**Procedure for Interaction with NSD**

**in the Course of Forced Securities Recordkeeping Transfer**

**under Federal Law No. 319-FZ, dated 14 July 2022.**

# **Terms and Definitions**

* 1. **“Details Form АА001”** shall mean a Legal Entity's Details Form to be submitted by the Applicant-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 Applicant-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 Applicant 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 Applicant 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 Applicant-Natural Person using the form prescribed by NSD (Form AA116), as set out in [Appendix 3](#_Приложение_№_1) or Appendix 3.1 to the Procedure.
	6. **“FATCA/CRS Questionnaire”** shall mean the Questionnaire for Identification of Foreign Taxpayers to be submitted by the Applicant-Legal Entity, which is available on Moscow Exchange's web site at <http://moex.com/ru/fatca> (Russian version), and <http://moex.com/en/fatca> (English version).
	7. **“FATCA/CRS Questionnaire Form (for Individuals)”** shall mean a questionnaire form to be submitted by the Applicant-Natural Person for the purposes a foreign taxpayer identification produced according to the form in Appendix 4 or Appendix 4.1 to the Procedure.
	8. **“Apostille”** shall mean a stamp that meets the requirements set out in the Hague Convention Abolishing the Requirement of Legalisation for Foreign Public Documents signed in Hague on 5 October 1961 (the Hague Convention) and that is affixed by a competent authority of the state in which the relevant document is issued.
	9. **“Owner”** shall mean an individual or legal entity holding Securities or another person exercising the rights in Securities.
	10. **“Extract from the Document”** shall mean a document portion in hard copy that is certified by an Applicant's authorised person and stamped with the corporate seal (if any).
	11. **“Securities Account Agreement”** shall mean the Owner’s Securities Account Agreement executed between the Applicant and NSD in the manner provided for in such Agreement.
	12. **“EDI Agreement”** shall mean the Electronic Data Interchange Agreement between NSD and the Applicant (if any).
	13. **“Documents”** shall mean the documents (in addition to the Application) according to the List provided by the Applicant in accordance with this Procedure.
	14. **“Law”** shall mean Federal Law No 319-FZ On Amendment of Certain Legislative Acts of the Russian Federation, dated 14 July 2022.
	15. **“Applicant”** shall mean an Owner or any other person for whose benefit the Securities are held and who has applied to NSD for the forced securities recordkeeping transfer.
	16. **“Application”** shall mean a forced securities recordkeeping transfer application produced according to the form in Appendix 2 or Appendix 2.1 to this Procedure.
	17. **“International Securities Depository”** shall mean a non-resident international organisation which is authorised under the personal law to record and transfer the rights to Securities (including the entity that NSD has a Foreign Nominee Holder Account with).
	18. **“Foreign Nominee Holder”** shall mean an International Securities Depository that has a Foreign Nominee Holder Account opened with NSD.
	19. **“Copy”** shall mean a document that reproduces in full an Original / Notarised Copy and its appearance, in hard copy, that is certified by the Applicant's authorised person and bears the Applicant's corporate seal (if any), or a scanned copy certified by the EDS of Applicant's authorised 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.
	20. **“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 Applicant to communicate with the registration authority.
	21. **“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.
	22. **“Notarised 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.
	23. **“Notarised Copy”** shall mean
		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 legalised according to paragraphs 1.1 and 1.2 of the List
	24. **“NSD”** shall mean National Settlement Depository.
	25. **“Restrictions”** shall mean (whichever applicable):
		1. restrictive measures against the Russian issuer and (or) its affiliated persons, against the Owner, or against international organisations where the records of the Owner's rights are kept;
		2. unfriendly acts by foreign states, international organisations, international financial institutions, including those related to imposing restrictive measures against the Russian Federation, Russian legal entities and citizens of the Russian Federation.
	26. **“Refusal”** shall mean NSD's refusal to open a Securities Account and credit the Securities to that account according to the form in Appendix 5 to the Procedure.
	27. **“Original”** shall mean (whichever applicable):
		1. an original document (first edition) in hard copy that is signed by the Applicant’s 's authorised person and bears the Applicant's corporate seal (if any), or a document/information in the form of an electronic file issued in the User Account and signed with the EDS of the Applicant's authorised 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 authorised 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 authorised person) and bears the corporate seal (if any).
	28. **“List”** shall mean a list of documents to be submitted to NSD in the course of forced securities recordkeeping transfer under Federal Law No. 319-FZ, dated 14 July 2022 (Appendix 1 to the Procedure).
	29. **“NSD List”** shall mean the List of Documents to Be Submitted by Clients-Legal Entities to NSD available on the Website.
	30. **“Period”** shall mean a period of one hundred and twenty (120) days from the date of official publication of the Law, namely from 14 July 2022 to 10 November 2022 (inclusive), during which an Application may be submitted to NSD.
	31. **“AML/CFT/WMD”** shall mean anti-money laundering and combating the financing of terrorism and financing of the proliferation of weapons of mass destruction.
	32. **“Procedure”** shall mean this Procedure for Interaction with NSD in the Course of Forced Securities Recordkeeping Transfer under Federal Law No. 319-FZ, dated 14 July 2022.
	33. **“EDI Rules”** shall mean NSD's Electronic Data Interchange Rules.
	34. **“Website”** shall mean the website of NSD on the Internet at www.[nsd.ru](https://nsddata.ru/ru).
	35. **“Owner’s Securities Account”** shall mean a securities account used to record ownership or other proprietary rights to securities.
	36. **“Foreign Nominee Holder Account”** shall mean a securities account with NSD opened for the Foreign Nominee Holder.
	37. **“EDS”** shall mean an enhanced (either certified or non-certified) digital signature.
	38. **“Securities”** shall mean securities of Russian issuers the rights to which are recorded in a Foreign Nominee's Securities Account with NSD (including bonds of the Russian Federation, including Russian Eurobonds issued by the Russian Ministry of Finance in accordance with the budget laws), and which may not be transacted because of Restrictions.
	39. **“Non-resident Legal Entities”** shall mean legal entities that meet criteria of paragraph 7 of part 1 of article 1 of Federal Law No. 173-FZ On Currency Regulation and Currency Control, dated 10 December 2003.
	40. **“Russian Resident Legal Entities”** shall mean legal entities that meet criteria of paragraph 6 of part 1 of article 1 of Federal Law No. 173-FZ On Currency Regulation and Currency Control, dated 10 December 2003.
	41. **“Notification”** means a notice from NSD on acceptance for processing of documents for the purpose of forced transfer of recordkeeping for securities in accordance with Federal Law No. 319-FZ dated 14 July 2022 in the form set out in Appendix 6 to the Procedure.
	42. Any other terms used in this Procedure shall have the meanings given to them in the relevant Russian laws, Securities Account Agreement and EDI Agreement.

# **General Provisions**

* 1. NSD makes the Procedure available on its website and may make changes to it unilaterally.
	2. NSD notifies the Applicant of changes to the Procedure by posting such changes on the Website. The date of notification shall be the date the changes are posted on the Website.
	3. The Applicant shall independently verify the relevant information on the Website, and it is the Applicant's responsibility to obtain such information.
	4. The Applicant shall be responsible for the accuracy of the information provided under the Procedure.

# **Forced Securities Recordkeeping Transfer Procedure**

* 1. The Applicant shall submit to NSD the Application and the Documents required in accordance with the Procedure.
	2. NSD shall check the documents referred to in paragraph 3.1 of this Procedure for completeness and accuracy within ten (10) working days of their receipt.
	3. If NSD reasonably doubts completeness and/or accuracy or if the information in the Application and the Documents is not enough, NSD (except for as referred to in paragraph 3.5 of the Procedure) may refuse to open an Owner's Securities Account and credit the Securities to such account. In this case, NSD shall notify the Applicant within 1 (one) working day after the expiry of the period set forth in paragraph 3.2 of the Procedure by sending a Refusal using the e-mail address of the Applicant referred to in the Application.

Where NSD receives a new Application from the same Applicant after making an approval to accept a previously submitted Application for the purpose of forced transfer of title to Russian securities, in respect of other securities of a Russian issuer, NSD, in order to avoid any reasonable doubt as to the completeness and/or reliability or adequacy of the information, sends a notice to the Applicant requesting it to submit an additional document or documents issued on the same date attesting that the Applicant (or a person acting for the Applicant) holds the relevant quantity of Russian securities and including details of the securities held both in the new Application and in previously submitted Applications for which NSD has previously made the approval and notified thereof the Applicant. In this case the Applicant may, within five (5) business days of receipt from NSD of the relevant request, but not later than 10 November 2022 or such other period as may be amended by the federal law, submit to NSD this(these) document(s). If the documents are not submitted within the said period, NSD shall be entitled to reconsider its earlier approval.

