или избираемое лицо, занимающее какую-либо должность в законодательном, исполнительном, административном или судебном органе иностранного государства, и любое лицо, выполняющее какую-либо публичную функцию для иностранного государства, в том числе для публичного ведомства или публичного предприятия.*  *\*\* Международный гражданский служащий или любое лицо, которое уполномочено такой организацией действовать от ее имени (например, такой как: ООН, Международная морская организация, Совет Европы, институты ЕС, ОБСЕ, Организация американских государств, НАТО и т.д.);* | | | | **3. Сведения о наличии/отсутствии у КЛИЕНТА бенефициарного владельца, представителя, выгодоприобретателя** | | | | Наличие физического лица, которое в конечном счете прямо или косвенно (через третьих лиц) имеет возможность контролировать Ваши действия  *При ответе «ДА» следует заполнить и предоставить Анкету по форме АА106.* | | * ДА * НЕТ | | Планирует ли проводить/проводит ли Клиент операции к выгоде другого лица, в т.ч. в рамках договоров комиссии, агентских договоров, договоров поручения, доверительного управления и др. и/или при осуществлении расчетов за третье лицо?  *При ответе «ДА» следует заполнить и предоставить Анкету выгодоприобретателя. Если выгодоприобретателей несколько, то форма заполняется на каждого выгодоприобретателя отдельно.* | | * ДА * НЕТ | | Наличие лица, которое является Вашим Представителем при обслуживании в НКО АО НРД.  ***При ответе «ДА» следует заполнить и предоставить Анкеты по форме АА106*** | | * ДА * НЕТ | | **4. Сведения об источниках происхождения денежных средств и (или) иного имущества КЛИЕНТА\***  *\* заполняется в случае, если Клиент-физическое лицо является иностранным публичным должностным лицом (ИПДЛ), а также в случаях, установленных действующих законодательством и нормативными актами Банка России, по отдельному запросу.* | | | | Укажите источники: | | | | **5. Дополнительные сведения о КЛИЕНТЕ - физическом лице \***  *\* заполняется в случаях, установленных действующих законодательством и нормативными актами Банка России по отдельному запросу.* | | | | Цель установления и предполагаемый характер отношений с НКО АО НРД |  | | | Цели финансово-хозяйственной деятельности |  | | | Финансовое положение |  | | |  |  | | | Деловая репутация |  | | | **6. Дата заполнения сведений** |  | |   Настоящим подтверждаю полноту и достоверность данных, указанных в настоящей анкете.   |  |  |  | | --- | --- | --- | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (ФИО) | ­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  (подпись) |  |   **Appendix 6.1**  **Форма AA116/Details Form AA116**  **АНКЕТА ФИЗИЧЕСКОГО ЛИЦА/INDIVIDUAL'S DETAILS FORM** | | |
| 1. **Общие сведения/General information** | | |
| Фамилия, имя, отчество *(при наличии последнего)/*Surname, given name and middle name *(if any)* | Фамилия/Surname:  Имя/Name:  Отчество/Patronymic (if any): | |
| Дата рождения/ Date of birth | Дата (ДД.ММ.ГГГГ)/Date (DD.MM.YYYY): | |
| Пол/Sex | * Мужской/Male * Женский/Female | |
| Гражданство/Citizenship  *(указать все страны, гражданином которых Вы являетесь)/* *(list all the countries you are a citizen of)* | Гражданство/Citizenship:  *Повторяющийся блок для гражданства каждого государства/For each country citizenship* | |
| Реквизиты документа, удостоверяющего личность/ID document details: | Наименование документа/Document type:  Серия (при наличии) и номер/Document series (if any) and number:  Дата выдачи/Date of issue:  Наименование органа, выдавшего документ/Issuing authority:  Код подразделения (если имеется)/ Subdivision code (if any): | |
| Данные документа, подтверждающего право иностранного гражданина или лица без гражданства на пребывание (проживание) в Российской Федерации (для иностранного гражданина и лица без гражданства)/ Details of a document evidencing a foreign citizen’s or stateless person’s right to stay (reside) in the Russian Federation (for Foreign citizens or stateless persons) | Наименование документа/Document type:  Серия (если имеется) и номер/Document series (if any) and number:  Дата начала срока действия права пребывания (проживания)/Effective date of the right to stay (reside):  Дата окончания срока действия права пребывания (проживания)/Expiry date of the right to stay (reside): | |
| Вид на жительство/Residence permit  *(указать все страны, в которых Вы имеете вид на жительство (при наличии)/(list all countries where you have a residence permit (if any)* | Вид на жительство/Residence permit:  *Повторяющийся блок для каждого вида на жительство/For each residence permit* | |
| Адрес места регистрации/Place of registration | Страна/Country:  Регион/Region:  Населенный пункт (город и т.д.)/City (town, etc.):  Наименование улицы/Street name:  Номер дома (владения)/House number:  Номер корпуса (строения)/Building number:  Номер квартиры/Apartment number: | |
