

**LIST OF DOCUMENTS**  
(for Russian non-resident clients)

**I. Documents to be submitted by Russian non-resident clients when entering into the following agreement types<sup>1</sup>:**

- for NSD's repository services;
- for electronic data interchange (including electronic document transit);
- for information provision and exchange;
- for assistance in assigning international numbers to international financial instruments;
- for services for the assignment and/or verification of a legal entity identifier; or
- for any other services of an informational nature.

1. An agreement in the form prescribed by NSD, in duplicate, signed by a client's duly authorized officer and bearing the client's corporate seal.

2. \*Documents evidencing the client's legal status in accordance with the laws of the client's jurisdiction of incorporation:

- constitutional documents;
- documents evidencing incorporation of the client; and
- an excerpt from the trade register issued no earlier than six months prior to the date of its submission to NSD.

3. \*Documents evidencing the authority of the client's chief executive officer (e.g., a resolution appointing the chief executive officer, order, etc.).

4. \*A power(s) of attorney authorizing the client's representatives to sign documents, submit documents to, and receive documents from, NSD, etc. on behalf of the client.

5. \*A certificate of registration of the foreign organization with a tax authority in the Russian Federation (to be submitted if available).

6. A signature and seal card (or, for credit organizations, a specimen signature book), or a document containing specimen signatures and a seal impression, as issued in accordance with the laws of the relevant foreign jurisdiction.

7. Legal Entity's Details Form AA001 (in the form prescribed by NSD).

**II. Documents to be submitted by Russian non-resident clients when entering into a securities account agreement or an issuer account agreement**

1. An agreement in the form prescribed by NSD, in duplicate, signed by a client's duly authorized officer and bearing the client's corporate seal.

2. \*A signature and seal card (or, for credit organizations, a specimen signature book), or a document containing specimen signatures and a seal impression, as issued in accordance with the laws of the relevant foreign jurisdiction.

3. \*Documents evidencing the client's legal status in accordance with the laws of the client's jurisdiction of incorporation:

- constitutional documents;
- documents evidencing incorporation of the client; and
- an excerpt from the trade register issued no earlier than six months prior to the date of its submission to NSD.

4. \*Documents evidencing the authority of the client's chief executive officer (e.g., a resolution appointing the chief executive officer, order, etc.).

5. \*A power(s) of attorney authorizing the client's representatives to sign documents, submit documents to, and receive documents from, NSD, and sign instructions for transactions in the securities account/issuer account on behalf of the client.

6. \*Identity documents of the client's representatives.

7. \*A certificate of registration of the foreign organization with a tax authority in the Russian Federation (to be submitted if available).

8. \*Licenses (permits) granted to enable the client to be engaged in licensable activities, provided that such licenses (permits) are directly relevant to the client's ability to enter into the respective agreement types with NSD.

9. Legal Entity's Details Form AA001 (in the form prescribed by NSD).

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<sup>1</sup> These agreements do not involve the opening of any account

10. FATCA Details Form<sup>2</sup>.
11. Additional Details for Identification of a Legal Entity (in the form prescribed by NSD).

### **III. Documents to be submitted by Russian non-resident clients when entering into a bank account agreement and opening a bank account**