* 1. If this check is successful, NSD shall
		1. not later than one (1) business day after the expiration of the period specified in Paragraph 3.2 of the Procedure, notify the Applicant that the Application and Documents have been accepted for processing for the purpose of forced transfer of recordkeeping of rights to Securities under the Law by sending a Notification in the form of an electronic message using the email address of the Applicant specified in the Application;
		2. within ten (10) working days from the Period expiry date:
			1. open Owner’s Securities Account for the Applicant; in this case, if the Applicant is a non-resident, a type C Securities Account shall be opened, except in cases established by the legislation of the Russian Federation and other regulatory legal acts (including decrees of the President of the Russian Federation), regulations and other acts of the Bank of Russia (including instructions, resolutions of the Board of Directors, clarifications and resolutions), and instructions from government authorities;
			2. debit the Securities from the Foreign Nominee Holder Account and credit them to the Owner’s Securities Account opened for the Applicant;
			3. if there is information in the Applications about an existing encumbrance or limitation of ownership, NSD shall make a record about this encumbrance or limitation affecting the Securities without the instruction of the Applicant and the consent of the person in whose favour the encumbrance or limitation of ownership has been set (such encumbrances do not include encumbrances in respect of securities (rights to securities) established without the consent of the Applicant, including those based on decisions of law enforcement, judicial and other authorised bodies well as persons of foreign states).
	2. If there are any comments from NSD on the FATCA/CRS Questionnaire and/or the FATCA/CRS Questionnaire for individuals, NSD shall notify the Applicant of such comments by any available means (if necessary, using the email address of the Applicant given in the Application) and the need to address them before the end of the Period.
	3. If the Applicant addresses the comments on the FATCA/CRS Questionnaire and/or the FATCA/CRS Questionnaire for individuals within a maximum of four (4) business days after the end of the Period and the outcome of the check being positive, NSD shall proceed as prescribed in Clause 3.4 of the Procedure. If the Applicant fails to close the comments on the FATCA/CRS Questionnaire and/or the FATCA/CRS Questionnaire for individuals for individuals within a maximum of four (4) business days after the end of the Period, NSD shall take the actions prescribed in Clause 3.4 of the Procedure and also notifies the Applicant of the said comments by any available means (if necessary with the use of the Applicant's e-mail address specified in the Application) and the need to address such comments.
	4. Within three business days of the date of transactions under paragraph 3.4 of this Procedure, NSD shall notify the Foreign Nominee of debiting the Securities from the relevant Foreign Nominee Holder Account.
	5. No transactions may be conducted on an Owner's Securities Account opened in accordance with the Procedure on behalf of the Applicant until the Applicant has concluded a Securities Account Agreement, appointed a Securities Account Operator and completed other actions provided for in the Securities Account Agreement.
	6. If the total number of Securities in respect of which Applications are submitted exceeds the number of Securities recorded in the Foreign Nominee Holder Account, the transactions provided by paragraph 3.4.2.2 of the Procedure shall not be made. To determine the total number of Securities in respect of which Applications are submitted, the number of Securities indicated in the Applications in respect of which NSD has not submitted a Refusal shall be taken into account.
	7. Where other information pertinent to transfer of recordkeeping of rights to securities needs to be communicated to the Applicant or in other cases as decided by NSD, the Applicant may be notified by email with the use of the Applicant’s email address indicated in the Application.

**List of documents to be submitted to NSD in Forced Securities Record-Keeping Transfer under Federal Law No. 319-FZ dated 14 July 2022**

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

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

* + 1. in accordance with the general rule, by way of consular legalisation by consular posts of the Russian Federation or by consular sections of diplomatic missions of the Russian Federation; or
		2. for Hague Convention countries, by an Apostille.

# Legalisation of documents shall not be required if the documents have been issued in a country that is a party to the Convention on Legal Assistance and Legal Relations in Civil, Family and Criminal Matters signed in Minsk on 22 January 1993 (Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, Turkmenistan, Uzbekistan, or Ukraine).

# Documents evidencing ownership of the Securities in accordance with paragraph 2 of the List will be accepted by NSD provided that the signatories' signatures are authenticated[[1]](#footnote-1). Such documents signed outside Russia are accepted by NSD subject to legalisation requirements:

* + 1. in accordance with the general rule, by way of consular legalisation by consular posts of the Russian Federation or by consular sections of diplomatic missions of the Russian Federation; or
		2. for Hague Convention countries, by an Apostille.

# Requirement of paragraph 1.3 of the List, are not applicable:

* + 1. if Restrictions are imposed towards the person whose account details have been provided (this includes due to imposing Restrictions on persons holding directly or indirectly, solely or in the aggregate, more than 50% of the votes in the supreme governing body of such person and (or) for other reasons);
		2. if the Applicant 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 Depositary keeping record of the rights of the Applicant is a legal entity in which a credit institution or non-credit financial institution regulated by the Bank of Russia, by virtue of its participation in such legal entity or in accordance with powers received, including under a written agreement, or from other persons, holds more than fifty percent of the votes of the voting shares (holdings) in the authorised (share) 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 ownership of Securities as provided for in paragraphs 2 and 3 of the List and issued in English.

# The requirement in paragraph 1.3 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 Applicants or Applicants’ authorised 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.

# To receive income and other proceeds related to Securities, the Applicant must provide NSD with tax accounting documents and further information and documents requested by NSD (as provided in the Securities Account Agreement).

# Documents identifying the Applicant may not be provided by the Applicant if two conditions are simultaneously met:

# such documents were submitted by the Applicant to NSD less than one (1) year ago;

# the Application states that there are no changes to the documents identifying the Applicant previously submitted to NSD.

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

# If the documents specified in paragraphs 2 and 3 of the List are signed by a person acting on the basis of a power of attorney on behalf of the International Securities Depository (international broker who records and transfers rights to Securities), the Original or Notarised Copy of the power of attorney must also be submitted.

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| --- | --- | --- | --- | --- |
| No. | Document title | Permitted forms | Permitted submission methods | Notes |
| **Documents proving a holding in the Securities by the Applicant** |
| 1. | Application for forced transfer of Russian securities record-keeping | Original | Hard copyIn electronic format(if an EDI Agreement is signed) | Please use the NSD’s form.The application must be prepared in Russian or must be submitted with a duly certified translation (authenticity of the translator's signature).When a translation is performed (witnessed) in a foreign country, the document must be formalised in accordance with the established procedure (items 1.1-1.2 of the List). |
| 2. | Any document evidencing the number of Securities on the account opened with the International Securities Depository as at any date from 14 July 2022 to 10 November 2022 inclusive (if Restrictions are imposed in respect of the person in respect of whose account details are provided (including in connection with the imposition of Restrictions in respect of persons holding directly or indirectly, solely or in aggregate more than 50% of the votes in the supreme governing body of such person and (or) on other grounds), information on the account of such person may be provided as of another date within the period not exceeding 6 (six) months before the date of the Restrictions:) |
| 2.1 | **Account statement** for the purpose for prove of holding issued by the International Securities Depository | Original |  | The document (account statement) must include the following details:1. International Securities Depository's full name and physical address;
2. in respect of the person for whom the account statement is submitted: if an individual – surname and given name, details of an identity document; if a legal entity – full name, address and (or) OGRN/registration number;
3. the date on which details of the number of Securities are provided;
4. securities parameters (ISIN code, securities name);
5. quantity of Securities in units or in currency at face amount (FAMT) for Securities in the form of bonds;
6. information making it possible to confirm that the Applicant is am owner of the Securities or another person exercising rights with respect to the Securities, and if the Applicant is another person in whose interests the owner of the Securities acts, information making it possible to confirm that such owner is the owner of the Securities, as well as documents proving the legal relationship between the Applicant and such owner or a statement from the Applicant that documents proving such a legal relationship cannot 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 Notarised Copy) with such information, signed by an International Securities Depository’s official is submitted.  |
| 2.2 | **SWIFT MT 535** (Statement of Holdings) message submitted by the International Securities Depository to the depositor (applicable to legal entities members of SWIFT messaging exchange | Permitted forms:1. a document in hard copy in respect of which a notary or a competent authority (person) of a foreign state has certified that it is equivalent to an electronic document;
2. a document in hard copy whereby a Russian notary public, in support of evidence, made an examination of information found on the Internet using the Applicant's account.
3. copy of the document for which the Applicant 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 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 organisation or by any other authorised person whose authority has been confirmed by a notarised power of attorney, or must be provided in electronic format (with an EDI agreement in hand).
 | 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 the Securities are provided;
4. Security parameters (ISIN code);
5. quantity of Securities in units or in currency at face amount (FAMT) for Securities in the form of bonds;
6. account number for recording securities with the International Securities Depository.

