

Please find attached:

- Procedure for submission of information and reports by the Clearing Members to the National Clearing Centre

Approved by
the Board of
Bank National Clearing Centre
(Joint-Stock Company)
June 17, 2015 (Minutes No.22)

**PROCEDURE
FOR SUBMISSION OF INFORMATION AND REPORTS BY CLEARING MEMBERS
to BANK NATIONAL CLEARING CENTRE
(JOINT-STOCK COMPANY)**

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SECTION I. General provisions

1.1. This Procedure for Submission of Information and Reports by Clearing Members to Bank National Clearing Centre (Joint-stock company) (hereinafter – the Procedure) is developed in accordance with the requirements of the regulatory acts of the Russian Federation, the Bank of Russia, and internal documents of Bank National Clearing Centre (Joint-stock company) (hereinafter – the Clearing Centre), including the documents determining the rules for clearing activity (hereinafter – the Clearing Rules).

1.2. This Procedure determines the information and reports to be submitted by Clearing Members, as well as the format and deadlines for such information and reports. It outlines the requirements which apply to electronic document interchange and electronic documents pursuant to the Electronic Document Management Procedure (hereinafter – EDM Procedure).

1.3. Terms not specifically described in the Procedure are used in the meanings stipulated by the Clearing Rules.

1.4. Clearing Members submit information and reports for the following purposes:

1.4.1. Formation and updating of the database containing information on Clearing Members;

1.4.2. Monitoring and supervision over Clearing Members, including compliance thereof with the requirements for their financial condition which are set out in the Clearing Rules and other internal documents of the Clearing Centre.

1.5. All Appendices hereto form an integral part hereof.

1.6. This Procedure, as well as any amendments and supplements hereto, approved by the Clearing Centre becomes effective on the date stipulated by its resolution.

1.7. Information on approval of this Procedure (amendments and supplements hereto) and its/their effective date, as well as the text of the Procedure (amendments and supplements hereto), is published on the Clearing Centre's website at www.nkcbank.ru no later than 5 (five) days prior to the effective date of the Procedure (amendments and supplements hereto), unless otherwise provided for by decision of the Clearing Centre.

SECTION II. Contents of the information and reports to be submitted by Clearing Members

2.1. Reports presented by Clearing Members pursuant to this Procedure include:

- reports produced by credit institutions, as per the forms 0409051, 0409101, 0409102, 0409123, 0409135, pursuant to the Instruction of the RF Central Bank dated November 12, 2009 No. 2332-U "On List, Forms and Procedure for Compiling and Submitting Reporting Forms of Credit Institutions to the Central Bank of the Russian Federation," as well as the reference information about numerical value of the maximum risk per borrower or group of interrelated borrowers (N6) (according to the form 0409118);
- reports produced by non-credit institutions being professional securities market participants, as per the forms 0420402, 0420403, 0420408, 0420410, 0420411, 0420412, 0420415, 0420416, 0420417, 0420418, 0420421, pursuant to the Instruction of the RF Central Bank dated January 15, 2015 No. 3533-U "On Deadlines and Procedure for Compiling and Submitting Reports by professional securities market participants to the Central Bank of the Russian Federation"; calculation of equity according to the Form established by the Order of the FSFR of Russia dated October 23, 2008 No. 08-41/pz-n;
- reports produced by non-credit institutions not being professional securities market participants, as per the forms 0710001, 0710002, pursuant to the Order of the RF Ministry of Finance dated July 02, 2010 No. 66n "On Forms of Accounting Reporting by Institutions";
- reports produced by State Corporations and International Organizations, as per the forms 0409101, 0409102, 0409123, pursuant to the Instruction of the RF Central Bank dated November 12, 2009 No. 2332-U "On List, Forms and Procedure for Compiling and Submitting Reporting Forms of Credit Institutions to the Central Bank of the Russian Federation";
 - reports produced by non-resident banks and non-credit non-resident companies, as well as EurAsEc/EAEU banks (hereinafter – Non-Residents), including:
 - IFRS financial statements in Russian or 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;
 - major performance indicators for a Non-Resident [according to the forms of the Appendix No. 3 (for EurAsEc/EAEU banks) and Appendix No. 4 (for Non-Resident Banks and Non-credit non-resident institutions) to the Procedure];
 - document confirming information about actual and permissible values of mandatory ratios 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's incorporation;
 - IFRS financial statements in Russian or 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's incorporation.

