Appendix 1

Approved by
the decision of CCP NCC
dated «15» March 2024
№ NCC-P-2024-36

**FORMS AND FORMATS OF THE DOCUMENTS AND REPORTS.
PART I. COMMON PART**

**Moscow
2024**

CONTENTS

1.　　General provisions

1.1.　　The Forms and formats of the documents and reports, providing by the Clearing Members, clients of the Clearing Members and other legal entities or individuals to NCC (hereinafter referred to as the Clearing House), as well as providing by the Clearing House to these persons, developed in accordance with the Clearing Rules of the Non-bank Credit Institution – the Central counterparty "National Clearing Center" (Joint Stock Company), approved by the authorized body of the Clearing House and registered by the Bank of Russia (hereinafter referred to as the Clearing Rules), taking into account the requirements of the legislation of the Russian Federation.

1.2.　　The Forms and formats of the documents and reports provided by the Clearing Members, clients of the Clearing Members and other legal entities and individuals to the Clearing House, as well as providing by the Clearing House to these persons, includes:

1) these «Forms and formats of the documents and reports. Part I. Common part» (hereinafter referred to as the Common part of the forms and formats of the documents and reports);

2) «The Forms and formats of the documents and reports on the Securities market, deposit market and credit market. Part II» (hereinafter referred to as the Special part of the forms and formats of the documents and reports);

3) «The Forms and formats of the documents and reports on the FX market and precious metals market. Part III» (hereinafter referred to as the Special part of the forms and formats of the documents and reports);

4) «The Forms and formats of the documents and reports on the Derivatives market. Part IV» (hereinafter referred to as the Special part of the forms and formats of the documents and reports);

5) «The Forms and formats of the documents and reports on the Commodities Market. Part V» hereinafter referred to as the Special part of the forms and formats of the documents and reports);

6) «The Forms and formats of the documents and reports on the Standardised derivatives market. Part VI » (hereinafter referred to as the Special part of the forms and formats of the documents and reports).

1.3.　　The Common part of the forms and formats of the documents and reports and each Special part of the forms and formats of the documents and reports establishes the forms and / or formats of electronic documents provided through EDI, the Clearing Terminal, or documents in paper form in accordance with the Clearing Rules and the EDI Procedure.

1.4.　　The formats of the documents defined by the Clearing Rules, but not included in this document, are provided to the Clearing House through the Clearing Terminal according to the formats stated by the document "Formats of electronic messages of the Clearing Terminal". In absence of established requirement to the form and format, the provision is possible in free form in the form of electronic document via EDI or in paper form.

1.5.   Terms used in the Common part of the forms and formats of the documents and reports and each Special part of the forms and formats of the documents and reports are used in the meanings defined by the Clearing Rules.

1.6.   The Clearing House notifies the Clearing Members about the effective date of the Common part of the forms and formats of the documents and reports and each Special part of the forms and formats of the documents and reports, as well as any changes and additions by disclosing the relevant information on the website of the Clearing House (www.nationalclearingcentre.ru), including the placement of the text of the document at least 5 (five) days before the date on which the document or such changes and additions come into force, unless different period and procedure for notification is stated by the decision of the Clearing House.

1.7.   For the purposes of this document, the term "Unicode" means single unique code assigned to the Trading Member/Clearing Member for the purpose of his identification when registering clients on different markets. Unicode is unique analytical code of the Trading Member/Clearing Member unifying information about all the identifiers of the Trading Member on the markets of the Moscow Exchange Group, to which such Trading Member is admitted, and/or the identifier of the Clearing Member.

2. The Forms (formats) of the documents, provided by the Clearing Members in the paper form or in the form of EDI document

2.1.   Application on granting admission to the clearing service

(on the Company's letterhead)

To CCP NCC

APPLICATION ON GRANTING ADMISSION TO THE CLEARING SERVICE

_____
(*full name of the Clearing Member*)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please grant admission to the clearing service on the following on-exchange markets:

□   Securities Market, Deposit Market and Credit Market with category _____
<div align="right">(«O» / «B»* / «B2»* / «C») choose what apply</div>

□   FX Market and Precious Metals Market with category _____
<div align="right">(«O» / «B»* / «B2»* / «C») choose what apply</div>

□   Derivatives Market with category _____
<div align="right">(«O» / «B»* / «B2»*) choose what apply</div>

□   Commodities Market with category _____
<div align="right">(«B» / «C») choose what apply</div>

□   Standardised Derivatives Market with category _____
<div align="right">(«B»* / «B2»*) choose what apply</div>

(Position of the Head)   _____ / Full name /

                                                                              seal

«____» _____ 20___

Prepared by full name, phone number _____

_____

*The Clearing Member who has been granted admission to the clearing services on one of the on-exchange markets with category «B» cannot be granted admission to the clearing services on another on-exchange market with category "B2" and vice versa. The category «B2» is not applicable on the Commodity Market.