A document (agreement, letter or other document in the form of an Original or Notarised copy) signed by an official of the International Securities Depository must be also submitted making it possible to confirm that the Applicant is am owner of the Securities or another person exercising rights with respect to the Securities, and if the Applicant is another person in whose interests the owner of the Securities acts, this document shall make it possible to confirm that such owner is the owner of the Securities, as well as documents proving the legal relationship between the Applicant and such owner or a statement from the Applicant that documents proving such a legal relationship cannot 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 document is submitted: if an individual – surname and given name, details of an identity document; if a legal entity – full name, address and (or) Primary State Registration Number (OGRN)/registration number.
3. the date on which details of the number of the Securities are provided;
4. Security parameters (ISIN and name);
5. quantity of Securities in units or in currency at face amount (FAMT) for Securities in the form of bonds;
6. information making it possible to confirm that the Applicant is am owner of the Securities or another person exercising rights with respect to the Securities, and if the Applicant is another person in whose interests the owner of the Securities acts, information making it possible to confirm that such owner is the owner of the Securities, as well as documents proving the legal relationship between the Applicant and such owner or a statement from the Applicant that documents proving such a legal relationship cannot 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 organisation.

The information required by paragraphs 2, 5-7 may not be included in the document (account statement), if a document (agreement, letter, other document as Original or Notarised Copy) with such information, signed by an international broker official is submitted. |
| 2.4 | **Message from the bank-client system** or from other electronic document transmission service of the International Securities Depository/international broker that records and transfers rights to securities (combining brokerage and depository business) | Permitted forms:1. a document in hard copy in respect of which a notary public or a competent authority (person) of a foreign state certifies their equivalence to an electronic document;
2. a document in hard copy whereby a Russian notary public, in support of evidence, made an examination of information found on the Internet using the Applicant's account.
3. copy of the document for which the Applicant 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 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 organisation or by any other authorised person whose authority has been confirmed by a notarised power of attorney, or must be provided in electronic format (with an EDI agreement in hand).
 | 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;
4. Security parameters (ISIN code);
5. quantity of Securities in units or in currency at face amount (FAMT) for Securities in the form of bonds;
6. account number for recording securities with the International Securities Depository / international broker;
7. information making it possible to confirm that the Applicant is am owner of the Securities or another person exercising rights with respect to the Securities, and if the Applicant is another person in whose interests the owner of the Securities acts, information making it possible to confirm that such owner is the owner of the Securities, as well as documents proving the legal relationship between the Applicant and such owner or a statement from the Applicant that documents proving such a legal relationship cannot be provided;
8. information 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 organisation (in an internationals broker's disclosure).

The information required by paragraphs 2, 5-8 may not be included in the document (account statement, if a document (agreement, letter, other document as Original or Notarised Copy) with such information, signed by an International Securities Depository official/international broker official is submitted. |
| 2.5 | Other document available in the circumstances and evidencing that the Applicant holds the amount of securities as indicated in the Application | [Original](file:///C%3A%5CUsers%5CAbroskina.ev%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CINetCache%5CContent.Outlook%5CRRYPQKJF%5C%D0%9F%D0%B5%D1%80%D0%B5%D1%87%D0%B5%D0%BD%D1%8C%20%D0%B4%D0%BE%D0%BA%D1%83%D0%BC%D0%B5%D0%BD%D1%82%D0%BE%D0%B2%20%28%D0%BF%D1%80%D0%B8%D0%BD%D1%83%D0%B4%D0%B8%D1%82%D0%B5%D0%BB%D1%8C%D0%BD%D1%8B%D0%B9%20%D0%BF%D0%B5%D1%80%D0%B5%D0%B2%D0%BE%D0%B4%29%20%28002%29.docx#_Оригинал_–_подлинник) | Hard copy |  |
| 3. | Document issued by the Foreign Nominee Holder to which the Foreign Nominee Account has been opened, indicating the securities safekeeping scheme, including the International Securities Depository keeping records of rights to Securities, and all International Securities Depositories with which accounts are opened for persons acting on behalf of other persons, where rights to Securities are recorded, or other documents proving Securities specified in paragraph 2 of the List are available on accounts of all nominee holders (international nominee holders) involved in recording the rights to securities. | Permitted forms:1. Original;
2. a document in hard copy 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 Applicant 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 1.3 of the List are not applicable.Other documents shall be[[5]](#footnote-5):- one or more documents issued by each of the International Securities Depositories recording the rights to Securities, including the International Securities Depository that has issued to the Applicant the document specified in paragraph 2 of the List, and the International Securities Depository for which a foreign nominee holder account is opened with NSD;- a set of the following documents: one or more documents issued by one or more International Securities Depositories which keep records of rights to Securities (including the International Securities Depository which issued to the Applicant the document specified in paragraph 2 of the List) and a document specifying the details of the remaining securities holding scheme signed by the International Securities Depository which keeps records of rights to the Securities and which is the Central Securities Depository that meets either of the following criteria:the International Securities Depository is either a central securities depository or a client of an Foreign Nominee Holder with the relevant information made available on the official website of such Foreign Nominee Holder;the International Securities Depository is a legal entity in which a credit organisation or a non-credit financial organisation regulated by the Bank of Russia, due to its participation in such legal entity or in accordance with powers, including those received, on the basis of a written agreement or from other persons, holds more than fifty percent of the total number of votes attributable to the voting shares (holdings) in the authorised (share) capital of such legal entity [[6]](#footnote-6);the International Securities Depository is listed among the international organisations that meet the criteria set out in the Bank of Russia Ordinance No. 5311-U dated 11 November 2019, available on the Bank of Russia's official website;the International Securities Depository is a client of an International Securities Depository belonging to an international clearing and settlement organisation or central securities depository, and the relevant information is available on the official website of such International Securities Depository[[7]](#footnote-7);- a document signed by the International Securities Depository issuing for the Applicant the document specified in paragraph 2 of the List, provided that such International Securities Depository meets any of the following criteria:a) the International Securities Depository is a legal entity in which a credit organisation or a non-credit financial organisation regulated by the Bank of Russia, due to its participation in such legal entity or in accordance with powers, including those received, on the basis of a written agreement or from other persons, holds more than fifty percent of the total number of votes attributable to the voting shares (holdings) in the authorised (share) capital of such legal entity[[8]](#footnote-8);b) the International Securities Depository is listed among the international organisations that meet the criteria set out in the Bank of Russia Ordinance No. 5311-U dated 11 November 2019, available on the Bank of Russia's official website;c) the International Securities Depository is rated by either Fitch-Ratings, Standard & Poor's or Moody's Investors Service[[9]](#footnote-9);d) the International Securities Depository is a client of an International Securities Depository known as an international clearing and settlement organisation or is a central securities depository with the relevant information made available on the official website of such International Securities Depository[[10]](#footnote-10).The document may not be provided by the Applicant in the following cases:1. if restrictions are imposed towards the person whose account details have been provided (this includes due to imposing Restrictions on persons holding directly or indirectly, solely or in the aggregate, more than 50% of the votes in the supreme governing body of such person and (or) for other reasons);
2. if the rights to the Securities are kept by the International Securities Depository with which the account specified in the document of ownership of the Securities provided for in paragraph 2 of the List is opened and there are no other International Securities Depositary with which the rights to the Securities are recorded.
 |
| **4.** | **Documents identifying the Applicant[[11]](#footnote-11)** |
| 4.1 | **Documents to be submitted by Individuals**  |
| 4.1.1 | **Details Form** **AA116** | Original | Hard copy | An individual's signature must be notarised or a sample of the individual's signature must be made in the presence of a NSD employee.If the signature is authenticated in a foreign country, the document must be legalised in accordance with the established procedure (paragraphs 1.1, 1.2 of the List). If details in the sections 2-3 of Details Form АА116 executed and submitted as envisaged in the List, a scan image of new Details Form АА116 may be emailed to Swap@nsd.ru. |
| 4.1.2 | **Details Form АА106** | Original | Hard copy | To be submitted:1. if there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA116. A separate Details Form has to be submitted for each individual beneficial owner/beneficiary;
2. if the Applicant has a representative-an individual acting on behalf of the Applicant under a power of attorney.