Reports of credit institutions, reports of non-credit institutions, reports of State Corporations and International Organizations, and reports of Non-Residents contemplated in this clause of the Procedure are hereinafter jointly referred to as the Reports.

2.2. Information to be submitted by Clearing Members in accordance with this Procedure includes the Questionnaire of the Clearing Member (client) (Registration Card) (hereinafter – the Registration Card) contemplated by the Appendix No.1 hereto.

2.3. The Clearing Centre is entitled to request from Clearing Member additional information about its activity and/or additional reporting forms.

2.4. Information and reports shall be kept for at least five years after termination of obligations between the Clearing Centre and the Clearing Member.

2.5. Clearing Members shall ensure that the information and reports they submit are up-to-date and accurate.

SECTION III. Periodicity and deadlines for submission of the information and reports by Clearing Members

3.1. Reports produced by credit institutions:

- turnover balance sheet of a credit institution (form 0409101) – monthly;
- statement of financial results (form 0409102) – quarterly;
- calculation of equity (capital) (Basel III) (Form 0409123) – monthly;
- information on mandatory norms (form 0409135) – monthly;
- reference information about numerical value of the maximum risk per borrower or group of interrelated borrowers (N6) (according to the form 0409118) – monthly;
- list of affiliated persons and entities (form 0409051)¹ - quarterly.

Credit institutions shall submit reports no later than on the 15th (fifteenth) business day of the month following the reporting month or reporting quarter.

3.2. Reports produced by non-credit institutions being 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)², 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)³, information on affiliates of the professional participant (form 0420402)⁴, information on affiliates belonging to the same group with the professional participant (form 0420403)⁵ – quarterly;
- calculation of equity (capital), information on participation in legal proceedings where the professional participant is a defendant (form 0420408)⁶, report on securities (form 0420415), report on OTC trades (form 0420417)⁷, information on performance of brokerage, depositary and security management activity (form 0420418) – monthly.

¹ On the date of submission of the Report, the information contained therein shall conform to the latest information about the affiliated persons/entities, submitted to the Bank of Russia.

² 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 of the RF Central Bank 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."

³ 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 of the RF Central Bank 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."

^{4,5} On the date of submission of the Report, the information contained therein shall conform to the latest information about the affiliated persons/entities, submitted to the Bank of Russia.

⁶ On the date of submission of the Report, the information contained therein shall conform to the latest information about participation in legal proceedings where the professional participant was a defendant, submitted to the Bank of Russia.

⁷ 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.

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.

3.3. Reports produced by non-credit institutions not being professional securities market participants:

- balance sheet (form 0710001) - annually;
- statement of financial results (form 0710002) – annually;

The reports of non-credit institutions not being professional securities market participants shall be submitted no later than on 15th (fifteenth) of April of the year following the reporting year.

3.4. Reports produced by State Corporations and International Organizations:

- turnover balance sheet of a credit institution (form 0409101) – monthly;
- statement of financial results (form 0409102) – quarterly;
- calculation of equity (capital) (Basel III) (form 0409123) – monthly;

State Corporations and International Organizations shall submit reports no later than on the 15th (fifteenth) business day of the month following the reporting month or reporting quarter.

3.5. Reports produced by Non-Residents:

- 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 - quarterly;
- major performance indicators for a Non-Resident [according to the forms of the Appendix No. 3 (for EurAsEc/EAEU banks) and Appendix No. 4 (for Non-Resident Banks and Non-credit non-resident institutions) to the Procedure] - 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's incorporation – 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's incorporation - annually.

Non-Residents shall submit the reports no later than on the 15th (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's incorporation as the date for submission of quarterly reports, respectively (if the report submission deadlines are set by the competent body of the state of the Non-Resident'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's incorporation, shall be submitted no later than on the 15th (fifteenth) business day from the date on which such statements were signed by the auditor.

