

Please find attached:

- Procedure for submission of information and reports to Moscow Exchange

Approved by  
the Executive Board of  
Public Joint Stock-Company  
"Moscow Exchange MICEX-RTS"  
24 July 2015, Minutes No.40

**PROCEDURE FOR SUBMISSION OF INFORMATION AND REPORTS  
TO PUBLIC JOINT-STOCK COMPANY "MOSCOW EXCHANGE MICEX-RTS"**

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**Terms and definitions**

**Exchange** – Public Joint-Stock Company “Moscow Exchange MICEX-RTS”

**EDI Rules** – Electronic Data Interchange Rules.

**Trading Member** – a legal entity included, in compliance with the Exchange internal documents in Trading Members to effect transactions on organised trading conducted by the Exchange.

**SECTION I. GENERAL PROVISIONS**

This Procedure for Submission of Information and Reports to Public Joint-Stock Company “Moscow Exchange MICEX-RTS” (hereinafter – the Procedure) is developed in accordance with the requirements of the laws and regulations of the Russian Federation/Regulative instruments of the Bank of Russia, the Charter and other internal documents of the Exchange.

- 1.1. The Procedure determines the composition, the deadlines for and the formats of submitting Information and Reports
  - 1.1.1. by Trading Members and Members that effect operations using the trading system of the Exchange in deposit and/or credit transactions, auctions, order selection for depositing cash funds (hereinafter the Members);
  - 1.1.2. by Trading Member/Member Candidates when the Admission Rules and/or other internal documents of the Exchange require that Trading Member/Member Candidates should submit Information and Reports to the Exchange in compliance with this Procedure.
- 1.2. Information and Reports shall be submitted by Trading Members/Members to the Exchange for the following purposes:
  - 1.2.1. Development and update of the data base with information on Trading Members/Members;
  - 1.2.2. Supervision over Trading Members, including compliance thereof with the requirements to their financial state with a view to reduce risk in organised trading.
- 1.3. All Appendices hereto shall be an integral part hereof.
- 1.4. This Procedure and all Amendments hereto shall be approved by the Exchange and shall become effective from the date specified by the Exchange.
- 1.5. Information on approval of this Procedure (Amendments and Supplements hereto), entry into force thereof as well as the text of the Procedure (Amendments and Supplements) shall be disclosed on the Exchange website no later than five (5) business days prior to the effective date, unless otherwise provided for by decision of the Exchange.
- 1.6. Any terms not expressly defined herein have the meanings ascribed to them by the laws and regulations of the Russian Federation, regulative instruments of the Bank of Russia, Charter of the Exchange, Trading Rules, Admission Rules and other internal documents of the Exchange.

**SECTION II. INFORMATION TO BE SUBMITTED BY TRADING MEMBERS/MEMBERS TO THE EXCHANGE**

- 2.1. Information to be submitted by Trading Members/Members to the Exchange in compliance herewith shall include the Registration Card which form is provided in Appendix No. 1 hereto.
- 2.2. The Exchange shall have the right to request additional information from the Trading Member/Member, including the information characterizing financial state thereof.
- 2.3. The Exchange shall store the Information for at least five years after the commitments between the Exchange and the Trading Member/Member are discontinued.
- 2.4. Trading Members/Members shall be obligated to secure relevancy and authenticity of data contained in the Information submitted thereby to the Exchange.

**SECTION III. REPORTS TO BE SUBMITTED BY TRADING MEMBERS AND MEMBERS TO THE EXCHANGE**

- 3.1. Reports to be submitted by Trading Members to the Exchange shall include:

- Reports by credit institutions compiled according to Forms 0409051, 0409101, 0409102, 0409123, 0409135 in compliance with Instructions by the Bank of Russia dated 12 November 2009 No. 2332-U "On List, Forms and Procedure for Compiling and Submitting Reports Forms of Credit Institutions to the Central Bank of the Russian Federation", and a statement on the numeric value of the ratio of single borrower or group of related party borrowers risk (N6) (based on data in Form 0409118);
  - Reports by non-credit institutions that are professional securities market participants compiled according to Forms 0420402, 0420403, 0420408, 0420410, 0420411, 0420412, 0420415, 0420416, 0420417, 0420418, 0420421 in compliance with Instruction by the Bank of Russia dated 15.01.2015 No. 3533-U "On Deadlines and Procedure for Compiling and Submitting of Reports by Professional Securities Market Participants to the Central Bank of the Russian Federation"; a calculation of equity according to the form established by ~~Order of the FFMS of Russia dated 23 October 2008 No. 08-41/pz-n~~ Instruction of the Bank of Russia dated 19.07.2016 No. 548-P;
  - Reports by non-credit institutions other than professional securities market participants compiled according to Forms 0710001, 0710002 in compliance with order of the RF Ministry of Finance dated 2 July 2010 No. 66n "On Forms of Accounting Reporting by Organisations".
  - Reports by state corporations and international organisations compiled according to Forms 0409101, 0409102, 0409123 in compliance with Instruction by the Bank of Russia dated 12 November 2009 No. 2332-U "On List, Forms and Procedure for Compiling and Submitting Reports Forms of Credit Institutions to the Central Bank of the Russian Federation".
  - Reports by non-resident banks
    - IFRS financial statements in Russian or in English, in absence thereof, balance sheet (or a turnover balance sheet), income statement and calculation of equity (capital) (if any) in accordance with established national accounting and reporting standards shall be submitted quarterly;
    - major performance indicators for a Non-Resident (according to the Form of Appendix No. 3 to the Procedure) shall be submitted quarterly;
    - document confirming information about actual and permissible values of mandatory ratio of activity set by a competent body, if such mandatory ratios shall be set pursuant to the national legislation of the state of the non-resident bank's incorporation shall be submitted quarterly;
    - IFRS financial statements in Russian or in English for the latest reporting year, certified by auditor, in absence thereof, audited financial statements compiled in accordance with requirements of the national legislation of the state of the non-resident bank's incorporation shall be submitted annually.
- 3.2. Reports by credit and non-credit institutions, by state corporations and international organisations, and by non-resident banks to be submitted thereunder shall be jointly referred to as Reports.
- 3.3. The Exchange shall have the right to request supplementary statements not specified herein from Trading Members.
- 3.4. Reports shall be stored for 5 years.
- 3.5. Trading Members shall be obligated to secure relevancy and authenticity of data contained in the Information submitted thereby.