2.2.   Application for termination of admission to the clearing service

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR TERMINATION OF ADMISSION TO THE CLEARING SERVICE

_____
(*full name of the Clearing Member*)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please terminate admission to the clearing service on the following on-exchange markets:

☐   Securities Market, Deposit Market and Credit Market

☐   FX Market and Precious Metals Market

☐   Derivatives Market

☐   Commodities Market

☐   Standardised Derivatives Market

(Position of the Head)   _____ / Full name /

                                                              seal

«____» _____ 20___

Prepared by full name, phone number _____

2.3.   Application for suspension of admission to the clearing service

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR SUSPENSION OF ADMISSION TO THE CLEARING SERVICE

_____
(*full name of the Clearing Member*)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please suspend admission to the clearing service from «____» _____ 20____ on the following on-exchange markets:

□ Securities Market, Deposit Market and Credit Market

□ FX Market and Precious Metals Market

□ Derivatives Market

□ Commodities Market

□ Standardised Derivatives Market

(Position of the Head)   _____ / Full name /

seal

«____» _____ 20___

Prepared by full name, phone number _____

2.4.   Application for renewing admission to the clearing service

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR RENEWING ADMISSION TO THE CLEARING SERVICE

_____
(*full name of the Clearing Member*)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please renew admission to the clearing service from «____» _____ 20____ on the following on-exchange markets:

□   Securities Market, Deposit Market and Credit Market

□   FX Market and Precious Metals Market

□   Derivatives Market

□   Commodities Market

□   Standardised Derivatives Market

(Position of the Head)   _____ / *Full name* /

seal

«____» _____ 20___

Prepared by full name, phone number _____

2.5.   Request for access to the Clearing Terminal

(on the Company's letterhead)

To CCP NCC

REQUEST FOR ACCESS TO THE CLEARING TERMINAL

_____
(*full name of the Clearing Member*)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please grant access to the Clearing Terminal for employees of the Clearing Member (hereinafter referred to as the User) by assigning the following access rights:

№	Full name of the User*	Name of EDI certificate/Identity document**	E-mail address***	Action in relation to the User	Role	Operations with using MOEX Trade/ MOEX Spectra		Limitations on the Settlement accounts (hereinafter referred to as SA)	
						Software and hardware complex	Terminal Login	Limitation	List of Settlement accounts
				□ Add □ Change □ Delete	□ Cash operations □ Clearing operations □ All operations □ Transfers inside NCC □ Teller	□ Securities Market		□ All SA are available □ Only indicated SA are available □ Delete the following SA from the available ones □ Add the following SA to the available ones	
						□ FX Market			
						□ Derivatives Market			

We hereby confirm that the owner of the Terminal Login is the relevant User.

Double control feature:**

  □   Double control is not required

□ Set / remove double control feature for the following groups of operations:

      □ only cash operations
      □ all operations

Add or change Users' data:

□ The application is provided instead of the previous one (only those Users who are specified in this application will have access).
or

□ The application is provided in addition to the previous applications (all changes will be made in relation to the Users specified in this application).

Contact details for operative communication:

    Name:
    Phone number, e-mail:

(Position of the Head)   _____ */ Full name /*

                                         seal

«____» _____ 20___

Prepared by full name, phone number _____

* Except for Users with Sponsored Market Access Logins

** Filling in the field is mandatory in case of connection via Internet to the Clearing system of the FX Market and/or Securities Market. The full name of the employee must coincide with the full name of the certificate owner. Power of Attorney confirming the authority of the certificate owner / person in respect of whom the identity document is submitted must be provided in respect of the certificate owner / person in respect of whom the identity document is submitted for signing electronic documents submitted to the NCC. The field is filled in in the format INN=____, OGRN=____, SNILS=____, T=____, CN=____, OU=____, O=___, L=____, ST=____, C=__. If the connection is made without using a certificate, then the field is filled in with the data of the person in respect of whom the identity document is submitted (series, number, date of issue)

*** E-mail, registered on passport.moex.com should be indicated

**** Double control feature is set on the Clearing Member. The feature can be set if at least two users are registered.

2.6.   Request for opening Settlement Account

(on the Company's letterhead)