3.6. Information (Registration Card) shall be submitted by Clearing Members on an annual basis within the time period from the first business day of the calendar year through January 31 and must be up-to-date as of the date of submission.

In case of any changes in the information specified in the Registration Card, Clearing Member shall notify the Clearing Centre about such changes within 5 (five) business days from the day on which they take place, in form of submission of the Registration Card which is up-to-date as of the specified date, in

accordance with requirements of the section IV hereof. Documents confirming the said changes shall be submitted to the Clearing Centre in accordance with the Clearing Rules.

If necessary, the Clearing Centre may request Clearing Member to submit the Registration Card at any time. In this case, the Registration Card shall be submitted within the time period specified in the request, and if no such time period has been specified – within 10 (ten) business days from the date when such request was received.

3.7. The date of submission of the information and reports by Clearing Member is deemed the date on which such information and reports are received by the Clearing Centre, provided that they meet the requirements to the contents, form and format stipulated herein.

SECTION IV. Procedure for compiling and submission of the information and reports

4.1. Information and reports to be submitted by Clearing Members pursuant to this Procedure shall be compiled taking into account the following requirements:

4.1.1. Reports by credit institutions, State Corporations and International Organizations shall be prepared as follows:

- reports compiled in accordance with the forms 0409051, 0409101, 0409102, 0409123, 0409135 are presented in the format corresponding to the format of the files generated in KLIKO (software provided by MGTU of the RF Central Bank) or PTK PSD (software provided by TU of the RF Central Bank);
- reports compiled in accordance with the form 0409118 - reference information about numerical value of the maximum risk per borrower or group of interrelated borrowers (N6) are presented in form of an XML file generated in ARFA software.

4.1.2. Reports by non-credit institutions being professional securities market participants shall be prepared as follows:

- 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 generated in PROFY software.

4.1.3. Reports by non-credit institutions not being professional securities market participants shall be prepared as follows:

- Reports compiled in accordance with the forms 0710001, 0710002 are provided in form of an XML file generated in PROFY software or in form of an XML exchange file generated for the purpose of electronic submission of the company's accounting data to the tax authorities;

4.1.4. Reports by Non-Residents shall be prepared as follows:

- IFRS financial statements; 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's incorporation;
- Major performance indicators for a Non-Resident for the reporting quarter according to the forms of the Appendix No. 3 (text format with tabulation separators) and Appendix No. 4 (XLS format) to the Procedure.

4.1.5. The Registration Card is submitted in form of an XML file generated in the Registration Card software.

4.2. The Registration Card and reports are submitted by Clearing Members to the Clearing Centre in the form of electronic documents in an appropriate format.

4.3. The Registration Card and reports are submitted in form of electronic documents by Clearing Member being the participant of the EDM NCC Subsystem taking into account the following requirements:

4.3.1. In case of submission of the Registration Card or reports in form of electronic document, all files contained in such electronic document must be included in the electronic document in the same form in which they were generated in the formation software pursuant to the par. 4.1 hereof. The electronic document must be signed by Clearing Member in accordance with the order stipulated in the EDM Procedure.

4.3.2. The Registration Card and reports submitted to the Clearing Centre in the form of electronic documents are included in the G document category pursuant to the EDM Procedure.

4.3.3. The formats of electronic documents used for submission of the reports in accordance with the par. 4.1 hereof are described in the Appendix No. 2 hereto.

4.3.4. The Registration Card and reports are submitted by Clearing Members in the form of electronic documents via e-mail.

4.3.5. Following the results of submission of electronic documents by Clearing Member, the following electronic messages are sent to the latter via e-mail:

- 1) A notification of the electronic document receipt as a result of the delivery of the message with the reports attached;
- 2) A statement on the report processing result;
- 3) A notification of the electronic document receipt containing the Registration Card.

4.3.6. The information and reports received by the Clearing Centre in the form of electronic documents are recorded and stored pursuant to the EDM Procedure. The Clearing Centre ensures keeping of an electronic register of electronic documents received from Clearing Member, as well as storage of the electronic documents in an electronic repository.