#### **SECTION IV. DEADLINES FOR SUBMISSION OF INFORMATION TO THE EXCHANGE BY TRADING MEMBERS AND MEMBERS**

- 4.1. The Registration Card shall be submitted to the Exchange by the Trading Member/Members at least once every six months with the current data as of the date of submission thereof for the following periods:
- from the first business day of the calendar year to 31 January of the same year;
  - from the first business day of July to 31 July of the current year.

- 4.2. In an event the data in the Registration Card changes, the Trading Member/Member shall be obligated to notify the Exchange of said changes within five (5) business days of the day of such changes by submitting an updated Registration Card in compliance with the requirements of Section VI hereof. Documents supporting the said changes shall be submitted to the Exchange in compliance with the Exchange internal documents.
- 4.3. As and when required the Exchange shall have the right to request Trading Members/Members to submit the Registration Card at any time. In such an event the Registration Card must be submitted within the timeline specified in the relevant request and, where such a timeline is not specified – within ten (10) business days of the receipt of such a request.

## **SECTION V. FREQUENCY AND DEADLINES FOR SUBMISSION OF REPORTS TO THE EXCHANGE BY TRADING MEMBERS**

### 5.1. Reports by credit institutions:

- Trial balance according to the accounts of the credit institution (Form 0409101) shall be submitted on a monthly basis.
- Income statement (Form 0409102) shall be submitted on a quarterly basis.
- Calculation of equity (capital) (BASEL III) (Form 0409123) shall be submitted on a monthly basis.
- Information on the mandatory ratios (Form 0409135) shall be submitted on a monthly basis,
- Statement on numerical value of the ratio of single borrower or group of related party borrowers risk (N6) (based on data in Form 0409118) shall be submitted on a monthly basis.
- Affiliated Parties List (Form 0409051)<sup>1</sup> shall be submitted on a quarterly basis.

Reports by credit institutions shall be submitted no later than business day fifteen (15) of the month following the reporting month or the reporting quarter.

### 5.2. Reports by credit institutions that are professional securities market participants:

- Balance sheet (Form 0420410), statement of financial results (Form 0420411), information on the largest debtors and creditors of the professional participant (Form 0420412), information about portfolio investments in securities issued by non-residents (Form 0420416)<sup>2</sup>, statement of the flow of foreign assets and liabilities of the professional participant in relation to non-residents if the latter and the non-residents have a direct investment relationship (Form 0420421)<sup>3</sup>, information on affiliates of the professional participant (Form 0420402)<sup>4</sup>, information on affiliates belonging to the same group with the professional participant (Form 0420403)<sup>5</sup> shall be submitted on a quarterly basis;
- Calculation of equity (capital), information on participation in legal proceedings where the professional participant is a defendant (Form 0420408)<sup>6</sup>, report on securities (Form 0420415),

<sup>1</sup> As at the date of submitting an Affiliated Parties List to the Exchange, the data contained therein must match the latest updated information on the affiliated parties submitted to the Bank of Russia.

<sup>2</sup> This applies to the professional securities market participants included in the list of professional securities market participants submitting reports in accordance with the Form 0420416, pursuant to the Instruction by the Bank of Russia dated January 15, 2015 No.3533-U "On Deadlines and Procedure for Compiling and Submitting of Reports by Professional Securities Market Participants to the Central Bank of the Russian Federation".

<sup>3</sup> This applies to the professional securities market participants included in the list of professional securities market participants submitting reports in accordance with the Form 0420421, pursuant to the Instruction by the Bank of Russia dated January 15, 2015 No.3533-U "On Deadlines and Procedure for Compiling and Submitting of Reports by Professional Securities Market Participants to the Central Bank of the Russian Federation".