To CCP NCC

REQUEST FOR OPENING SETTLEMENT ACCOUNT*

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

Please open the following Settlement Accounts for our company:

1. **on the Securities Market, Deposit Market and Credit Market** according to the table:

Settlement Accounts for recording cash funds and obligations of the Clearing Member	Number	
	Settlement Accounts[1]	Non-resident Settlement Accounts[1]
Settlement Account of the Clearing Member which is the Trading Member □ at the expense of funds of the Clearing Member □ at the expense of funds of the client □ at the expense of funds in trust management of the Clearing Member Identification data of the client[2] *(optional)* Name of the fund[3] *(optional)*:	—— —— ——	—— —— ——
Settlement Account for execution of trades on behalf of and in the interest of the Clearing Member (only for the Securities Market) □ at the expense of funds of the Clearing Member	___	___
Settlement Account of the Clearing Broker (only for the Securities Market) □ at the expense of funds of the client □ at the expense of funds in trust management of the Clearing Member Identification data of the client[2] *(optional)* Name of the fund[3] *(optional)*:	—— ——	—— ——

2. **on FX Market and Precious Metals Market** according to the table:

Settlement Accounts for recording cash funds and obligations of the Clearing Member:	Number of Settlement Accounts
Settlement Account of the Clearing Member which is the Trading	

Member □ at the expense of funds of the Clearing Member □ at the expense of funds of the client □ at the expense of funds in trust management of the Clearing Member Identification data of the client[2] *(optional)* Name of the fund[3] *(optional)*:	___ ___ ___
Settlement Account for execution of trades on behalf of and in the interest of the Clearing Member □ at the expense of funds of the Clearing Member	___
Settlement Account of the Clearing Broker □ at the expense of funds of the client □ at the expense of funds in trust management of the Clearing Member Identification data of the client[2] *(optional)* Name of the fund[3] *(optional)*:	___ ___

*On the basis of this request, the Clearing House also opens the Trade Account of the Clearing Member on the FX Market and Precious Metals Market.

(Position of the Head)   _____/Full name/

                                                seal

«____» _____ 20___

Prepared by full name, phone number _____

[1] It is not allowed to open **Settlement Accounts** (residents) for recording obligations of the Clearing Member, which is non-resident and Collateral under such obligations, and also for recording obligations of any Clearing Member under trades executed in the interest of and (or) at the expense of the person which is non-resident and Collateral under such obligations.

It is not allowed to open **Non-resident Settlement Accounts** for recording obligations of the Clearing Member, which is resident and Collateral under such obligations, excluding obligations of such Clearing Member under trades executed in the interest of and (or) at the expense of the person which is non-resident and Collateral under such obligations.

[2] The field "Identification data of the client" is not mandatory and is filled in in accordance with the requirements imposed by the Exchange when registering clients of the Trading Members. In case of registration of the client, which is the client of the broker, the identification data of both the end client and the client which is the broker are indicated.

[3] The length of the name should be no more than 100 symbols.

2.7. Request for changing Settlement Account (in the part of changing Settlement Account for the fees withdrawal)

(on the Company's letterhead)

To CCP NCC

REQUEST FOR CHANGING SETTLEMENT ACCOUNT (IN THE PART OF CHANGING SETTLEMENT ACCOUNT FOR THE FEES WITHDRAWAL)

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please set the following correspondence between the Settlement Account of the Clearing Member and the Settlement Account for the fees withdrawal:

Settlement Account	Settlement Account for the fees withdrawal*	Action	
		□ apply	□ cancel
		□ apply	□ cancel
		□ apply	□ cancel

(Position of the Head) _____/Full name/

seal

«____» _____ 20___

Prepared by full name, phone number _____

* In the field «Settlement Account for the fees withdrawal» the Settlement Account which is different from the main Settlement Account indicated in the Request for choosing main Settlement Account for the fees withdrawal is indicated.
  - When choosing «apply» action, the Settlement Account indicated in the field "Settlement Account for the fees withdrawal" will be debited by variable part of the fee for Trades with settlements in Russian rubles and foreign currency executed with indication of the Trade Account, into the structure of which Settlement Account, indicated in the field «Settlement Account» is included.
  - When choosing «cancel» action, withholding of variable part of the fee for Trades with settlements in Russian rubles and foreign currency executed with indication of the Trade Account, into the structure of which Settlement Account, indicated in the field «Settlement Account» is included, will be performed in accordance with provided Request for choosing main Settlement Account for the fees withdrawal. The correspondence between the Settlement Account and the Settlement Account for the fees withdrawal is reflected in Report on Trade Accounts.