1. A bank account application in the form prescribed by NSD, signed by a client's duly authorized officer and bearing the client's corporate seal.
2. An agreement in the form prescribed by NSD, in duplicate, signed by a client's duly authorized officer and bearing the client's corporate seal.
3. A Declaration of Accession to the NSD Payment System Rules (in the form prescribed by NSD)<sup>3</sup>.
4. \*Documents evidencing the client's legal status in accordance with the laws of the client's jurisdiction of incorporation:
  - constitutional documents;
  - documents evidencing incorporation of the client; and
  - an excerpt from the trade register issued no earlier than six months prior to the date of its submission to NSD.
5. \*Documents evidencing the authority of the client's chief executive officer (e.g., a resolution appointing the chief executive officer, order, etc.).
6. \*A power(s) of attorney authorizing the client's representatives to sign documents, submit documents to, and receive documents from, NSD, deal with the funds available in the bank account, open/close bank accounts, enter into/terminate bank account agreements, etc. on behalf of the client.
7. \*Identity documents of the client's representatives.
8. \*A certificate of registration of the foreign organization with a tax authority in the Russian Federation.
9. \*Licenses (permits) granted to enable the client to be engaged in licensable activities, provided that such licenses (permits) are directly relevant to the client's ability to enter into the respective agreement types with NSD.
10. Legal Entity's Details Form AA001 (in the form prescribed by NSD).
11. FATCA Details Form<sup>4</sup>.
12. Additional Details for Identification of a Legal Entity (in the form prescribed by NSD).
13. For the purpose of opening a nominee account, the following documents shall also be submitted:
  - details of the nominee account beneficiary (in the form prescribed by NSD); and
  - a copy of the Agreement evidencing the ground on which the nominee account owner and beneficiary are involved in relationships under the nominee account agreement, such copy to be signed by a client's authorized signatory and stamped with the client's corporate seal.
14. \* A permit to open an account, as issued by the national (central) bank of the relevant foreign country, provided that such permit is required by an international treaty of the Russian Federation or by the laws of the relevant foreign country (for Russian non-resident credit organizations).
15. A legal entity's branch (representative office) established in accordance with the laws of the legal entity's jurisdiction of incorporation and domiciled in the Russian Federation is required to additionally submit the following documents:
  - \* a Certificate of Registration with the Unified State Register of Enterprises and Organizations (EGRPO);
  - a document evidencing the branch's (representative office's) physical address in the Russian Federation (for Russian non-residents, other than credit organizations, – a copy (certified by the legal entity) of the document evidencing the ownership or lease/sublease of the premises occupied by the legal entity's branch (representative office), along with a copy of the initial lease agreement (in the case of sublease));

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<sup>2</sup> Not to be submitted:

- if submitted earlier;
- by an issuer when entering into an issuer account agreement, provided that the issuer does not maintain any contractual relationship with NSD which involves the opening of a securities account(s) and/or a bank account(s); or
- when opening an account in the name of a foreign government agency acting on behalf of the relevant foreign country. The FATCA Details Form is available on Moscow Exchange's web site at <http://moex.com/ru/fatca>.

<sup>3</sup> To be submitted if the client accedes to the NSD Payment System Rules.

<sup>4</sup> Not to be submitted if submitted earlier; or when opening an account in the name of a foreign government agency acting on behalf of the relevant foreign country. The FATCA Details Form is available on Moscow Exchange's web site at <http://moex.com/ru/fatca>.

- a document evidencing the state accreditation of the branch (representative office) in the Russian Federation (if the branch (representative office) is domiciled in the Russian Federation); and
  - documents evidencing the appointment and authority of the branch's (representative office's) head.
16. \*A signature and seal card (or, for credit organizations, a specimen signature book containing the specimen signatures of the individuals authorized to give instructions with respect to the bank account), or a document containing specimen signatures and a seal impression, as issued in accordance with the laws of the relevant foreign jurisdiction and this List.
17. \*Documents evidencing the authority of the individuals listed in the signature and seal card to deal with the funds available in the bank account (e.g., orders appointing such individuals, or orders/powers of attorney authorizing such individuals to sign).
18. \*Identity documents and documents (e.g., powers of attorney or orders) evidencing the authority of the individuals authorized to use a digital equivalent of a handwritten signature (an "equivalent of a handwritten signature"), codes, passwords, or other means for the purpose of dealing with the funds available in the bank account held with NSD (when entering into an Electronic Data Interchange Agreement).