If the signature is authenticated in a foreign country, the document must be formalised in accordance with the established procedure (paragraphs 1.1 and 1.2 of the List). |
| 4.1.3 | **FATCA/CRS Questionnaire Form (for individuals)** | Original | Hard copy | To be submitted by the Applicant in respect of itself as well as the individual beneficiary (separately for each) whose details are set out in Details Form AA116. |
| 4.1.4 | Documents certifying the identity of the following persons: - the individual who is the Applicant; - persons authorised to sign relevant documents on behalf of the individual who is the Applicant. | Original (for NSD employee to make and certify a copy) [Notarised Copy](#_Нотариальная_копия_–) | Hard copy | Foreign nationals/stateless persons shall also submit to NSD the documents referred to in paragraph 1.7in the List. |
| 4.1.5 | **A power of attorney** for persons authorised to sign relevant documents on behalf of Individual who is the Applicant. | Original [Notarised Copy](#_Нотариальная_копия_–) | Hard copy | The power of attorney must be certified by a notary public or a competent authority (person) (including certification of the relevant powers of the principal). If the signature is authenticated in a foreign country, the document must be formalised in accordance with the established procedure (paragraphs 1.1 and 1.2 of the List). |
| 4.2 | **Documents to Be Submitted by Russian Resident Legal Entities** |
| 4.2.1. | **Details Form АА001** | Original | Hard copyIn electronic format(if an EDI Agreement is signed) |  |
| 4.2.2. | **Details Form АА101** | Original | Hard copyIn electronic format(if an EDI Agreement is signed) |  |
| 4.2.3. | **Details Form АА106** | Original | Hard copyIn electronic format(if an EDI Agreement is signed) | To be submitted if there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA106 has to be submitted for each corporate beneficiary. |
| 4.2.4. | **Details Form АА107** | Original | Hard copyIn electronic format(if an EDI Agreement is signed) | To be submitted if there is a corporate beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA107 has to be submitted for each corporate beneficiary. |
| 4.2.5. | **FATCA/CRS Details Form** | Original | Hard copyby sending a ZIP file by e-mail to FATCA.CRS@nsd.ru, or on magnetic media by courier or special delivery.Electronically (via the channels provided for in the [EDI Rules](#_Правила_ЭДО_–), except for the [User Account](#_ЛКУ_–_личный)) | To be provided:1. in respect of the Applicant;
2. in respect of the corporate beneficiary (separately for each) whose details are set out in Details Form AA101 (unless the Applicant is a financial institution under Chapter IV of the US Internal Revenue Code (FATCA[[12]](#footnote-12)) and a financial market organisation for the purposes of CRS)[[13]](#footnote-13).
 |
| 4.2.6. | **FATCA/CRS Questionnaire Form (for individuals)** | Original | Hard copy | It is needed where there is a beneficial owner and/or individual beneficiary (separately for each) whose details are set out in Details Form AA101 (unless the Applicant is a financial institution under Chapter IV of the US Internal Revenue Code (FATCA[[14]](#footnote-14)) and a financial market organisation for the purposes of CRS[[15]](#footnote-15)). |
| 4.2.7. | **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. | [Notarised 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 authorised person of the organisation. |
| [Copy](#_Копия_–_документ,) (this includes a Document Copy received via the Bank of Russia/Federal Tax Service User Account | In electronic format(if an EDI Agreement is signed) |
| 4.2.8. | **Document containing specimen signatures and a seal impression** (signature and seal card power of attorney containing a specimen signature of the attorney / Authorised Representative’s Details Form / signature and seal card in the form set out in Appendix 2 to the NSD List) | [Original](#_Оригинал_–_подлинник)[Notarised Copy](#_Нотариальная_копия_–) | Hard copy | A signature of the person acting on behalf of the Russian Resident Legal Entity without a power of attorney and of persons acting under power of attorney (if applicable) must be executed through either of the following:1. a signature in the signature and seal card according to the form in Appendix 2 to the NSD List may be executed in the presence of an NSD employee;
2. authenticity of a signature in the card / power of attorney bearing a specimen signature of the person they issued to or Authorised Representative’s Details Form / signature and seal card in the form set out in Appendix 2 to the NSD List may be notarised.

If the signature is authenticated in a foreign country, the document must be legalized in accordance with the established procedure (paragraphs 1.1 and 1.2 of the List). |
| 4.2.9. | **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)[Notarised Copy](#_Нотариальная_копия_–)[Notarised 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*.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 notarised.It shall not be required to submit a document that supports the authority of the person acting on behalf of the organisation 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 copyIn electronic format(if an EDI Agreement is signed) |
| 4.2.10 | **Documents certifying identity** of persons authorised:- to act on behalf of Russian 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) [Notarised Copy](#_Нотариальная_копия_–) | Hard copy | Foreign citizens / stateless persons shall additionally submit to NSD the documents referred to in paragraph 1.7 in the List. |
| [Copy](#_Копия_–_документ,) | In electronic format(if an EDI Agreement is signed) | Only a Copy of a Notarised Copy of a document may be submitted in electronic format. |
| 4.2.11 | **Power of attorney** issued to persons authorised: – to sign documents on behalf of Russian Resident Legal Entity.  | [Original](#_Оригинал_–_подлинник) | Hard copyIn electronic format(if an EDI Agreement is signed) | Only a power of attorney to sign electronic documents in NSD's EDI system may be submitted in electronic format.The power of attorney must have a sample 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 employee of NSD, or the documents required paragraph 4.2.8 have been submitted for the person acting under such a power of attorney. |
| [Notarised Copy](#_Нотариальная_копия_–) | Hard copy |  |
| 4.3 | **Documents to Be Submitted by Non-resident Legal Entities** |
| 4.3.1. | **Details Form АА001** | Original | Hard copyIn electronic format(if an EDI Agreement is signed) |  |
| 4.3.2. | **Details Form АА101** | Original | Hard copyIn electronic format(if an EDI Agreement is signed) |  |
| 4.3.3. | **Details Form АА106** | Original | Hard copyIn electronic format(if an EDI Agreement is signed) | To be submitted if there is an individual beneficial owner and/or beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA106 has to be submitted for each corporate beneficiary. |
| 4.3.4. | **Details Form АА107** | Original | Hard copyIn electronic format(if an EDI Agreement is signed) | To be submitted if there is a corporate beneficiary whose details are shown on the Details Form AA101. A separate Details Form AA107 has to be submitted for each corporate beneficiary. |
| 4.3.5. | **FATCA/CRS Details Form** | Original | Hard copyby sending a ZIP file by e-mail to FATCA.CRS@nsd.ru, or on magnetic media by courier or special delivery.Electronically (via the channels provided for in the [EDI Rules](#_Правила_ЭДО_–), except for the [User Account](#_ЛКУ_–_личный)) | To be provided:1. in respect of the Applicant;
2. in respect of the corporate beneficiary (separately for each) whose details are set out in Details Form AA101 (unless the Applicant is a financial institution under Chapter IV of the US Internal Revenue Code (FATCA[[16]](#footnote-16)) and a financial market organisation for the purposes of CRS[[17]](#footnote-17)).
 |
| 4.3.6. | **Documents** evidencing the legal status of organisation in accordance with the laws of the Non-resident Legal Entity’s jurisdiction of incorporation | [Notarised Copy](#_Нотариальная_копия_–)Copy of the document certified by the registering authority | *Hard copy* | These documents shall be: * constitutional documents;
* Document confirming state registration of Non-resident Legal Entity;
* extract from the trade register of the Non-resident Legal Entity’s jurisdiction of incorporation issued no earlier than six (6) months prior to the date of its submission to NSD, or any other equivalent document issued by a state authority of that jurisdiction.
 |
| 4.3.7. | **Tax Certificate issued to international organisation** confirming its registration with a tax authority in the Russian Federation | [Notarised Copy](#_Нотариальная_копия_–)Copy of the document certified by the registering authority[Copy](#_Копия_–_документ,) | Hard copy | The certificate must contain the Taxpayer Identification Number (INN).To be submitted if available. |
| 4.3.8. | **Signature and seal card** (or, for credit institutions, a specimen signature book)/signature and seal card in the form set out in Appendix 2 to the NSD 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)[Notarised Copy](#_Нотариальная_копия_–) | Hard copy | A signature of the person acting on behalf of the Non-resident Legal Entity without a power of attorney and of persons acting under power of attorney (if applicable) must be executed through either of the following:1. a signature in the signature and seal card according to the form in Appendix 2 to the NSD List may be executed in the presence of an NSD employee;
2. authenticity of a signature in the signature and seal card according to the form in Appendix 2 to the NSD List or in any other document may be notarised