This Request prevails over Request for choosing main Settlement Account for the fees withdrawal in terms of withholding variable part of the fee from the Settlement Account indicated in the field «Settlement Account».

2.8.   Request for changing Settlement Account (in the part of information of client identification data and Settlement Account usage model)

(on the Company's letterhead)

To CCP NCC

REQUEST FOR CHANGING SETTLEMENT ACCOUNT
(IN THE PART OF INFORMATION OF CLIENT IDENTIFICATION DATA AND SETTLEMENT ACCOUNT USAGE MODEL)

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please set the following correspondence between the Settlement Account of the Clearing Member and identification data of the client of the Clearing Member:

Settlement Account	Identification data of the client*	Settlement Account usage model**	Action***	
			□ apply	□ cancel
			□ apply	□ cancel
			□ apply	□ cancel

(Position of the Head)   _____/Full name/

                                         seal

«____» _____ 20___

Prepared by full name, phone number _____

* The field «Identification data of the client» is not mandatory and is filled in in accordance with the requirements imposed by the Exchange when registering clients of the Trading Members. In case of registration of the client, which is the client of the broker, the identification data of both the end client and the client which is the broker are indicated.
** It's allowed to change Settlement Account usage model from the Settlement Account of the Clearing Member, which is the Trading Member, to the Settlement Account for execution of trades on behalf of and in the interests of the Clearing Member or the Settlement Account of the Clearing Broker when saving type of the Settlement Account.
*** Action in relation to identification data of the client.

2.9.   Request for changing Settlement Account (in the part of information of the fund name)

(on the Company's letterhead)

To CCP NCC

REQUEST FOR CHANGING SETTLEMENT ACCOUNT
(IN THE PART OF INFORMATION OF THE FUND NAME)

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please set the following correspondence between the Settlement Account of the Clearing Member and name of the client of the Clearing Member:

Settlement Account*	Fund name**

(Position of the Head)   _____/Full name/

                                                          seal

«____» _____ 20___

Prepared by full name, phone number _____

* The indication of fund name is possible for the Trust Management Settlement Account on the Securities Market and Deposit Market.
** In accordance with data indicated in Request for opening the Settlement Account. The length of the name should be no more than 100 symbols.

2.10. Request for changing Settlement Account (in the part of «NCC-NSD account»)

(on the Company's letterhead)

To CCP NCC

REQUEST FOR CHANGING SETTLEMENT ACCOUNT
(IN THE PART OF «NCC-NSD ACCOUNT»)

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please for the Settlement Account _____:

□ set the feature «NCC-NSD account»;

□ remove the feature «NCC-NSD account».

(Position of the Head)   _____/Full name/
                                                            seal

«____» _____ 20___

Prepared by full name, phone number _____

2.11. Application for using the Settlement Account for execution of trades at the expense of collateral, transferred by the client to his ownership on the basis of the title transfer agreement on collateral

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR USING THE SETTLEMENT ACCOUNT FOR EXECUTION OF TRADES AT THE EXPENSE OF COLLATERAL, TRANSFERRED BY THE CLIENT TO HIS OWNERSHIP ON THE BASIS OF THE TITLE TRANSFER AGREEMENT ON COLLATERAL*

From:

_____
_
(full name of the Clearing Member)

Clearing Member Unicode: _____

Declare to use the following Settlement Accounts for execution of trades on behalf of the client and at the expense of collateral, transferred by the client to his ownership on the basis of the title transfer agreement on assets, which are subject of collateral:

Settlement Account**	Using the Settlement Account for execution of trades at the expense of collateral, transferred by the client to his ownership on the basis of the title transfer agreement on assets, which are subject of collateral ***	
	□ apply	□ cancel
	□ apply	□ cancel
	□ apply	□ cancel

(Position of the Head)   _____/Full name/
                                                                          seal
«____» _____ 20___

Prepared by full name, phone number _____

* The application could be provided by the Non-resident Clearing Member servicing its clients within the framework of model for recording cash funds of the client «Title Transfer Collateral Arrangements ("TTCA")».
** Use of the Settlement Account for execution of trades at the expense of collateral, transferred by the client to his ownership on the basis of the title transfer agreement on assets, which are subject of collateral is allowed for the Proprietary Settlement Account of the Non-resident Clearing Member, which is not the Trading Member, for execution of trades by the Trading Member on behalf of and in the interest of the Non-resident Clearing Member.
*** By default, the Settlement Account is not used for execution of trades at the expense of collateral, transferred by the client to his ownership on the basis of the title transfer agreement on assets, which are subject of collateral.