### **Document Submission Guidelines**

- Any document issued outside the Russian Federation must be legalized by an embassy (consulate) of the Russian Federation abroad or by the embassy (consulate) of the relevant foreign country in the Russian Federation.
- Legalization of a document is not required, provided that the document has been issued in:
  - a country that is a signatory to the Hague Convention of 1961 Abolishing the Requirement of Legalization for Foreign Public Documents (provided that either the document itself or a separate sheet attached thereto is apostilled by a foreign competent authority in accordance with the requirements of the Convention); or
  - a country that is a signatory to the Convention on Legal Aid and Legal Relations in Civil, Family and Criminal Matters of 1993; or
  - a country with which the Russian Federation has an agreement for legal aid and legal relations in civil, family and criminal matters.
- Any document made in a language other than Russian language must be translated into Russian. The Russian translation must be notarized. The translation requirement does not apply to identity documents of individuals issued by a foreign competent authority and made in several languages, including Russian, as well as to identity documents of individuals issued by a foreign competent authority, provided that the individual holds a document allowing him/her to lawfully stay in the Russian Federation (e.g., an entry visa, or a migration card).
- In addition to an identity document, a foreign national or a stateless person staying in the Russian Federation must submit to NSD a notarized copy of the document evidencing his/her leave to stay in the Russian Federation, and a copy of the migration card certified by the individual to whom the migration card is issued or by the relevant legal entity.
- A signature and seal card may contain interlinear translation of the card fields into a foreign language. The signatures of all authorized signatories must be certified by the same notary public. (Where a signature and seal card is produced in the Russian Federation, the notary's statement of certification must conform to Form 56 set out in the Appendix to Russian Ministry of Justice's Order No. 99 dated 10 April 2002).
- Documents must bear the corporate seal, provided that the client has such corporate seal.
- When entering into a bank account agreement and opening a bank account, a document containing specimen signatures and a seal impression, as issued in accordance with the laws of the relevant foreign jurisdiction, must contain the following details: "Client (Account Holder)", "Registered Office", "Telephone Number", "Last Name and First Name", "Specimen Signature", "Term of Authority", "Seal Impression" (if available), "Issue Date", "Client's (Account Holder's) Signature", and "Signature Certification". The document must state that it is issued for submission to NSD.
- Where the client holds any account with NSD under the relevant agreement, and provided that the respective documents are still in full force and effect and have not been changed as at the date on which the new account is to be opened, and the same representatives of the client are authorized to deal with the funds available in the newly opened account, it is not required to re-submit the

client's constitutional documents and other documents necessary for the opening of an account (other than documents listed under item 1 in Section III hereof). Where the client holds any account with NSD under the relevant agreement, and provided that the client has already submitted the FATCA Details Form, it is not required to re-submit the same. Where the client holds an issuer account only with NSD under the relevant agreement, the client must submit to NSD the FATCA Details Form in order to open a new account.

- A Russian non-resident credit organization incorporated in a FATF member country is allowed not to submit the Beneficiaries' Details in the form prescribed by NSD, provided that such non-resident credit organization has a rating assigned by Moody's Investors Service, Standard & Poor's or Fitch Ratings and/or is listed in Bankers Almanac published by Reed Business Information, UK, no earlier than in the calendar year immediately preceding the calendar year in which the relevant banking transaction or another transaction is made, or is listed in the list (register) of operating credit organizations in the relevant foreign country.
- A Russian non-resident legal entity that is not a Russian taxpayer (other than a credit organization) must provide NSD with the following details when entering into a bank account services agreement with NSD:
  - names and registered office addresses of foreign credit organizations with which the legal entity had or has contractual relationship under a bank account agreement, and the nature and duration of such relationship;
  - principal counterparties, amounts and the nature of expected transactions in the bank account applied for;
  - whether or not the legal entity is obliged to file its financial statements with any competent state authorities at the place of the legal entity's incorporation or business, and the names of such state authorities;
  - if the legal entity has the above obligation, whether or not the legal entity filed its financial statements for the last reporting period (please specify the state authority with which the financial statements were filed, and include the details of the publicly available source of information (if any) containing the financial statements);
  - reference letters, in any form whatsoever, issued by Russian or foreign credit organizations with which the legal entity has contractual relationship under a bank account agreement (reference letters may also be requested with respect to the legal entity's incorporators); and
  - any other information NSD may request for the purpose of the legal entity identification.
- A Russian non-resident legal entity incorporated in the Republic of Belarus (other than credit organizations) must additionally submit to NSD a duly certified copy of the permit issued by the National Bank of the Republic of Belarus for the opening of accounts with banks or other credit organizations outside the Republic of Belarus.
- NSD may request any other information or documents necessary for the opening of an issuer account/securities account (in addition to those listed in Section II) or for the opening of a bank account (in addition to those listed in Section III) in order to comply with the applicable requirements of the Russian laws and Bank of Russia's regulations, including any documents supporting the details provided in the Legal Entity's Details Form or in the Additional Details for Identification of a Legal Entity.

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*\* Any such documents must be properly legalized or apostilled and translated into Russian, with the translation to be certified by a notary public (for more details see the Document Submission Guidelines).*