When producing a document whereby authenticity of a signature is notarised:**in the Russian Federation**, a document shall be produced in accordance with the Russian laws that govern notary activities;**in accordance with the laws of the relevant foreign jurisdiction**, a document 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 formalised in accordance with the established procedure (paragraphs 1.1 and 1.2 of the List). |
| 4.3.9. | **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)[Notarised Copy](#_Нотариальная_копия_–)[Notarised 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 1.2 of the List)](#_Легализация_документов_не) | Hard copy |  |
| 4.3.10 | **Power of attorney** issued to persons authorised:- to sign relevant documents on behalf of the Non-resident Legal Entity. | [Original](#_Оригинал_–_подлинник)[Notarised Copy](#_Нотариальная_копия_–) | Hard copy | The power of attorney must be certified by a notary or a competent authority (including certification of the relevant powers of the principal). The power of attorney must have a sample 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 employee of NSD, or the documents required paragraph 4.3.8 have been submitted for the person acting under such a power of attorney.If the signature is authenticated in a foreign country, the document must be formalised in accordance with the established procedure (paragraphs 1.1 and 1.2 of the List). |
| 4.3.11 | **Documents certifying identity** of persons authorised:- 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. | [Notarised Copy](#_Нотариальная_копия_–) | Hard copy | Foreign citizens/stateless persons shall additionally submit to NSD the documents referred to paragraph 1.7 in the List.  |
| **5.** | Documents confirming the Applicant's compliance with the requirements set out in clause 12 of Presidential Decree No. 95 of 5 March 2022 “On the Temporary Procedure for Meeting Obligations to Certain Foreign Lenders” | Original | Hard copy | The documents must certify that the Applicant meets the following requirements at the same time:1. it is controlled by Russian legal entities or individuals (ultimate beneficiaries are the Russian Federation, Russian legal entities or individuals), including if this control is exercised through foreign legal entities associated with such foreign states; and
2. information on control is disclosed by Russian legal entities or individuals referred to in paragraph 1) to Russian tax authorities in accordance with the requirements of Russian law.
 |
| **6.** | Documents certifying (confirming) encumbrances or restrictions on the disposal of Securities |  | Hard copy | To be provided when encumbrances or restrictions of disposal are imposed on the Securities (except for restrictions of disposal imposed due to unfriendly actions of foreign states, international organisations, or foreign financial organisations, including those related to the introduction of restrictive measures against the Russian Federation, Russian legal entities and Russian citizens) |

Appendix 2

Application for forced transfer of securities record-keeping

The Applicant hereby represents that transactions in the Securities are not available:

|  |  |
| --- | --- |
| Name, surname/full name of Applicant |  |
| Applicant's ID document/Registration Number |  |
| E-mail address |  |
| Contact phone number |  |
| Status of the Applicant | * Securities owner
* other person exercising the rights to the Securities
* the person for whose benefit the Securities are held
 |
| Type of Restriction preventing transactions in Securities with an International Securities Depository | * Restrictive measures, namely (specifying the actual circumstances)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_;* Unfriendly acts, namely (specifying the actual circumstances)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.  |
| The person/organisation/body/state adopting the decision under which the Restrictions have been imposed, indicating (whichever is applicable):1. the date of the decision (and its number, if applicable) and the reference to the official source and/or official website of the body/organisation which took the decision/implemented the relevant action (if any);
2. name of the unfriendly action state with jurisdiction covering record-keeping for the Securities[[18]](#footnote-18).
 |  |
| The status of the person under Restrictions: | * Russian issuer
* person related to a Russian issuer
* Security owner
* other person exercising rights to securities
* foreign entity responsible for keeping record of the rights of a security owner (other person exercising rights to securities)
* Russian Federation (a person/body acting on behalf of the Russian Federation), in respect of which foreign states, international organisations, foreign financial organisations acted in an unfriendly manner
* A Russian legal entity regarding which foreign states, international organisations, or foreign financial organisations acted in an unfriendly manner
* A citizen regarding which foreign states, international organisations, or foreign financial organisations acted in an unfriendly manner
 |
| Full name of the International Securities Depository keeping records of and transferring title to Securities |  |
| Link to the page on the official website of the competent authority that contains information on the issued license (authorisation) or the inclusion of the International Securities Depository in the list (register) of organisations authorised to keep records of and transfer the rights to securities  |  |
| Full name of the International Securities Depository to which the Foreign Nominee Holder Account has been opened at NSD to record the rights to the Securities |  |
| **Securities for which Application is now being made***Completed individually for each ISIN*  |
| Issuer name |  |
| Type, category of Securities |  |
| Registration number |  |
| ISIN |  |
| Number of Securities in units (in figures and in words) |  |
| Type of encumbrance or restriction of disposal imposed in accordance with foreign applicable law and its corresponding type of encumbrance under Russian law *(such encumbrances do not include encumbrances on securities (rights to securities) determined without the Applicant's consent, including on the basis of decisions of law enforcement, judicial or other competent authorities or persons of foreign states)* |  |
| Person in favour of whom encumbrances are imposed or in whose favour the restriction of disposal is imposed |  |
| Number of Securities which are subject to encumbrance or restriction of disposal |  |
| **Upon submission of documents confirming the number of Securities in the manner prescribed by paragraph 1.4.1 of the List and on a different date (within six (6) months prior to the date of the Restrictions)** |
| Person under Restrictions  | * Person for which account information is being provided
* Other person
 |
| Name and status of other person under Restrictions in relation to the person for which account information is being provided (if applicable)  |  |
| **If documents identifying the Applicant are provided in the manner prescribed in paragraph 1.9 of the List** |
| Documents identifying the Applicant were submitted to NSD less than one year ago, and no changes have occurred  | * YES
 |
| Further details  |  |

The Applicant undertakes not to transfer the Securities until they are credited to the Owner's Securities Account opened for the Applicant with NSD.

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(position/full name) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(signature) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(date)[[19]](#footnote-19) |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Appendix 2.1Заявление о принудительном переводе учета прав на Ценные бумаги/Application for forced transfer of securities record-keepingНастоящим Заявитель заверяет о невозможности проведения операций с Ценными бумагами/The Applicant hereby represents that transactions in the Securities are not available:

|  |  |
| --- | --- |
| ФИО/Полное наименование ЗаявителяName, surname/full name of Applicant |  |
| Документ, удостоверяющий личность/ регистрационный номер Заявителя/Applicant's identity document/registration number |  |
| Адрес электронной почты для направления электронных сообщений (e-mail)/E-mail address |  |
| Контактный телефон/Contact telephone |  |
| Статус Заявителя/Status of the Applicant | * владелец Ценных бумаг/Owner of the securities
* иное лицо, осуществляющее права по Ценным бумагам/Other person exercising the rights to the Securities
* лицо, в интересах которого осуществляется владение Ценными бумагами/the person who are beneficiary owner
 |
| Вид Ограничения, препятствующего проведению операций с Ценными бумагами в Иностранном депозитарии/ Type of Restriction preventing transactions in Securities with an International Securities Depository | * Ограничительные меры, а именно (с указанием фактических обстоятельств)/Restrictive measures, namely (specifying the actual circumstances):

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_;* Недружественные действия, а именно (с указанием фактических обстоятельств)/ Unfriendly acts, namely (specifying the actual circumstances):

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.  |
| Лицо/организация/орган/государство, на основании решения которого введены Ограничения, с указанием (в зависимости от того, что применимо):1. даты решения (и его номера, если применимо) и ссылки на официальный источник и (или) официальный сайт органа/организации, принявшего данное решение/ осуществившего соответствующие действия (при наличии);
2. наименования государства, осуществляющего недружественные действия, в пределах юрисдикции которого осуществляется учет прав на Ценные бумаги[[20]](#footnote-20)/