| Адрес места пребывания (фактический адрес проживания)/Place of stay address | Страна/Country:  Регион/Region:  Населенный пункт (город и т.д.)/ City (town, etc.):  Наименование улицы/Street name:  Номер дома (владения)/House number:  Номер корпуса (строения)/Building number:  Номер квартиры/Apartment numder: | |
| ИНН *(при наличии)/*Taxpayer Number (INN) *(if any)* |  | |
| TIN *(при наличии)/*TIN *(if any)*  ID-код соцобеспечения *(если иностранная юрисдикция не присваивает налогоплательщикам TIN)/* Social security ID number *(if the foreign jurisdiction does not assign TINs to taxpayers)* | Юрисдикция/Jurisdiction: TIN:  *Повторяющийся блок для каждой юрисдикции*  Юрисдикция/Jurisdiction: ID:  *Повторяющийся блок для каждой юрисдикции/* *For each jurisdiction* | |
| СНИЛС *(обязательно для граждан РФ)/* SNILS *(required for Russian citizens)* |  | |
| Контактная информация (*при наличии*)/ Contact details *(if available)* | Номер телефона/Telephone  Номер факса/Fax  Адрес электронной почты/E-mail  Почтовый адрес/Mailing address | |
| **2. Сведения о принадлежности КЛИЕНТА к некоторым категориям лиц/** **Identification of the CLIENT as a special category person** | | |
| 1. Являетесь ли Вы 1) иностранным публичным должностным лицом\*; либо 2) должностным лицом публичных международных организаций\*\*; либо 3) лицом, замещающим (занимающим) государственные должности Российской Федерации, должности членов Совета директоров Центрального банка Российской Федерации, должности федеральной государственной службы, назначение на которые и освобождение от которых осуществляются Президентом Российской Федерации или Правительством Российской Федерации, должности в Центральном банке Российской Федерации, государственных корпорациях и иных организациях, созданных Российской Федерацией на основании федеральных законов, включенные в перечни должностей, определяемые Президентом Российской Федерации?/Are you 1) a foreign public official\*; or 2) an official of public international organizations\*\*; or 3) a person substituting for (holding) public office of the Russian Federation, office of the Board of Directors of the Central Bank of the Russian Federation, federal public service positions to which appointment and dismissal are performed by the Russian President or the Russian Government, positions in the Central Bank of the Russian Federation, state corporations and other organizations established by the Russian Federation under federal laws and listed among the positions determined by the President of the Russian Federation?  **(НЕТ/ДА)**  **(NO/YES)**  Если ответ на предыдущий вопрос «ДА», укажите занимаемую должность, наименование и адрес работодателя: заполните блок 4 настоящей Анкеты/If you tick “YES” to the previous question, please indicate state the position held and the name and address of the employer: complete section 4 of this form.  2. Являетесь ли Вы родственником категорий лиц, указанных в п. 1 (супругом/супругой или близким родственником (родственниками по прямой восходящей и нисходящей линии (родителями и детьми, дедушкой, бабушкой и внуками), полнородным и неполнородным (имеющими общих отца или мать) братьями и сестрами, усыновителями и усыновленными)?/Are you a family member with the categories mentioned in paragraph 1 (spouse or near of kin (ascendants and descendants (parents and children, grandparents and grandchildren), full and half siblings (having a common father or mother), adoptive parents and adopted children)?  **(НЕТ/ДА) (NO/YES)**  Если ответ на предыдущий вопрос «ДА», укажите степень родства либо статус (супруг или супруга) и должность, ФИО, родственника и занимаемую им должность, а также наименование и адрес работодателя/If you tick “YES” to the previous question, please indicate the relationship to or status (spouse) and position, full name of the relative and position held, along with the name and address of the employer:  3. Осуществляете ли Вы операции и/или сделки с денежными средствами или иным имуществом от имени категорий лиц, указанных в п. 1-2?/Do you perform transactions and/or deal with funds or other assets on behalf of the categories of persons mentioned in paragraphs 1-2?  **(НЕТ/ДА) (NO/YES)**  Если ответ на предыдущий вопрос «ДА», укажите от имени какого лица Вы действуете:/If you tick “YES” to the previous question, please indicate the person on whose behalf you are acting:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \* *Любое назначаемое или избираемое лицо, занимающее какую-либо должность в законодательном, исполнительном, административном или судебном органе иностранного государства, и любое лицо, выполняющее какую-либо публичную функцию для иностранного государства, в том числе для публичного ведомства или публичного предприятия/\*Any person appointed or elected to hold any legislative, executive, administrative or judicial office in a foreign country and any person who performs any public function for a foreign country, including for a public agency or public enterprise.*  *\*\* Международный гражданский служащий или любое лицо, которое уполномочено такой организацией действовать от ее имени (например, такой как: ООН, Международная морская организация, Совет Европы, институты ЕС, ОБСЕ, Организация американских государств, НАТО и т.д.)/\*\* International civil servant or any person authorized by such an organization to act on its behalf (for example, UN, IM, EC, EC institutions,OSCE, OAS, NATO and etc.);* | | |