<sup>4,5</sup> As at the date of submitting an Affiliated Parties List to the Exchange, the information contained therein shall conform to the latest updated information on the affiliated parties submitted to the Bank of Russia.

<sup>6</sup> On the date of submission of the Report, the information contained therein shall conform to the latest updated

report on OTC trades (Form 0420417)<sup>7</sup>, information on performance of brokerage, depository and security management activity (Form 0420418) shall be submitted on a monthly basis.

Reports by credit institutions that are professional securities market participants shall be submitted no later than one calendar month following the reporting month or the reporting quarter. Non-credit institutions being professional securities market participants shall submit reports within one calendar month following the reporting month or reporting quarter. Balance sheet (Form 0420410), statement of financial results (Form 0420411), information on the largest debtors and creditors of the professional participant (Form 0420412), information about portfolio investments in securities issued by non-residents (Form 0420416), as of and including December 31, shall be submitted no later than on March 30.

5.3. Reports by non-credit institutions other than professional securities market participants:

- Balance Sheet (Form 0710001) shall be submitted on a yearly basis;
- Income Statement (Form 0710002) shall be submitted on a yearly basis.

Reports by non-credit institutions other than professional securities market participants shall be submitted no later than business day fifteen (15) of April of the year following the reporting one.

5.4. Reports by state corporations and international organisations:

- Trial balance according to the accounts of the credit institution (Form 0409101) shall be submitted on a monthly basis;
- Income statement (Form 0409102) shall be submitted on a quarterly basis;
- Calculation of equity (capital) (BASEL III) (Form 0409123) shall be submitted on a monthly basis.

Reports by state corporations and international organisations shall be submitted no later than business day fifteen (15) of the month following the reporting month or the reporting quarter.

5.5. Reports by non-resident banks:

- IFRS financial statements in Russian or in English, in absence thereof, balance sheet (or a turnover balance sheet), income statement and calculation of equity (capital) (if any) in accordance with established national accounting and reporting standards shall be submitted on a quarterly basis;
- Major performance indicators for a non-resident bank (according to the Form of Appendix No. 3 to the Procedure shall be submitted on a quarterly basis;
- Document confirming information about actual and permissible values of mandatory ratio of activity set by a competent body, if such mandatory ratios shall be set pursuant to the national legislation of the state of the non-resident bank's incorporation shall be submitted on a quarterly basis;
- IFRS financial statements in Russian or in English for the latest reporting year, certified by auditor, in absence thereof, audited financial statements compiled in accordance with requirements of the national legislation of the state of the non-resident bank's incorporation shall be submitted annually.

Non-resident banks shall submit the reports no later than on the 15<sup>th</sup> (fifteenth) business day from the date of submission of quarterly reports, respectively, or from the date determined by the competent body of the state of the non-resident bank's incorporation as the date for submission of quarterly reports,

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information about participation in legal proceedings where the professional participant was a defendant, submitted to the Bank of Russia.

<sup>7</sup> This applies to the professional participants included in the List of professional securities market participants set by the Bank of Russia pursuant to the Instruction of the Bank of Russia dated January 15, 2015 No.3533-U "On Deadlines and Procedure for Compiling and Submitting of Reports by Professional Securities Market Participants to the Central Bank of the Russian Federation". This Report shall be submitted for the week to which the last calendar day of the reporting month belongs.

respectively (if the report submission deadlines are set by the competent body of the state of the non-resident bank's incorporation), with the following exception: IFRS financial statements for the latest reporting year, certified by auditor, in absence thereof, audited financial statements compiled in accordance with requirements of the national legislation of the state of the non-resident bank's incorporation, shall be submitted no later than on the 15<sup>th</sup> (fifteenth) business day from the date on which such statements were signed by the auditor.