The person/organisation/body/state adopting the decision under which the Restrictions have been imposed, indicating (whichever is applicable):1. the date of the decision (and its number, if applicable) and the reference to the official source and/or official website of the body/organisation which took the decision/implemented the relevant action (if any);
2. name of the unfriendly action state with jurisdiction covering record-keeping for the Securities[[21]](#footnote-21).
 |  |
| Статус лица, в отношении которого введены Ограничения/The status of the person under the Restrictions: | * Российский эмитент/Russian issuer
* Связанное с российским эмитентом лицо/Person related to a Russian issuer
* Владелец ценных бумаг/Owner of the Securities
* Иное лицо, осуществляющее права по ценным бумагам/Other person exercising rights to the Securities
* Иностранная организация, в которой учитываются права владельца ценных бумаг (иного лица, осуществляющего права по ценным бумагам)/ Foreign entity responsible for keeping record of the rights of a security owner (other person exercising rights to securities)
* Российская Федерация (лицо/орган, действующие от имени Российской Федерации), в отношении которого осуществлены недружественные действия иностранных государств, международных организаций, иностранных финансовых организаций/Russian Federation (a person/body acting on behalf of the Russian Federation), in respect of which foreign states, international organisations, foreign financial organisations acted in an unfriendly manner
* Российское юридическое лицо, в отношении которого осуществлены недружественные действия иностранных государств, международных организаций, иностранных финансовых организаций/A Russian legal entity with regard to which foreign states, international organisations, or foreign financial organisations acted in an unfriendly manner
* Гражданин, в отношении которого осуществлены недружественные действия иностранных государств, международных организаций, иностранных финансовых организаций/A citizen with regard to which foreign states, international organisations, or foreign financial organisations acted in an unfriendly manner
 |
| Полное наименование Иностранного депозитария, осуществляющего учет и переход прав на Ценные бумаги/Full name of the International Securities Depository responsible for record-keeping and transfer of title in respect to the Securities |  |
| Ссылка на страницу официального сайта в информационно-телекоммуникационной сети «Интернет» уполномоченного органа, содержащую сведения о выданной лицензии (разрешении) либо о включении Иностранного депозитария в перечень (реестр) организаций, уполномоченных осуществлять учет и переход прав на ценные бумаги/Link to the page on the official website of the competent authority that contains information on the issued license (authorisation) or the inclusion of the International Securities Depository in the list (register) of organisations authorised to keep records of and transfer the rights to securities |  |
| Полное наименование Иностранного депозитария, которому открыт Счет депо иностранного номинального держателя в НКО АО НРД для учета прав на Ценные бумаги/Full name of the International Securities Depository to which the Foreign Nominee Holder Account has been opened at NSD to record the rights to the Securities |  |
| **Ценные бумаги, в отношении которых подается Заявление/****Securities for which Application is now being made***Повторяющийся блок в отношении каждого ISIN кода Ценных бумаг/**Individual block for each ISIN* |
| Наименование эмитента/Issuer name |  |
| Вид, категория Ценных бумаг/Type and category of Securities |  |
| Регистрационный номер Ценных бумаг/ Registration number |  |
| ISIN код/ISIN |  |
| Количество Ценных бумаг в штуках (цифрами и прописью)/ Number of Securities in units (in figures and in words) |  |
| Вид обременения или ограничения распоряжения, установленного в соответствии с иностранным применимым правом, и соответствующий ему в российском праве вид обременения *(к таким обременениям не относятся обременения ценных бумаг (прав на ценные бумаги), установленные без согласия Заявителя, в том числе на основании решений правоохранительных, судебных, иных уполномоченных органов, лиц иностранных государств)/*Type of encumbrance or restriction of disposal under foreign applicable law and its corresponding type of encumbrance under Russian law *(such encumbrances do not include encumbrances on securities (rights to securities) determined without the Applicant's consent, including on the basis of decisions of law enforcement, judicial or other competent authorities or persons of foreign states)* |  |
| Лицо, в пользу которого установлено обременения или в интересах которого установлено ограничение распоряжения/Person in favour of whom the encumbrances are imposed or in whose favour the restriction of disposal is imposed |  |
| Количество Ценных бумаг, в отношении которых установлено обременение или ограничение распоряжения/Number of Securities subject to encumbrance or restriction of disposal |  |
| **При предоставлении документов, подтверждающих количество Ценных бумаг в порядке, предусмотренном пунктом 1.4.1 Перечня, и на иную дату (в пределах периода, не превышающего 6 (шесть) месяцев до даты введения Ограничений)/** **Upon submission of documents evidencing the number of Securities in the manner prescribed by paragraph 1.4.1 of the List and on a different date (within six (6) months immediately preceding the Restrictions Implementation Date)** |
| Лицо, в отношении которого введены Ограничения/A person under the Restrictions | * Лицо, по счету которого предоставлена информация/A person for which account details are being provided
* Иное лицо/other person \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
 |
| Наименование и статус иного лица, в отношении которого введены Ограничения, по отношению к лицу, по счету которого предоставлена информация (если применимо)/ Name and status of other person under Restrictions in relation to the person for which account information is being provided (if applicable) |  |
| **При предоставлении документов, идентифицирующих Заявителя, в порядке, предусмотренном пунктом 1.9 Перечня/If documents identifying the Applicant are provided in the manner prescribed in paragraph 1.9 of the List** |
| Документы, идентифицирующие Заявителя, предоставлены в НРД менее 1 (одного) года назад, изменения в указанных документах отсутствуют/Documents identifying the Applicant were submitted to NSD less than one year ago, and no changes have occurred | * ДА/YES
 |
| Дополнительная информация/Further details |  |

Заявитель обязуется не передавать права на Ценные бумаги до их зачисления на Счет депо владельца, открытого Заявителю в НКО АО НРД/The Applicant undertakes not to transfer the Securities until they are credited to the Owner's Securities Account opened for the Applicant with NSD.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)[[22]](#footnote-22) |

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

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

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

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| **Appendix 3.1****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 и место рождения/ Date and place of birth | Дата (ДД.ММ.ГГГГ)/Date (DD.MM.YYYY):Место рождения/Place of birth:  |
| 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 number: |
| 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/TelephoneНомер факса/Fax Адрес электронной почты/E-mailПочтовый адрес/Mailing address |
| Банковские реквизиты для расчетов в рублях/ Bank details for settlements in roubles:*Указываются реквизиты счета в российских рублях в российском или иностранном банке/RUB account details with a Russian or foreign bank* | *Для счета в российском банке/ For Russian bank account*Наименование получателя/Beneficiary nameИНН получателя/Beneficiary TIN№ счета получателя/Beneficiary accountНаименование банка получателя/Beneficiary bankБИК банка получателя/Beneficiary bank BIC№ к/счета банка получателя/Beneficiary bank correspondent account |
| *Для счета в иностранном банке/For account in foreign bank*Наименование получателя/ Beneficiary name № счета получателя в иностранном банке (например, IBAN)/ Beneficiary foreign bank account number (e.g. IBAN) Наименование иностранного банк получателя/Foreign beneficiary bank ИНН (КИО) иностранного банка получателя/TIN (FCC) of the foreign beneficiary bank№ корр.счета иностранного банка-получателя в российском банке/Foreign bank's correspondent account in the Russian bank ­­­­­­­­­­­­­Наименование российского банка/Russian bank БИК российского банка/BIC of the Russian bank ­­­­­­­­­­­­­­№ к/счета российского банка/Russian bank correspondent account |
| **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 organisations\*\*; 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 organisations 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 authorised by such an organisation to act on its behalf (for example, UN, IM, EC, EC institutions, OSCE, OAS, NATO and etc.);* |
| **3. Сведения о наличии/отсутствии у КЛИЕНТА бенефициарного владельца, представителя, выгодоприобретателя/Information on whether the CLIENT has a beneficial owner, representative, or a beneficiary** |
| Наличие физического лица, которое в конечном счете прямо или косвенно (через третьих лиц) имеет возможность контролировать Ваши действия/Do you have an individual who is ultimately controlling your actions, either directly or indirectly (through a third party)?*При ответе «ДА» следует заполнить и предоставить Анкету по форме АА106/If you tick “YES”, please complete and submit the Details Form АА106* | * ДА/YES
* НЕТ/NO
 |
| Планирует ли проводить/проводит ли Клиент операции к выгоде другого лица, в т.ч. в рамках договоров комиссии, агентских договоров, договоров поручения, доверительного управления и др. и/или при осуществлении расчетов за третье лицо?/Does the Client plan to execute/execute transactions for the benefit of another person, such as under commission agency agreements, agency agreements, engagement agreements, trust agreements, etc. and/or when making settlements for a third party?*При ответе «ДА» следует заполнить и предоставить Анкету выгодоприобретателя. Если выгодоприобретателей несколько, то форма заполняется на каждого выгодоприобретателя отдельно/If you tick “YES”, please complete and submit the Beneficiary’s Details Form. If more than one beneficiary, please complete a separate form for each beneficiary.* | * ДА/YES
* НЕТ/NO
 |
| Наличие лица, которое является Вашим Представителем при обслуживании в НКО АО НРД/Do you have a Representative when you are serviced by NSD?***При ответе «ДА» следует заполнить и предоставить Анкеты по форме АА106/If you tick “YES”, please complete and submit the Details Form АА106*** | * ДА/YES
* НЕТ/NO
 |
| **4. Сведения об источниках происхождения денежных средств и (или) иного имущества КЛИЕНТА\*/Information on the source of funds and/or other assets of the CLIENT\****\* заполняется в случае, если Клиент-физическое лицо является иностранным публичным должностным лицом (ИПДЛ), а также в случаях, установленных действующих законодательством и нормативными актами Банка России, по отдельному запросу/\* to be completed if the Individual Client is a foreign public official (FPO), and in cases required by applicable laws and Bank of Russia regulations upon separate request.* |
| Укажите источники/Please indicate the sources: |
| **5. Дополнительные сведения о КЛИЕНТЕ - физическом лице \*/Further Individual Client details\****\* заполняется в случаях, установленных действующих законодательством и нормативными актами Банка России по отдельному запросу/\*to be completed where required by applicable laws and Bank of Russia regulations upon request.* |
| Цель установления и предполагаемый характер отношений с НКО АО НРД/Purpose and intended nature of the relationship with NSD |  |
| Цели финансово-хозяйственной деятельности/Business and financial activity purposes |  |
| Финансовое положение/Financial position |  |
|  |  |
| Деловая репутация/Business reputation |  |
| **6. Дата заполнения сведений/Details Form completion date** |  |