4.4. Clearing Members which have branches shall submit consolidated reports comprising data on a Trading Participant and its branches thereof compiled in compliance with the requirements of the regulations issued by the Bank of Russia, legislation of the Russian Federation governing issuance of consolidated reports, and requirements stipulated herein.

4.5. The Registration Card and reports submitted by Clearing Members shall be processed within the time period not exceeding 3 (three) business days from the date of receipt of the said documents from Clearing Member.

4.6. If Clearing Member submits the Registration Card and/or reports that do not meet the requirements of the Clearing Rules and/or this Procedure, the Clearing Centre shall, within the time period not exceeding 3 (three) business days from the date of processing of the documents received, notify the Clearing Member about the need to remedy violation of the requirements of this Procedure by sending an electronic message to the Clearing Member.

4.7. Clearing Member's obligation to present the reports specified in this Procedure, and the Questionnaire of the Clearing Member (client) (Registration Card) is deemed fulfilled upon submission by the Clearing Member of the said documents, provided that they meet the requirements as to their contents, form and format, set by the Clearing Rules and/or the Procedure.

SECTION V. Final provisions

5.1. Clearing Members bear liability for inaccuracy of the information and data they present as part of information and reports, as well as for the deadlines violation, in accordance with the legislation of the Russian Federation, regulations of the Bank of Russia, the Clearing Rules, this Procedure, and other internal documents of the Clearing Centre.

5.2. The sanctions applicable to Clearing Members failing to submit the information and reports or meet the deadlines provided hereby are set forth by the Clearing Rules and other internal documents of the Clearing Centre.

APPENDIX No. 1
to the Procedure for Submission of Information and
Reports by Clearing Members to Bank National
Clearing Centre (Joint-Stock Company)

Form of **QUESTIONNAIRE OF CLEARING MEMBER (CLIENT)**
(REGISTRATION CARD)

1.	Company's full name (according to the Articles)	
2.	Company's short name (according to the Articles)	
3.	Company's full name in a foreign language (according to the Articles; if not available – as used in practice)	
4.	Company's short name in a foreign language (according to the Articles; if not available – as used in practice)	
5.	Form of incorporation	
6.	Form Codes of the Federal State Statistics Assembly:	
6.1.	OKPO	
6.2.	OKVED	
6.3.	OKOGU	
6.4.	OKFS	
6.5.	OKOPF	
6.6.	OKATO	
6.7.	OKTMO	
7.	Information about state registration: date, number, date of EGRUL entry, name of registration body, place of registration, series and number of the document confirming state registration	
8.	INN (or, in case of non-resident – foreign company code)	
	KPP	
	KPP 2 (to be indicated by major taxpayers, if available)	
9.	BIC	
10.	SWIFT	
11.	Location according to the Articles	
12.	Actual address	

13.	Postal address (for correspondence)	
14.	Phone number	
15.	Fax	
16.	E-mail	
17.	Web address	
18.	Information about company's management bodies (structure and the list of members)	
19.	Information about beneficial owners (indicating the evidence that such individual is a beneficial owner)	
20.	Possession of the client or control of the client is exercised through third parties	
21.	Confirmation of possession of the client or control of the client through third parties	
22.	Letter on impossibility of submission of supporting documents, containing reference to publicly available source of information	
23.	Information about registered and paid-up authorized (share) capital or authorized fund value, property value	
24.	Information about presence or absence at the company's location, its permanent management body, other body or person authorized to act on behalf of the company without power of attorney	
25.	Number of branches	
26.	In case of a regional company – Moscow branch (representative office) ¹ :	
	Postal address	
	Phone number	
	Full name of Head	
	Title of Head	
27.	Licenses to conduct professional activity (number, issuing authority, date of issue with specification of activity types, license expiry date):	
27.1.	To conduct banking operations	
27.2.	Licenses of professional securities market participant:	
	Brokerage	