## **SECTION VI. PROCEDURE FOR COMPILING AND SUBMISSION OF INFORMATION AND REPORTS**

- 6.1. Information and Reports submitted to the Exchange by Trading Members/Members in compliance herewith shall be compiled taking into account the following requirements:
- 6.1.1. Reports by credit institutions, state corporations and international organisations shall be prepared in the following way:
- Reports compiled in compliance with Forms: 0409051, 0409101, 0409102, 0409123, 0409135 shall be submitted in the format corresponding to that of files formed in the KLIKO software (submitted to the Moscow Main Territorial Department of the Bank of Russia or the TC's SHC (submitted to the Territorial Department of the Bank of Russia.
  - Reports compiled in accordance with Form 0409118 – a statement on numerical value of the ratio of single borrower or group of related party borrowers risk (N6) shall be submitted as an XML file formed in ARFA software, posted on the Exchange website ([www.moex.com](http://www.moex.com)).
- 6.1.2. Reports by credit institutions that are professional securities market shall be prepared in the following way:
- Reports compiled in accordance with the forms 0420402, 0420403, 0420408, 0420410, 0420411, 0420412, 0420415, 0420416, 0420417, 0420418, 0420421 are presented in form of XML files (with \*.xtdd extension) generated in the Program-Questionnaire for Generation of Electronic Documents, provided by the Bank of Russia.
  - Calculation of equity is provided in form of an XML file files (with \*.xtdd extension) generated in PROFY software.
- 6.1.3. Reports by credit institutions other than credit institutions shall be prepared in the following way
- Reports compiled in compliance with Forms 0710001, 0710002 shall be submitted as an XML format file generated in PROFY software posted on the Exchange website ([www.moex.com](http://www.moex.com)) or as a swap file (XML format), formed for electronic transmission of data on accounting reporting to tax authorities.
- 6.1.4. Reports by non-resident banks shall be prepared in the following way:
- IFRS financial statements; balance sheet (trial balance sheet), income statement and calculation of equity (capital) in accordance with established national accounting and reporting standards; document confirming information about actual and permissible values of mandatory ratio activity set by a competent body shall be submitted in the format corresponding to the format of the file generated in a report preparation software for the purpose of submission to the regulatory bodies of the non-resident bank's incorporation;
  - Major performance indicators for a non-resident bank for the reporting quarter according to the Form of Appendix No. 3 (text format with tabulation separators)) to the Procedure.
- 6.2. The Registration Card shall be submitted as an XML file, formed by the Registration Card software posted on the Exchange website ([www.moex.com](http://www.moex.com)).
- 6.3. The Registration Card and Reports shall be submitted by Trading Members/Members to the Exchange in the form of electronic documents in an appropriate format.



- 6.4. Submission of the Registration Card and Reports in the form of electronic documents shall be effected by Trading Members/Members that have signed an Agreement with the Exchange on participation in the Electronic Documentary Circulation System and have been authorised to effect an electronic documentary circulation in compliance with the EDI Rules and meeting the following requirements:
- 6.4.1. When the Registration Card or Reports are sent electronic document, the files contained therein must be included in the electronic document in the form they were generated by the documenter in compliance with sub-clause 6.1 hereof. The electronic document must be signed by the Trading Member/Members in compliance with the EDI Rules of the Exchange.
- 6.4.2. The Registration Card and Reports submitted to the Exchange in the form of electronic documents are assigned to the G category of documents in compliance with the EDI Rules of the Exchange.
- 6.4.3. The formats of electronic documents used for submitting the Registration Card and Reports in compliance with sub-clause 6.1 hereof, are provided in Appendix No. 2 hereto.
- 6.4.4. The Registration Card and Reports in the form of electronic documents and e-mail messages shall be sent by Trading Members/Members via e-mail to the addresses of the Exchange posted on the website ([www.moex.com](http://www.moex.com)).
- 6.4.5. Based on the results of submitting electronic documents to the Exchange by Trading Members/Members, the Exchange shall send the following electronic messages to the Trading Member/Member via e-mail:
- Notification of the electronic document receipt as a result of the delivery of the message with the Reports File attached;
  - Statement on the outcome of the Reports File processing – as a result of the Reports processing;
  - Notification of the receipt of the electronic document containing the Registration Card.
- 6.4.6. Record keeping and storage of the Registration Card and Reports received by the Exchange in the form of electronic documents shall be effected in compliance with the EDI Rules. At that, the Exchange shall secure maintenance of an electronic log of electronic documents received from Trading Members/Member as well as storage of the electronic documents per se in the electronic archive of the Exchange.
- 6.5. The Registration Card and Reports submitted by the Trading Member/Member to the Exchange shall be processed within no more than three (3) business days of the date of receipt of said documents from the Trading Member/Member.
- 6.6. In an event the Trading Member/Member submits the Registration Card and/or Reports non-compliant with the requirements hereof, the Exchange, within no more than three (3) business days of processing of the documents received, shall notify the Trading Member/Member by way of sending an e-mail message thereto, of the need to eliminate violations of the requirements hereof.
- 6.7. The date of receipt of the Registration Card and Reports shall be deemed the date of submission thereof to the Exchange by the Trading Member/Members provided they comply with the requirements hereof with respect to the composition, form and format thereof.
- 6.8. Trading Members which have branches must submit consolidated reports comprising data on the Trading Member and branches thereof compiled in compliance with the requirements of the regulatory instruments of the Bank of Russia and laws and regulations of the Russian Federation to execution of consolidated reports and requirements hereof.
- 6.9. Obligation of the Trading Member/Member to present the reports specified in this Procedure, and the Registration Card is deemed fulfilled upon submission by the Trading Member/Member of the said documents, provided that they meet the requirements as to their contents, form and format, set by the Procedure.

- 6.10. Where non-resident banks submit documents provided for herein, the said documents must be translated into the official language of the Russian Federation (the Russian language), the accuracy of the translation and the authenticity of the translator's signature must be notarised.

Documents executed in the territory of foreign states must be legalised or apostilled, unless otherwise provided for by international agreements of the Russian Federation.

