

To correspondent
organisations/counterparties

On anti-money laundering measures and
measures to counter the financing of
terrorism and the financing of proliferation
of weapons of mass destruction

____ 09 APR 2021 REF № ____ 01-09/447

Your REF № _____ dated _____

Dear colleagues,

Central Counterparty National Clearing Centre (CCP NCC) hereby notifies you that pursuant to Russian Federal Law 115-FZ *On Countering the Legalisation (Laundering) of Criminally Obtained Incomes and the Financing of Terrorism* (hereinafter, Russian Federal Law 115-FZ) CCP NCC implements anti-money laundering measures and measures to counter the financing of terrorism and the financing of proliferation of weapons of mass destruction (AML/CFT/FPWMD).

In particular, CCP NCC:

- has in place approved the Internal Control Rules for Countering Money Laundering, Financing of Terrorism and the Financing of Proliferation of Weapons of Mass Destruction (hereinafter, the Internal Control Rules);
- has in place an AML/CFT/FPWMD unit led by a designated official responsible for the Internal Control Rules implementation (the responsible officer);
- identifies clients, their representatives and beneficiaries, and takes reasonable and available under the circumstances measures to identify the beneficial owners and to verify their identity as prescribed by the legislation;
- applies measures to freeze (block) cash or other assets, refuses to execute a client's transaction order for reasons stipulated by Russian Federal Law 115-FZ and Internal Control Rules, and complies with other Russian law and Bank of Russia AML/CFT/FPWMD regulations;
- obeys the ban imposed by Article 4 of Russian Federal Law 115-FZ on informing clients and other persons about AML/CFT/FPWMD measures taken, except for informing clients about the measures taken to freeze (block) cash or other assets, to suspend transactions, and about refusing to execute clients' orders to execute transactions, about refusing to sign bank account (deposit) agreements, about termination of bank account (deposit) agreements and the reasons for the same, about the requirement to provide documents for the reasons as provided by law;
- observes requirements of Clause 5 Article 7 of Russian Federal Law 115-FZ while opening bank account (deposit) to CCP NCC clients.