	Dealership	
	Securities Management	
	Depositary	
27.3.	License to conduct brokerage activity related to conclude contracts on exchange commodity-backed financial derivatives with commodity basic asset	
27.4.	To conduct licensed activity not specified in the par 27.1 to 27.3.	
28.	Sole executive body (hereinafter – Head of company):	
	Full name	
	Title	
	Document of appointment to the position (description, date, reference number)	
	Information about status of the Head of company	
28.1.	Details of valid qualification certificates of the Head of company:	
	Date and number of resolution minutes by Examination Commission	
	Date and number of resolution minutes by Certification Commission	
	Qualification Certificate series and number	
	Qualification assigned	
29.	Company's controller:	
	Full name	
	Title	
	Document of appointment to the position (description, date, reference number)	
29.1.	Details of valid qualification certificates of the company's controller:	
	Date and number of the resolution minutes by Examination Commission	
	Date and number of the resolution minutes by Certification Commission	
	Qualification Certificate series and number	

	Qualification assigned	
30.	Information on presence (absence) of accounts opened with banks of the countries (territories), known as not complying with generally accepted standards for anti-money laundering and countering terrorism financing (hereinafter - AML/CFT), or which are countries (territories) with increased level of corruption (in case of "presence," such countries shall be listed).	
31.	Information on presence (absence) of accounts opened with banks of the countries (territories) providing preferential tax treatment and (or) not permitting disclosure and submission of information on financial operations (offshore jurisdictions) (in case of "presence," such countries shall be listed)	
32.	Information on presence (absence) of accounts opened with banks of the countries or territories, known from international sources as countries with illegal production or transit of narcotic substances, and of the countries or territories permitting free turnover of narcotics (except for the countries or territories where narcotics are used solely for medical purposes) (in case of "presence," such countries shall be listed).	
33.	Information on presence (absence) of accounts opened for "shell banks" ("shell bank" is a bank registered under the jurisdiction of the country where this bank has no representative office). If there are any accounts opened for "shell banks," their full names and account details shall be specified.	
34.	Employee in charge of AML/CFT: Full name Title Phone number E-mail	
35.	Employees in charge of operational issues: Full name Title Phone numbers E-mail	
36.	Information on beneficiaries: trade name, name, number and date of the relevant agreement ²	
37.	Information about activity for AML/CFT	
38.	Purpose and intended nature of business relationship to be established between Bank National Clearing Centre (Joint-	

	Stock Company) and the company	
39.	Objects of financial and economic activities of the company	
40.	Business reputation of the company	

Title

(Head of company or other authorized person)³

(Full name)

SEAL

Prepared by, tel.

(Full name and phone number of the person filling out the Registration Card)

1 To be completed by a regional company having a branch in Moscow.

2 If the applicant is not a company conducting operations using cash or other property specified in the Article 5 of the Federal Law "On combating legalization (money laundering) of criminal income and financing of terrorism," or is not a resident bank of the foreign country – member of the Financial Action Task Force on money laundering (FATF), having ratings assigned by the international rating agency (for reference: Moody's Investors Service, Standard & Poor's or Fitch Ratings) or included in the international banking handbook Bankers Almanac (publishing house Reed Business Information, UK) of any issue published not earlier than on the calendar year preceding to the operation), or in the list (register) of active banks of the relevant foreign country – then, along with the Questionnaire of the Clearing Member (Client) (Registration Card), it shall submit a notarized copy of the relevant agreement and the completed questionnaire of a beneficiary (questionnaire of a beneficiary can be obtained from Bank National Clearing Centre (Joint-Stock Company).

3 If the person signing the Questionnaire of the Clearing Member (client) (Registration Card) acts on the basis of a power of attorney, a notarized copy of such power of attorney shall be attached thereto to confirm the right of such person to sign the Questionnaire.

APPENDIX No. 2
to the Procedure for Submission of Information and
Reports by Clearing Members to Bank National
Clearing Centre (Joint-Stock Company)

FORMATS OF ELECTRONIC DOCUMENTS FOR SUBMISSION OF INFORMATION AND REPORTS

I. Format of electronic document for submission of the Registration Card of Clearing Member to Bank National Clearing Centre

The electronic data file is generated in XML document form and meets the international specification XML 1.0 Specification of the World Wide Web Consortium. This file outlines parameters for the Registration Card.