#### **SECTION VII. FINAL PROVISIONS**

- 7.1. Trading Members/Members shall bear responsibility for invalid data and information submitted thereby as part of the Information and/or Reports as well as violations of deadlines for submission thereof in compliance with the laws and regulations of the Russian Federation, regulations of the Bank of Russia, herein and other internal documents of the Exchange.
- 7.2. Penalties levied on Trading Members/Members failing to submit Information and Reports and meet the deadlines provided hereby for submission of Information and Reports are established by internal documents of the Exchange.

## APPENDIX No. 1

**Registration Card Form****Registration Card of the Trading Member (List of Markets where the Trading Member is present)/Members****Public Joint-Stock Company "Moscow Exchange MICEX-RTS"**

as of \_\_\_\_\_ 20\_\_\_\_

1.	Organisation's full name (from Charter)	
2.	Organisation's short name (from Charter)	
3.	Organisation's full name in English (from Charter, where unavailable – one used in practice)	
4.	Organisation's short name in English (from Charter, where unavailable– one used in practice)	
5.	Form Codes for federal public statistical data assembly:	
5.1.	OKPO (General Classifier of Enterprises and Organisations)	
5.2.	OKVED (Russian Classification of Economic Activity)	
5.3.	OKOGU (National Classifier of Government Entities and Administration)	
5.4.	OKFS (National Classifier of Forms of Ownership)	
5.5.	OKOPF (National Classifier of Organisational Legal Forms)	
5.6.	OKATO (National Classifier of Administrative Territorial Entities)	
5.7.	OKTMO (Russian Classifier of Municipal Unit Territories)	
6.	State registration data:	
6.1.	Legal entity's state registration date	
6.2.	OGRN (Primary State Registration Number)	
6.3.	Primary State Registration Number (OGRN) entry date in Unified State Register of Legal Entities	
6.4.	Registration authority's name	
6.5.	Registration place	

6.6	Series and number of document evidencing state registration	
7.	INN (Taxpayer Identification Number)	
	KPP (Tax Registration Reason Code)	
	KPP 2 (indicated by major taxpayers, if available)	
8.	BIC (Bank of Russia Identifier Code)	
9.	SWIFT code	
10.	Location (according to Articles of Association)	
11.	Actual address	
12.	Postal address (for correspondence)	
13.	Telephone	
14.	Fax	
15.	E-mail address	
16.	Web address	
17.	Registered and paid-in (pooled) authorised capital or authorised fund value, property value	
18.	Presence or absence of legal entity, its permanent executive body, other body or person authorised to act on legal entity's behalf without power of attorney at legal address	
19.	Number of branches	
20. <sup>8</sup>	For regional organisation – Moscow branch (representation office):	
	Postal address	
	Telephone	
	Leader's full name	
	Leader's position	
21.	Licences to conduct professional activity (number, issuing authority, issuance date with specification of activity types, licence expiry date):	
21.1	To conduct banking operations	

<sup>8</sup> To be filled in by a regional organisation with a representation office in Moscow.

21.2	Securities Market Professional Participant:	
	Brokerage	
	Dealership	
	Securities Management	
	Depository	
21.3	Professional securities market participant licence for broker activities to conclude contracts on commodity-backed financial derivatives	
22.	Data on structure and composition of legal entity's governing bodies	
22.1.	Highest governing body's name	
22.1.1	Participant (shareholder) list	
22.2.	Collegiate management body's (council's) name	
22.2.1	Organisation's collegiate management body (council) leader:	
	Full name	
22.2.2	Management body's (council's) composition Members' full names:	
22.3.	Collegiate executive management body's name	
22.3.1	Collegiate executive management body's composition: Members' full names:	
23.	Organisation's sole executive body (hereinafter – organisation's leader):	
	Full name	
	Position	
	Commission on appointment (name, date and number)	
	Organisation's leader status	
23.1	Data on effective qualification certificates of organisation's leader:	
	Date and number of decision minutes by Examining Board	
	Date and number of decision minutes by	

	Certification Commission	
	Qualification Certificate series and number	
	Qualification awarded	
24.	Organisation's controller	
	Full name	
	Position	
	Commission on appointment (name, date and number)	
24.1	Data on effective qualification certificates of organisation's controller	
	Date and number of decision minutes by Examining Board	
	Date and number of decision minutes by Certification Commission	
	Qualification Certificate series and number	
	Qualification awarded	
25	Information about beneficial owners (indicating the evidence that such individual is a beneficial owner)	
26	Possession of the client or control of the client is exercised through third parties	
27	Confirmation of possession of the client or control of the client through third parties	
28	Letter on impossibility of submission of supporting documents, containing reference to publicly available source of information	
29.	Contact persons:	
29.1	Personnel in charge of FX and Precious Metals market operations:	
	Full name	
	Position	
	Contact telephones	
	E-mail address	
29.2	Personnel in charge of standardised OTC derivatives market operations:	