| **3. Сведения о наличии/отсутствии у КЛИЕНТА бенефициарного владельца, представителя, выгодоприобретателя/Information on whether the CLIENT has a beneficial owner, representative, or a beneficiary** | | |
| Наличие физического лица, которое в конечном счете прямо или косвенно (через третьих лиц) имеет возможность контролировать Ваши действия/Do you have an individual who is ultimately controlling your actions, either directly or indirectly (through a third party)?  *При ответе «ДА» следует заполнить и предоставить Анкету по форме АА106/If you tick “YES”, please complete and submit the Details Form АА106* | | * ДА/YES * НЕТ/NO |
| Планирует ли проводить/проводит ли Клиент операции к выгоде другого лица, в т.ч. в рамках договоров комиссии, агентских договоров, договоров поручения, доверительного управления и др. и/или при осуществлении расчетов за третье лицо?/Does the Client plan to execute/execute transactions for the benefit of another person, such as under commission agency agreements, agency agreements, engagement agreements, trust agreements, etc. and/or when making settlements for a third party?  *При ответе «ДА» следует заполнить и предоставить Анкету выгодоприобретателя. Если выгодоприобретателей несколько, то форма заполняется на каждого выгодоприобретателя отдельно/If you tick “YES”, please complete and submit the Beneficiary’s Details Form. If more than one beneficiary, please complete a separate form for each beneficiary.* | | * ДА/YES * НЕТ/NO |
| Наличие лица, которое является Вашим Представителем при обслуживании в НКО АО НРД/Do you have a Representative when you are serviced by NSD?  ***При ответе «ДА» следует заполнить и предоставить Анкеты по форме АА106/If you tick “YES”, please complete and submit the Details Form АА106*** | | * ДА/YES * НЕТ/NO |
| **4. Сведения об источниках происхождения денежных средств и (или) иного имущества КЛИЕНТА\*/Information on the source of funds and/or other assets of the CLIENT\***  *\* заполняется в случае, если Клиент-физическое лицо является иностранным публичным должностным лицом (ИПДЛ), а также в случаях, установленных действующих законодательством и нормативными актами Банка России, по отдельному запросу/\* to be completed if the Individual Client is a foreign public official (FPO), and in cases required by applicable laws and Bank of Russia regulations upon separate request.* | | |
| Укажите источники/Please indicate the sources: | | |
| **5. Дополнительные сведения о КЛИЕНТЕ - физическом лице \*/Further Individual Client details\***  *\* заполняется в случаях, установленных действующих законодательством и нормативными актами Банка России по отдельному запросу/\*to be completed where required by applicable laws and Bank of Russia regulations upon request.* | | |
| Цель установления и предполагаемый характер отношений с НКО АО НРД/Purpose and intended nature of the relationship with NSD |  | |
| Цели финансово-хозяйственной деятельности/Business and financial activity purposes |  | |
| Финансовое положение/Financial position |  | |
|  |  | |
| Деловая репутация/Business reputation |  | |
| **6. Дата заполнения сведений/Details Form completion date** |  | |

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

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

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

1. A signature may be authenticated by a competent body (person) of a foreign state (including a notary public), or by a notary of the Russian Federation, or by an NSD’s employee. [↑](#footnote-ref-1)
2. Any of the following documents must be submitted to support compliance with this criterion: a letter from the parent company with the information specified (original with a notarized power of attorney attached, if the letter is signed by a representative by power of attorney); reporting forms (extracts from reporting forms) of the group of companies with the information specified (notarized copy/copy certified by the sole executive body). [↑](#footnote-ref-2)
3. Requirement of paragraph 2.3 of the List, not applicable. [↑](#footnote-ref-3)
4. Requirement of paragraph 2.3 of the List, not applicable. [↑](#footnote-ref-4)
5. For a favorable decision-making, NSD may use the documents made available previously which contain the required information. [↑](#footnote-ref-5)