II. Formats of electronic documents for submission of reports by credit institutions to Bank National Clearing Centre (Joint-Stock Company):

1. Turnover Balance Sheet
(form 0409101)

For credit institutions submitting reports to MGTU of the RF Central Bank

The electronic data file (type - REGN*.K31) is generated in text format. This file consists of the lines representing a sequence of symbols separated by commas, each of which describes several fields constituting one of the lines of the standard form 0409101.

The list of fields is provided in the Table 1.

Table 1

Field number	Description
1	Account number
2	Account symbol
3	Opening balance in rubles
4	Opening balance (foreign currency, precious metals)
5	Opening balance, total
6	Debit turnover, in rubles
7	Debit turnover (foreign currency, precious metals)
8	Debit turnover, total
9	Credit turnover, in rubles
10	Credit turnover (foreign currency, precious metals)
11	Credit turnover, total

12	Closing balance, in rubles
13	Closing balance (foreign currency, precious metals)
14	Closing balance, total

For credit institutions submitting reports to TU of the RF Central Bank, generated in PTK PSD

The electronic data file is generated in text format with tabulation separators. This file constitutes a sequence of lines, each of which describes several fields constituting a part of a certain line of the standard form 0409101.

The list of fields is provided in the Table 2.

Table 2

Description
BIC
Reporting date
Form identifier
Account number
Additional parameter / Parameter for account/form (in this form)
Value for certain parameter for certain account

2. Statement of Financial Results (form 0409102)

For credit institutions submitting reports to MGTU of the RF Central Bank

The electronic data file (type - REGN*.KG1) is generated in text format. This file consists of the lines representing a sequence of symbols separated by commas, each of which describes several fields constituting one of the lines of the standard form 0409102.

The list of fields is provided in the Table 3.

Table 3

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

For credit institutions submitting reports to TU of the RF Central Bank, generated in PTK PSD

The electronic data file is generated in text format with tabulation separators. This file constitutes a sequence of lines, each of which describes several fields constituting a part of a certain line of the standard form 0409102.

The list of fields is provided in the Table 4.

Table 4

Description
BIC
Reporting date
Form identifier
Symbol number
Additional parameter / Amount type for symbol (in this form)
Value for certain amount type for certain symbol

3. Calculation of Equity (Capital) (Basel III) (form 0409123).

For credit institutions submitting reports to MGTU of the RF Central Bank.

The electronic data file (type - REGN*.KA1) is generated in text format. This file consists of the lines representing a sequence of symbols separated by commas, each of which describes several fields of one of the lines of the standard form 0409123.

The list of fields is provided in the Table 5.

Table 5

Description
Line number
Balance as of the reporting date

For credit institutions submitting reports to TU of the RF Central Bank, generated in PTK PSD

The electronic data file is generated in text format with tabulation separators. This file constitutes a sequence of lines, each of which describes several fields of a certain line of the standard form 0409123.

The list of fields is provided in the Table 6.

Table 6

Description
BIC

Reporting date
Form identifier
Line number
Additional parameter
Balance as of the reporting date

4. Information on Mandatory Ratios (form 0409135)

For credit institutions submitting reports to MGTU of the RF Central Bank

The electronic data file (type - REGN*.KF1) is generated in text format. This file consists of the lines representing a sequence of symbols separated by commas, each of which describes several fields of one of the lines of the standard form 0409135.

The list of fields of the form (sections 1, 2b) is provided in the Table 7.

Table 7

Description
Designation code
Sum

The list of fields of the form (sections 2, 2a) is provided in the Table 7a.

Table 7a

Description
Item description
Value of indicator/ratio (in fractions)

For credit institutions submitting reports to TU of the RF Central Bank, generated in PTK PSD

Electronic data files are generated in text format with tabulation separators. These files constitute sequences of lines, each of which describes several fields of a certain line of the standard form 0409135 (sections 1 and 2b in the first file and sections 2 and 2a in the second file).