	<p>Full name Position Contact telephones E-mail address</p>	
29.3	<p>Personnel in charge of derivatives market operations:</p> <p>Full name Position Contact telephones E-mail address</p>	
29.4	<p>Personnel in charge of money market operations:</p> <p>Full name Position Contact telephones E-mail address</p>	
30	<p>Data on presence (absence) of correspondent accounts with banks in states (territories) known not to comply with generally accepted standards for anti-money laundering and countering terrorism financing or foreign states (foreign territories) with a heightened level of corruption (to list countries if "available")</p>	
31	<p>Data on presence (absence) of correspondent accounts with banks in states (territories) offering preferential tax treatment and (or) not providing for disclosure or submission of information on conduct of financial operations (off-shore zones) (to list countries if "available").</p>	
32	<p>Data on presence (absence) of correspondent accounts with banks in states or territories where information is available from international resources that drugs are illegally produced in or smuggled through territories thereof as well as states or territories allowing free circulation of drugs (save for states or territories using drugs solely for medical purposes) (to list countries if "available").</p>	
33.	<p>Data on presence (absence) of accounts with shell banks (a shell bank is one registered in the jurisdiction of a state where said bank has no representation). If there are accounts opened for shell banks, specify their full names and account</p>	

	details.	
34	Personnel in charge of anti-money laundering and countering terrorism financing operations:	
	Full name	
	Position	
	Contact telephones	
	E-mail address	
35	Actions in anti-money laundering and countering terrorism financing	
36	Purpose of establishing and contemplated nature of business relations between Moscow Exchange and organisation	
37	Organisation's business objectives	
38	Organisation's goodwill	

Position

\_\_\_\_\_  
(Leader or any other authorised official\*)

(Full name)

Seal

Drafted by, tel.

\_\_\_\_\_  
(Full name and telephone number)

\* If the person signing the Registration Card acts on the basis of the power of attorney, the Registration Card must be accompanied by a notarised copy of the said power attorney authorizing the person to sign the Registration Card and consent to processing of personal data of the authorised person executed in compliance with the form posted on the Exchange website, unless provided otherwise by statutory requirements.

**Contact Data for SMS via IDS (Information Display System)**

Telephone number	
Category	
Owner's full name	
Owner's position	
E-mail address	



## APPENDIX No. 2

**FORMATS OF ELECTRONIC DOCUMENTS FOR SUBMISSION OF INFORMATION AND REPORTS****I. Format of Electronic Document for Submission of the Registration Card of the Trading Member/Member to Moscow Exchange**

An electronic data file is formed as an XML document complying with the International XML 1.0 Specification of the World Wide Web Consortium. The file is a set of elements describing the values of parameters of the Registration Card.

**II. Formats of Electronic Documents for Submission of Reports by Credit Institutions to Moscow Exchange:****1. The Trial Balance According to the Accounts (Form 0409101)**

For credit institutions submitting Reports to the Moscow Main Territorial Department of the Bank of Russia

An electronic data file (Type - REGN\*.K31) is formed in a text format. The file consists of lines representing a sequence of symbols separated by commas, each of them describing several fields of a line of standard Form 0409101.

List of fields is given in Table 1.

Table 1

Field No.	Description
1	Account number
2	Account attribute
3	Opening balance in Rubles
4	Opening balance (FX, precious metals)
5	Opening balance total
6	Debit turnover in Rubles
7	Debit turnover (FX, precious metals)
8	Debit turnover total
9	Credit turnover in Rubles
10	Credit turnover (FX, precious metals)
11	Credit turnover total
12	Closing balance in Rubles
13	Closing balance (FX, precious metals)
14	Closing balance total

For credit institutions submitting Reports formed at the TC's SHC to the Territorial Department of the Bank of Russia

An electronic data file is formed in a tab-separated text format. The file represents a sequence of lines, each of them describing several fields comprising part of a line in standard Form 0409101.

List of fields is given in Table 2.

Table 2

Description
BIC (Organisation's Bank Identification Code)
Report date
Form identifier
Account number
Supplementary parameter/Parameter according to the account/form (in this Form)
Value of parameter according to a particular account

## 2. Income Statement (Form 0409102)

For credit institutions submitting Reports to the Moscow Main Territorial Department of the Bank of Russia

An electronic data file (Type - REGN\*.KG1) is formed in a text format. The file consists of lines representing a sequence of symbols separated by commas, each of them describing several fields comprising a line of standard Form 0409102.

List of fields is given in Table 3.

Table 3

Description
Symbol number
Ruble transactions total value
FX transactions total value
Grand total

For credit institutions submitting Reports formed at the TC's SHC to the Territorial Department of the Bank of Russia

An electronic data file is formed in a tab-separated text format. The file represents a sequence of lines, each of them describing several fields comprising part of a line in standard Form 0409102.

List of fields is given in Table 4.

Table 4

Description
BIC (Organisation's Bank Identification Code)
Reporting date
Form identifier
Symbol number
Supplementary Parameter/ Amount type according to symbol (in this form)

Value of amount type according to a particular symbol
---

### 3. Calculation of Equity (Capital) (Basel III) (Form 0409123)

For credit institutions submitting Reports to the Moscow Main Territorial Department of the Bank of Russia

An electronic data file (Type - REGN\*.KA1) is formed in a text format. The file consists of lines representing a sequence of symbols separated by commas, each of them describing several fields of a line in standard Form 0409123.