6. Any of the following documents must be submitted to support compliance with this criterion: a letter from the parent company with the information specified (original with a notarized power of attorney attached, if the letter is signed by a representative by power of attorney); reporting forms (extracts from reporting forms) of the group of companies with the information specified (notarized copy/copy certified by the sole executive body). [↑](#footnote-ref-6)
7. A letter from the rating agency assigning a rating to the Foreign Depository (notarized copy/copy certified by the sole executive body), or a letter with a link to the website of the rating agency or the Foreign Depository where information about the rating assigned to the Foreign Depository is posted (original) can be submitted to confirm the above criteria. [↑](#footnote-ref-7)
8. A letter with a link to the website page of such an International Securities Depository belonging to an international clearing and settlement organization or central securities depository with the relevant information can be provided to confirm the above criteria. [↑](#footnote-ref-8)
9. Documents necessary for NSD for the purpose of Federal Law No. 115-FZ On Countering the Legalization (Laundering) of Criminally Obtained Incomes and the Financing of Terrorism, dated August 7, 2001. [↑](#footnote-ref-9)
10. Для пересчета в штуки количества облигаций, выраженного в валюте по номинальной стоимости, можно разделить такое количество на номинальную стоимость одной облигации. [↑](#footnote-ref-10)
11. При поступлении в НРД одновременно cведений о реквизитах банковского счета Держателя в российских рублях, на который должны быть зачислены причитающиеся выплаты по ценным бумагам, и от Держателя путем направления Уведомления, и в Списке Иностранного номинального держателя, НРД рассматривает реквизиты банковского счета, указанные в Списке Иностранного номинального держателя, а при невозможности их использования - реквизиты банковского счета, которые поступили от Держателя. Предоставляя указанные сведения, Держатель несет ответственность за их достоверность и полноту. При отсутствии банковского счета типа "С" НРД предпринимает действия, направленные на его открытие, согласно Решению от 23.12.2022 и Решению от 29.12.2022. [↑](#footnote-ref-11)
12. Для пересчета в штуки количества облигаций, выраженного в валюте по номинальной стоимости, можно разделить такое количество на номинальную стоимость одной облигации / To convert the number of bonds expressed in a currency at face value into security units, you can divide this number by the face value of the bond. [↑](#footnote-ref-12)
13. При поступлении в НРД одновременно cведений о реквизитах банковского счета Держателя в российских рублях, на который должны быть зачислены причитающиеся выплаты по ценным бумагам, и от Держателя путем направления Уведомления, и в Списке Иностранного номинального держателя, НРД рассматривает реквизиты банковского счета, указанные в Списке Иностранного номинального держателя, а при невозможности их использования - реквизиты банковского счета, которые поступили от Держателя. Предоставляя указанные сведения, Держатель несет ответственность за их достоверность и полноту. При отсутствии банковского счета типа "С" НРД предпринимает действия, направленные на его открытие, согласно Решению от 23.12.2022 и Решению от 29.12.2022. /

    If NSD receives information about the details of the Holder's bank account in Russian rubles, to which the due payments on securities should be credited, from a Holder by sending a Notification, and in parallel in the List of Holders from the Foreign Nominee Holder, NSD will consider those received from a Foreign Nominee Holder, and if it is impossible to use them - the details the bank account that came from the Holder. By providing this information, a Holder assumes responsibility for their accuracy and completeness. In the absence of a bank account of type "C", NSD takes actions aimed at opening it, according to the Resolution of December 23, 2022 and the Resolution of December 29, 2022. [↑](#footnote-ref-13)
14. Для пересчета в штуки количества облигаций, выраженного в валюте по номинальной стоимости, можно разделить такое количество на номинальную стоимость одной облигации. [↑](#footnote-ref-14)
15. Указывается в случае предоставления Заявления о выплате по ценным бумагам на бумажном носителе и исключается в случае его направления через СЭД НРД [↑](#footnote-ref-15)
16. Для пересчета в штуки количества облигаций, выраженного в валюте по номинальной стоимости, можно разделить такое количество на номинальную стоимость одной облигации/ To convert the number of bonds expressed in a currency at face value into security units, you can divide this number by the face value of the bond. [↑](#footnote-ref-16)