The list of fields of the form (sections 1, 26) is provided in the Table 8.

Table 8

Description
BIC
Reporting date
Form identifier

Interpretation code
Interpretation parameter
Value of parameter for certain interpretation

The list of fields of the form (sections 2, 2a) is provided in the Table 8a.

Table 8a

Description
BIC
Reporting date
Item description
Item parameter
Value of parameter for a given indicator/ratio (in percent)

5. Reference Information about Numerical Value of the Maximum Risk per Borrower or Group of Interrelated Borrowers (N6) (According to the form 0409118).

The electronic data file is generated in XML document form and meets the international specification XML 1.0 Specification of the World Wide Web Consortium. This file outlines parameters regarding Reference information about the numerical value of the maximum risk per borrower or group of interrelated borrowers (N6).

The list of form elements is provided in the 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 assigned by the RF Central Bank
< regcode >	Trading participant number
<repdate>	Reporting date
<ftype>	Form type

<fname>	Form name
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The list of form parameters is provided in the Table 9a.

Table 9a

Parameter	Description
kapital	Capital value
krz	Krz value
h6	H6 value

6. List of Affiliated Persons and Entities (form 0409051)

For credit institutions submitting reports to MGTU of the RF Central Bank

The electronic data file (type - REGN*.KH*) is generated in text format. This file consists of lines representing a sequence of symbols separated by commas, each of which describes several fields constituting one of the lines of the standard form 0409051.

The list of fields is provided in the Table 10.

Table 10

Field number	Description
1	Type of changes
2	Reporting date
3	Individual code of affiliated person/entity
4	Type of person/entity
5	Full name
6	Short name
7	Registered office
8	Postal address
9	Code of document of a private individual
10	OKPO code
11	INN
12	Effective date of the legal basis
13	Code of the legal basis

14	Notes to the legal basis
15	Percentage of votes in the total quantity of shares

For credit institutions submitting reports to TU of the RF Central Bank, generated in PTK PSD

The electronic data file is generated in text format with tabulation separators. This file constitutes a sequence of lines, each of which describes several fields constituting a part of a certain line of the standard form 0409051.

The list of fields is provided in the Table 11.

Table 11

ARR+application code:\$empty\$:	Information on form 051, where Application code may have the following values: AFL_1 – Information about affiliated persons AFL_11 – Legal basis for affiliation \$empty\$ – Conventional (adjusting) line code.
AFL_1	Information about affiliated persons/entities
Line code	Line code equals value in the column with the code 1
Column codes	A column code may have the following value: a (Lat., lowercase) – type of changes from the set {1,2,3,4} 1 – code of affiliated person/entity; 2- Type of person/entity (1 – Legal entity, 2 – Private individual) 31 – Short name of legal entity/Surname of private individual 32 – Full name of legal entity/Name and patronymic of private individual 4 – Legal entity’s location / citizenship of private individual 5- Address 6 – type of identity certificate (must be either not filled or equal 0 for legal entity) from the set {1,2,3,4,5,0} 7 – OKPO code/Document series 8 – INN code/Document number 12 - Percentage of votes in the total quantity of shares

	DATE_Izm – Effective date of changes in the format DD-MM-YYYY (not filled if the type of changes = 4)
AFL_11	Basis for affiliation of persons/entities
Line code	column 1 + ' ' (vertical line) + column 10 + (if the 2 nd symbol in the column 10 equals 2, then ' ' + column 10, otherwise it has to be empty)
Column codes	A column code may have the following values: 1 – code of affiliated person/entity (from the application AFL_1) 9 - Effective date of the legal basis (DD-MM-YYYY) 10 – Code of legal basis (pursuant to the regulations of the Bank of Russia) 11 – Notes (for the A2 legal basis code, the number of the group from the application AFL_21 must be inserted)

III. Formats of electronic documents for submission of reports by non-credit institutions being professional securities market participants, to Bank National Clearing Centre (Joint-Stock Company):

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, depository 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 XML document form and meet the international specification XML 1.0 Specification of the World Wide Web Consortium. This file describes values of parameters of the relevant forms.