List of fields is given in Table 5.

Table 5

Description
Line number
Closing balance on reporting date

For credit institutions submitting Reports formed at the TC's SHC to the Territorial Department of the Bank of Russia

An electronic data file is formed in a tab-separated text format. The file represents a sequence of lines, each of them describing several fields of a line in standard Form 0409123.

List of fields is given in Table 6.

Table 6

Description
BIC (Organisation's Bank Identification Code)
Reporting date
Form identifier
Line number
Supplementary parameter
Closing balance on reporting date

### 4. Information on Mandatory Ratios (Form 0409135)

For credit institutions submitting Reports to the Moscow Main Territorial Department of the Bank of Russia

An electronic data file (Type - REGN\*.KF1) is formed in a text format. The file consists of lines representing a sequence of symbols separated by commas, each of them describing several fields of a line in standard Form 0409135.

List of fields in the Form (Sections 1, 2b) is given in Table 7.

Table 7

Description
-------------

Identification code
Value

List of fields in the Form (Sections 2 and 2a) is given in Table 7a.

Table 7a

Description
Indicator name
Indicator/ratio value (in shares)

For credit institutions submitting Reports formed at the TC's SHC to the Territorial Department of the Bank of Russia

Electronic data files are formed in a tab-separated text format. The files represent a sequence of lines, each of them describing several fields of a line in standard Form 0409135 ( Sections 1 and 2b are in one file, and Sections 2 and 2a in another one).

List of fields in the Form (Sections 1 and 2b) is given in Table 8.

Table 8

Description
BIC (Organisation's Bank Identification Code)
Reporting date
Form identifier
Breakdown code
Breakdown parameter
Value of parameter for a particular breakdown

List of fields in the Form (Sections 2 and 2a) is given in Table 8a

Table 8a

Description
BIC (Organisation's Bank Identification Code)
Reporting date
Indicator name
Parameter for indicator
Parameter value for given indicator /ratio (in shares)

**5. Statement on Numerical Value of Maximum Ratio of Single Borrower or Group of Related Party Borrowers Risk (H6) (According to Data in Form 0409118).**

An electronic data file is formed as an XML document complying with the International XML 1.0 Specification of the World Wide Web Consortium. The file represents a set of elements describing the values of parameters in the Statement on Numerical Value of Maximum Ratio of Single Borrower or Group of Related Party Borrowers Risk (H6).

List of elements in the Form is given in Table 9.

Table 9

Element	Description
<form_extra_param>	Describes element group
<record>	Describes parameter name and value
<main>	Describes element group
<pname>	Describes parameter name
<pvalue>	Describes parameter value
<regnumber>	Registration number with the Bank of Russia
< regcode >	Trading Member's code (number)
<reptime>	Reporting date
<ftype>	Form type
<fname>	Form name

List of parameters in the Form is given in Table 9a.

Table 9a

Parameter	Description
kapital	Capital value
krz	Borrower risk ratio value
h6	H6 value

**6. Affiliated Parties List (Form 0409051)**

For credit institutions submitting Reports to the Moscow Main Territorial Department of the Bank of Russia

An electronic data file (Type - REGN\*.KH\*) is formed in a text format. The file consists of lines representing a sequence of symbols separated by commas, each of them describing several fields of a line of standard Form 0409051.

List of fields is given in Table 10.

Table 10

Field No.	Description
1	Change type
2	Reporting date
3	Affiliated party individual code
4	Person type
5	Full name
6	Abbreviated name
7	Legal address
8	Postal address
9	Physical person's document code
10	OKPO (General Classifier of Enterprises and organisations) code
11	INN (Taxpayer Identification Number)
12	Grounds effective date
13	Grounds code
14	Note on grounds
15	Vote percentage to total share number

For credit institutions submitting Reports formed at the TC's SHC to the Territorial Department of the Bank of Russia

An electronic data file is formed in a tab-separated text format. The file represents a sequence of lines, each of them describing several fields comprising part of a line in standard Form 0409051.

List of fields is given in Table 11.

Table 11

<b>ARR+application code:\$empty\$:</b>	Information according to Form 051, where Application code may have the following meanings: AFL_1 – Affiliated parties data AFL_11 – Grounds for parties affiliation <b>\$empty\$</b> – Notional (specifying) line code.
<b>AFL_1</b>	Affiliated party data
Line code	Line code equals value in column with code 1
Column codes	Column code may have the following meanings: a (Lat. Lower case letter) – change type from a set {1,2,3,4} 1 – Affiliated party code 2 – Entity type (1- legal entity, 2- individual) 31 – Abbreviated legal entity’s name/Individual’s name 32 – Full legal entity’s name/ Individual’s full name 4 – Legal entity’s location/Individual’s nationality 5 – Address 6 – Personal ID type (not to be filled in or must equal 0 for legal entity) from a set {1,2,3,4,5,0} 7 – OKPO (General Classifier of Enterprises and Organisations) code /Document series 8 – INN (Taxpayer Identification Number) code/Document number 12 – Votes percentage to total share number DATE_IZM – Date changes came into effect in DD-MM-YYYY format (not to be filled in where change type = 4)
<b>AFL_11</b>	Grounds for parties affiliation
Line code	Column 1 + ' ' (vertical line) + Column 10 + (where symbol 2 in Column 10 equals 2, then ' ' + Column 10, otherwise empty)
Column code	Column code may have the following meanings: 1 - Affiliated party code (From Application AFL_1) 9 – Grounds effective date (DD-MM-YYYY) 10 – Grounds code (acc. to regulatory legal acts of the Bank of Russia) 11 – Notes (for grounds A2 code must be filled in by group number from application AFL_21)