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

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

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

Appendix 4

FATCA/CRS Questionnaire Form (for individuals)

|  |  |  |  |
| --- | --- | --- | --- |
| **1. Name** | *Surname* | *Given name* | *Middle name (if any)* |
|  |  |  |
| **2. Date of birth** |  | *DD.MM.YY* |
| **3. Place of birth[[23]](#footnote-23)** | *Country* | *City* |
|  |  |
| **4. Place of residence (registration)** | *Country* | *Postal code* | *Address* |
|  |  |  |
| **5. Are you a US citizen, holder of a US Green card, or a US person?** | □ Yes. *Please submit the W-9 form*□ No. |
| **6. Country of tax residency**  | *Please specify below all states (territories) of which you are a tax resident and the taxpayer identification numbers assigned (INN, TIN[[24]](#footnote-24) or TIN analogue)* |
|

|  |  |  |
| --- | --- | --- |
| **Country of tax residency** | **INN, TIN****(TIN equivalent)[[25]](#footnote-25)** | **Reason for not having a TIN****(TIN equivalent)[[26]](#footnote-26)** |
|  |  |  |
|  |  |  |
|  |  |  |

 □ I am not a tax resident in any country |
| *If at least one country other than the Russian Federation is listed in section 6, please provide the information in English:*

|  |  |  |  |
| --- | --- | --- | --- |
| **6.1. Name** | *Surname* | *Given name* | *Middle name (patronymic)* |
|  |  |  |
| **6.2. Place of birth** | *Country* | *City* |
|  |  |
| **6.3. Residence address** | *Country* | *Index* | *Address* |
|  |  |  |

 |
| **7. Representations and signature** |
| I consent to the transfer of information, such as account number(s), account balances and information on account transactions, to a foreign tax authority and/or a foreign withholding agent authorised by a foreign tax authority to withhold foreign taxes and levies in accordance with the legislation of the Russian Federation.I undertake to notify NSD of any change in any fact or representation in this form and its appendices (if any) by the time specified in the relevant agreements and/or other NSD documents governing the provision of services to clients (terms, rules, etc.)I acknowledge that the information on this from is true and correct.

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  |  |
| *Signed* | *Name in full* |  | *Date* |

 |

Appendix 4.1

Анкета FATCA/CRS для физических лиц/FATCA/CRS Questionnaire Form (for individuals)

|  |  |  |  |
| --- | --- | --- | --- |
| **1. Ф.И.О./ Full name** | *Фамилия/Surname* | *Имя/Name* | *Отчество (при наличии)/* *Patronymic (if any)* |
|  |  |  |
| **2. Дата рождения/** **Date of birth** |  | *ДД.ММ.ГГ/DD.MM.YY* |
| **3. Место рождения[[27]](#footnote-27)/** **Place of birth[[28]](#footnote-28)** | *Страна/Country* | *Город/City* |
|  |  |
| **4. Адрес места жительства (регистрации)/** **Permanent residence address (registered address)** | *Страна/Country* | *Индекс/Postal code* | *Адрес/Address* |
|  |  |  |
| **5. Вы являетесь гражданином США, имеете вид на жительство в США (Green card) или являетесь налоговым резидентом США?/ Are you a US citizen, holder of a US Green card, or a US person?** | □ Да. *Предоставьте форму W-9/*Yes. *Please submit the W-9 Form*□ Нет/No |
| **6. Государство (территория) налогового резидентства/** **Country (territory) of tax residence** | *Укажите все государства (территории), налоговым резидентом которых Вы являетесь, и присвоенные идентификационные номера налогоплательщика (ИНН, TIN[[29]](#footnote-29) либо аналог TIN)/* *Please specify below all states (territories) of which you are a tax resident and the taxpayer identification numbers assigned (INN, TIN[[30]](#footnote-30) or TIN analogue)* |
|

|  |  |  |
| --- | --- | --- |
| **Государство (территория) налогового резидентства/Country (territory) of tax residency** | **ИНН, TIN****(аналог TIN)[[31]](#footnote-31)/** **INN, TIN****(TIN analogue) [[32]](#footnote-32)** | **Причина отсутствия TIN****(аналога TIN)[[33]](#footnote-33)/** **Reason for not having a TIN****(TIN analogue) [[34]](#footnote-34)** |
|  |  |  |
|  |  |  |
|  |  |  |

 □ Я не являюсь налоговым резидентом ни в одном государстве/I am not a tax resident in any country |
| *В случае если в вопросе 6 указано хотя бы одно государство, отличное от РФ, укажите информацию на английском языке/If at least one country other than the Russian Federation is listed in section 6, please provide the information in English:*

|  |  |  |  |
| --- | --- | --- | --- |
| **6.1. Name** | *Surname* | *Given name* | *Middle name (patronymic)* |
|  |  |  |
| **6.2. Place of birth** | *Country* | *City* |
|  |  |
| **6.3. Residence address** | *Country* | *Index* | *Address* |
|  |  |  |

 |
| **7. Заверения и подпись/Representations and signature** |
| Я соглашаюсь на передачу информации, в том числе информации о номере счета/счетах, об остатках по счету/счетам и информации об операциях по счету/счетам, в иностранный налоговый орган и(или) иностранному налоговому агенту, уполномоченному иностранным налоговым органом на удержание иностранных налогов и сборов, в соответствии с законодательством Российской Федерации./ I consent to the transfer of information, such as account number(s), account balances and information on account transactions, to a foreign tax authority and/or a foreign withholding agent authorised by a foreign tax authority to withhold foreign taxes and levies in accordance with the legislation of the Russian Federation.Я обязуюсь уведомить НКО АО НРД об изменении любого факта или подтверждения, указанного в данной Анкете и приложениях к ней (при наличии), в сроки указанные в соответствующих договорах и/или в иных документах НКО АО НРД, регламентирующих оказание услуг клиентам (условиях, правилах и т.д.)/ I undertake to notify NSD of any change in any fact or representation in this form and its appendices (if any) by the time specified in the relevant agreements and/or other NSD documents governing the provision of services to clients (terms, rules, etc.)Я подтверждаю, что в Анкете указана верная и достоверная информация./ I acknowledge that the information on this form is true and correct.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.

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  |  |
| *Подпись/Signature* | *ФИО полностью/Full name* |  | *Дата/Date* |

 |

Appendix 5

**NSD’s Refusal of**

**Forced Securities Recordkeeping Transfer**

**under Federal Law No. 319-FZ, dated 14 July 2022.**

National Settlement Depository ("NSD") has reviewed the following documents:

Applicant:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

ISIN:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Pursuant to Clause 6, Article 5 of Federal Law dated 14 July 2022 No. 319-FZ On Amending Certain Legislative Acts of the Russian Federation, NSD informs you that it cannot open a securities account of the respective type for the Applicant and credit the securities to the account (*whichever is applicable*):

1. due to reasonable doubt as to the completeness and/or reliability of the information contained in the submitted documents;
2. due to insufficient information contained in the submitted documents.