IV. Formats of electronic documents for submission of reports by non-credit institutions not being professional securities market participants, to Bank National Clearing Centre (Joint-Stock Company):

1. Balance sheet (form no. 1), 2. Statement of financial results (form no. 2).

The electronic data file is generated in XML document form and meets the international specification XML 1.0 Specification of the World Wide Web Consortium. This file describes values of parameters of standard forms: form no.1 and form no.2.

The list of elements and form parameters is provided in the Table 7.

Table 7

Element	Description
<QuartalReport>	Describes element group
<QRP_version>	Software version number
<REGDATA>	Describes element group related to the institution's details
<BALANS>	Describes element group of the form no.1
<OTCH_PU>	Describes element group of the form no.2
<SOB_SREDSTVA>	Describes element group of the calculation of equity (capital) 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. Formats of electronic documents for submission of reports by Non-Residents to Bank National Clearing Centre (Joint-Stock Company):

1. Form of the Appendix No. 3 MAJOR PERFORMANCE INDICATORS OF EurAsEc BANK for the reporting quarter

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

2. Form of the Appendix No. 4 MAJOR PERFORMANCE INDICATORS OF NON-RESIDENT

The electronic data file is generated in MS Excel format in accordance with the relevant form.

APPENDIX No. 3
to the Procedure for Submission of Information and
Reports by Clearing Members to Bank National
Clearing Centre (Joint-Stock Company)MAJOR PERFORMANCE INDICATORS OF NON-RESIDENT (for EurAsEc/EAEU banks) FOR THE
PERIOD _____.

(reporting quarter of the year)

(measurement units)

	Indicators	DD.MM.YYYY
1.	Assets, total:	
1.1.	Cash and balances on correspondent accounts in financial institutions (including central banks)	
1.2	Deposits and other funds placed with financial institutions	
1.3.	Investments in securities (excepts bills of exchange)	
1.3.1.	including investments in government debt securities	
1.4.	Loans and other funds placed with non-financial institutions	
	- share of overdue debt (in %)	
	- formed reserve (in %)	
1.4.1.	including corporate loans	
	- share of overdue debt (in %)	
1.4.2.	including personal loans	
	- share of overdue debt (in %)	
1.5	Miscellaneous assets	
2.	Total liabilities, including:	
2.1	Account balances and loans and deposits received from other banks	
2.2.	Balances of corporate accounts (including deposits)	
2.3.	Balances of private accounts (including deposits)	
2.4.	Debentures issued	
3.	Equity (capital)	
4.	Profit (loss) (current year)	
5.	Return on assets (ROA)	
6.	Return on capital (ROE)	
7.	Cost-to-income ratio (CIR) (ratio of operating expenses versus operating income)	

(Title of the Head of company) _____/Full name/

SEAL

" ____ " _____ 20

APPENDIX No. 4
to the Procedure for Submission of Information and
Reports by Clearing Members to Bank National
Clearing Centre (Joint-stock company)

MAJOR PERFORMANCE INDICATORS OF NON-RESIDENT

as of _____

mln USD

	Indicators	DD.MM.YYYY
1.	Total assets/Total property value	
1.1.	Cash and cash equivalents	
1.2.	Due from banks and other financial institutions	
1.3.	Loans	
1.3.1.	Non-performing loans (NPL)	
1.4.	Securities	
1.5.	Derivatives	
1.6.	Other assets	
2.	Total liabilities	
2.1.	Due to banks (Loro accounts /balances of correspondent accounts with banks)	
2.2.	Deposits	
2.3.	Securities	
2.4.	Derivatives	
2.5.	Other liabilities	
3.	Total equity	
3.1.	Shareholders' equity	
3.2.	Subordinated loans	
3.2.	Retained earnings	
3.3.	Contingency reserves	
4.	Total revenue	
5.	Net profit/Loss	
6.	Total capital ratio (%)	
7.	Cost-to-income ratio (%) (ratio of operating expenses versus operating income)	

Company representative _____

Date of completion DD.MM.YYYY