**III. Formats of Electronic Documents for Submission of Reports by Non-Credit Institutions that are Professional Securities Market Participants to Moscow Exchange:**

1. Information about affiliated persons/entities of professional participant (Form 0420402);

2. Information about affiliated persons/entities, belonging to the same group with the participant (Form 0420403);
3. Information on participation in legal proceedings where the professional participant is a defendant (Form 0420408);
4. Balance sheet (Form 0420410);
5. Statement of financial results (Form 0420411);
6. Information on the largest debtors and creditors of professional participant (Form 0420412);
7. Report on securities (Form 0420415);
8. Information about portfolio investments in securities issued by non-residents (Form 0420416);
9. Report on OTC trades (Form 0420417);
10. Information on performance of brokerage, depositary and security management activity (Form 0420418);
11. Statement of the flow of foreign assets and liabilities of the professional participant in relation to non-residents if the latter and the non-residents have a direct investment relationship (Form 0420421);
12. Calculation of equity (capital).

The electronic data files are generated in form of an XML document meeting the international specification XML 1.0 Specification of the World Wide Web Consortium. This file represents a set of elements describing values of parameters of the relevant forms.

#### **IV. Formats of Electronic Documents for Submission of Reports by Non-Credit Institutions other than Professional Securities Market Participants to Moscow Exchange:**

1. Balance sheet (Form 0710001);
2. Statement of financial results (Form 0710002).

The electronic data file is generated in form of an XML document meeting the international specification XML 1.0 Specification of the World Wide Web Consortium. This file represents a set of elements describing values of parameters of standard forms: Form 0710001 and Form 0710002

List of elements and parameters in the Form is given in Table 12.

Table 12

<b>Element</b>	<b>Description</b>
<QuartalReport>	Describes element group
<QRP_version>	Software version number
<REGDATA>	Describes element group of organisation's details
<BALANS>	Describes element group in Form No. 0710001
<OTCH_PU>	Describes element group in Form No. 0710002
<SOB_SREDSTVA>	Describes element group in Equity (Capital) Calculation Form
<AKTIVY>	Describes element group of the net asset value calculation form
<row>	Describes element group
<code>	Describes parameter name
<val1>	Describes parameter value



<val2>	Describes parameter value
<val3>	Describes parameter value
<val4>	Describes parameter value

**V. Format of Electronic Documents for Submission of Reports by Non-Resident Banks to Moscow Exchange**

1. Form of Appendix No. 3 KEY PERFORMANCE INDICATORS OF NON-RESIDENT BANK

The electronic data file is generated in text format with tabulation separators in accordance with the relevant form.

## APPENDIX No. 3

**KEY PERFORMANCE INDICATORS  
TRADING MEMBER – NON-RESIDENT BANK  
FOR THE YEAR \_\_\_\_\_**

(reporting quarter of the year)

(Units of measure)

	<b>Indicators</b>	<b>dd.mm.yyyy</b>
<b>1.</b>	<b>Total assets:</b>	
1.1.	Cash and balances in correspondent accounts with financial institutions (including central banks)	
1.2.	Deposits and other funds with financial institutions	
1.3.	Investment in securities (except for promissory notes)	
1.3.1.	Including investment in government liabilities	
1.4.	Loans and other funds with non-financial institutions	
	- overdue debt share (in %)	
	- provisions (in %)	
1.4.1.	Including loans to legal entities	
	- overdue debt share (in %)	
1.4.2.	Loans to individuals	
	- overdue debt share (in %)	
1.5.	Other assets	
<b>2.</b>	<b>Total liabilities, including:</b>	
2.1.	Funds in accounts and loans and deposits from other banks	
2.2.	Funds in accounts of legal entities (including deposits)	
2.3.	Funds in accounts of physical persons (including deposits)	
2.4.	Debt securities issued	
2.5.	Share of demand funds in liabilities (in %)	
3.	Equity (capital)	
4.	Profit (loss) (current year)	
5.	Return on assets (ROA)	
6.	Return on equity (ROE)	
7.	Cost-to-income ratio (CIR) (ratio of operating expenses versus operating income)	

(Position of the organisation's leader) \_\_\_\_\_ / Full name /

Seal

\_\_\_\_\_, 20\_\_

Drafted by, full name, telephone \_\_\_\_\_