Please note that until 10 November 2022 (inclusive) you may (*specify as applicable*)

1) submit the following documents: \_\_­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_;

2) address the observations: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name, surname) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(signature) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(date) |

Appendix 6

**NSD’s Notification of Acceptance for Processing of Documents**

**For the Purpose of Forced Securities Recordkeeping Transfer**

**under Federal Law No. 319-FZ, dated 14 July 2022.**

National Settlement Depository ("NSD") has reviewed the following documents:

Applicant:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

ISIN:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Referring to the Procedure for Interaction with NSD in Forced Securities Recordkeeping Transfer under Federal Law No. 319-FZ dated 14 July 2022 (the "Procedure"), we hereby inform you that the above documents will be accepted by NSD for processing for the purposes of forced transfer of securities record-keeping under Federal Law No. 319-FZ dated 14 July 2022.

If the total number of securities for which the applications and documents are submitted within the period[[35]](#footnote-35) provided by Federal Law No. 319-FZ does not exceed the number of securities held on the securities account of the foreign nominee holder opened with NSD, the Applicant will have a securities account opened and the securities credited within 10 (ten) business days from the expiration of such period in accordance with the Procedure.

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name, surname) | ­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(signature) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(date) |

1. A person's signature may be authenticated by a competent authority (person) in a foreign country (including a notary public), a notary public of the Russian Federation or an employee of NSD. [↑](#footnote-ref-1)
2. Any of the following documents must be submitted to certify this point: a letter from the parent company with the relevant information (original with a notarised power of attorney attached, if the letter is signed by a representative by power of attorney); or group reports (extract from group reports) with the relevant information (notarised copy/copy certified by the sole executive body). [↑](#footnote-ref-2)
3. Requirement of paragraph 1.3 of the List, not applicable. [↑](#footnote-ref-3)
4. Requirement set out in paragraph 1.3 of the List does not apply. [↑](#footnote-ref-4)
5. For a favourable decision purpose NSD may use preciously submitted documents with the required information. [↑](#footnote-ref-5)
6. Any of the following documents must be submitted to certify this point: a letter from the parent company with the relevant information (original with a notarised power of attorney attached, if the letter is signed by a representative by power of attorney); or reporting of the group of companies (extracts from reporting) with the relevant information (notarised copy/copy certified by the sole executive body). [↑](#footnote-ref-6)
7. To prove this point, a letter may be submitted with a link to the website page of the international securities depository classified as an international clearing and settlement organisation or central securities depository, of which the relevant depository is a client (the original). [↑](#footnote-ref-7)
8. Any of the following documents must be submitted to certify this point: a letter from the parent company with the relevant information (original with a notarised power of attorney attached, if the letter is signed by a representative by power of attorney); or reporting of the group of companies (extracts from reporting) with the relevant information (notarised copy/copy certified by the sole executive body). [↑](#footnote-ref-8)
9. Any of the following documents may be submitted to confirm this point: a letter from the rating agency assigning a rating to the International Securities Depository (notarised copy/copy certified by the sole executive body); or a letter with a link to the website of the rating agency or the International Securities Depository where information about the rating assigned to the Depository is posted (original). [↑](#footnote-ref-9)
10. To prove this point, a letter may submitted with a link to the website page of the international securities depository classified as an international clearing and settlement organisation or central securities depository, of which the relevant depository is a client (the original). [↑](#footnote-ref-10)
11. Documents necessary for NSD for the purpose of Federal Law No. 115-FZ On Countering the Legalisation (Laundering) of Criminally Obtained Incomes and the Financing of Terrorism, dated 7 August 2001 (except for paragraphs 4.1.3, 4.2.5 and 4.2.6). [↑](#footnote-ref-11)
12. Foreign Accounts Tax Compliance Act [↑](#footnote-ref-12)
13. Common Reporting Standart [↑](#footnote-ref-13)
14. Foreign Accounts Tax Compliance Act [↑](#footnote-ref-14)
15. Common Reporting Standart [↑](#footnote-ref-15)
16. Foreign Accounts Tax Compliance Act [↑](#footnote-ref-16)
17. Common Reporting Standart [↑](#footnote-ref-17)
18. In the event of unfriendly actions of a foreign state, the notification (if any) by the entity recording the rights to Securities of the refusal to execute the instruction (order) given in relation to the Securities is also needed (the requirement stipulated by paragraph 1.3 of the List does not apply). [↑](#footnote-ref-18)
19. To be indicated if the Application for forced transfer of securities record-keeping is submitted in hard copy and excluded if submitted through NSD's EDI system [↑](#footnote-ref-19)
20. В случае недружественных действий иностранного государства дополнительно при наличии предоставляется уведомление лица, осуществляющего учет прав на Ценные бумаги, об отказе от исполнения поручения (распоряжения), предоставленного в отношении Ценных бумаг (требование, предусмотренное пунктом 1.3 Перечня, не применяется). [↑](#footnote-ref-20)
21. In the event of unfriendly actions of a foreign state, the notification of the entity recording the rights to Securities of the refusal to execute the instruction (order) given in relation to the Securities (if any) is also provided (the requirement stipulated by paragraph 1.3 of the List does not apply). [↑](#footnote-ref-21)
22. Указывается в случае предоставления Заявления о принудительном переводе учета прав на Ценные бумаги на бумажном носителе и исключается в случае его направления через СЭД НРД/

To be indicated if the Application for forced transfer of securities record-keeping is submitted in hard copy and excluded if submitted through NSD's EDI system [↑](#footnote-ref-22)
23. If you were born in the United States but are not a U.S. citizen, please provide the DS-4083 (CLN) from or explain in writing why you are not a U.S. citizen by birth. [↑](#footnote-ref-23)
24. TIN - the taxpayer identification number in a foreign country (territory).

If the country (territory) of tax residence does not assign a taxpayer identification number to its residents (or does not assign it automatically), please provide any other identification number that is used for tax liability recording purposes (TIN analogue). [↑](#footnote-ref-24)
25. Please indicate INN if your country of tax residency is the Russian Federation

If country (territory) of tax residence is a foreign country (territory), please specify TIN or TIN analogue. [↑](#footnote-ref-25)
26. If a TIN or its analogue is unavailable, please provide the appropriate reason:

02 - Legislation and/or administrative practice of the jurisdiction does not provide for the assignment of a TIN or an identification number which is used for the purpose of recording of tax liabilities (TIN analogue).

03 - The competent authority of the jurisdiction has not assigned a TIN or its equivalent to the entity. [↑](#footnote-ref-26)
27. Если Вы родились в США, но не являетесь гражданином США, требуется дополнительно предоставить форму DS-4083 (CLN) или объяснение неполучения гражданства США по праву рождения в письменной форме. [↑](#footnote-ref-27)
28. If you were born in the United States but are not a U.S. citizen, please provide the DS-4083 (CLN) from or explain in writing why you are not a U.S. citizen by birth. [↑](#footnote-ref-28)
29. TIN - Идентификационный номер налогоплательщика в иностранном государстве (территории).

Если государство (территория) налогового резидентства не присваивает своим резидентам идентификационный номер налогоплательщика (или присваивает его не автоматически), предоставьте любой другой идентификационный номер, который используется для целей учета налоговых обязательств (аналог TIN). [↑](#footnote-ref-29)
30. TIN is the taxpayer identification number in a foreign country (territory).

If the country (territory) of tax residence does not assign a taxpayer identification number to its residents (or does not assign it automatically), please provide any other identification number that is used for tax liability recording purposes (TIN analogue). [↑](#footnote-ref-30)
31. Если государством налогового резидентства является Российская Федерация, необходимо указать ИНН.

Если государством (территорией) налогового резидентства является иностранное государство (территория) необходимо указать TIN или аналог TIN. [↑](#footnote-ref-31)
32. If country of tax residence is the Russian Federation, please specify INN.

If country (territory) of tax residence is a foreign country (territory), please specify TIN or TIN analogue. [↑](#footnote-ref-32)
33. Если у Контролирующего лица отсутствует TIN либо его аналог, укажите причину его отсутствия:

02 – Законодательство и (или) административная практика юрисдикции не предусматривает присвоение TIN или идентификационного номера, который используется для целей учета налоговых обязательств (аналог TIN).

03 – Компетентный орган юрисдикции не присвоил организации TIN либо его аналог. [↑](#footnote-ref-33)
34. If a TIN or its analogue is unavailable, please provide the appropriate reason:

02 - Legislation and/or administrative practice of the jurisdiction does not provide for the assignment of a TIN or an identification number which is used for the purpose of recording of tax liabilities (TIN analogue).

03 - The competent authority of the jurisdiction has not assigned a TIN or its equivalent to the entity. [↑](#footnote-ref-34)
35. As of the date of this notification, the period is 120 (one hundred and twenty) days from the date of official publication of Federal Law No. 319-FZ of 14 July 2022, i.e. from 14 July 2022 to 10 November 2022 (inclusive). [↑](#footnote-ref-35)