2.12.   Application for changing type of the Settlement Account for execution of trades at the expense of collateral, transferred by the client to his ownership on the basis of the title transfer agreement on collateral

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR CHANGING TYPE OF THE SETTLEMENT ACCOUNT FOR EXECUTION OF TRADES AT THE EXPENSE OF COLLATERAL, TRANSFERRED BY THE CLIENT TO HIS OWNERSHIP ON THE BASIS OF THE TITLE TRANSFER AGREEMENT ON COLLATERAL*

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please change type of indicated Settlement Accounts for execution of trades at the expense of collateral, transferred by the client of the Non-resident Clearing Member to his ownership on the basis of the title transfer agreement on assets, which are subject of collateral, from client to proprietary:

Settlement Account**

(Position of the Head)   _____/Full name/

seal

«____» _____ 20___

Prepared by full name, phone number _____

*Stated change is necessary to assign to the Settlement Accounts of the TTCA account type feature based on the Application for using the Settlement Account for execution of trades at the expense of collateral, transferred by the client to his ownership on the basis of the title transfer agreement on collateral.
The application could be provided by the Non-resident Clearing Member servicing its clients within the framework of model for recording cash funds of the client «Title Transfer Collateral Arrangements ("TTCA")».
** Stated Settlement account should not be the Settlement Account opened for Segregated client.

2.13. Request for assignment / cancellation of Non-resident Settlement Account status

(on the Company's letterhead)

To CCP NCC

REQUEST FOR ASSIGNMENT / CANCELLATION OF NON-RESIDENT SETTLEMENT ACCOUNT STATUS

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

Please in the Clearing System of CCP NCC:

to the Settlement Account* / Non-resident Settlement Account*	Non-resident Settlement Account status**	
	□ **assign**	□ **cancel**
	□ **assign**	□ **cancel**

(Position of the Head) _____/Full name/

seal

«____» _____ 20___

Prepared by full name, phone number _____

* Non-resident Settlement Account status **could not** be assigned to the Settlement Account, which is:

• the Unified Pool Settlement Account;
• the Asset Pool Settlement Account.

Status could not be assigned / cancelled if non-fulfilled Obligations are recorded under the Settlement Account.

** On the Securities Market, it **is not** allowed to change status of the Settlement Account which is included into the structure of the Trade Account, as well as the Non-resident Settlement Account which is included into the structure of the Non-resident Trade Account.

2.14. Request for Settlement Account closure

(on the Company's letterhead)

To CCP NCC

REQUEST FOR SETTLEMENT ACCOUNT CLOSURE

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please close the following Settlement Accounts:

Settlement Accounts	On-exchange market*

(Position of the Head) _____/Full name/

seal

«____» _____ 20___

Prepared by full name, phone number _____

* - it is acceptable to use the following conventional symbols of on-exchange markets:

SM – Securities market, Deposit market and Credit market
FM – FX market and Precious Metal market
UP – Unified Pool

2.15.   Request for changing parameters of the Settlement Account of the 2nd/3rd level

(on the Company's letterhead)

To CCP NCC

REQUEST FOR CHANGING PARAMETERS OF THE SETTLEMENT ACCOUNT OF THE 2ND/3RD LEVEL

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please set the following correspondence between the Settlement Account of the 2nd/3rd level and identification data of the client of the Clearing Member:

Settlement Account of the 2nd/3rd level	Identification data of the client*	Action	
		□ apply	□ cancel
		□ apply	□ cancel
		□ apply	□ cancel

(Position of the Head)   _____/Full name/

seal

«____» _____ 20____

Prepared by full name, phone number _____

* The field "Identification data of the client" is filled in in accordance with the requirements imposed by the Exchange when registering clients of the Trading Members. In case of registration of the client, which is the client of the broker, the identification data of both the end client and the client which is the broker are indicated.

2.16.   Request for opening Trade Account for paying taxes

(on the Company's letterhead)

To CCP NCC

REQUEST FOR OPENING TRADE ACCOUNT FOR PAYING TAXES*

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please open Trade Account for paying taxes.

(Position of the Head)   _____/Full name/

seal

«____» _____ 20___

Prepared by full name, phone number _____

* Trade Account for paying taxes is opened only for the Non-Resident Clearing Member. The Clearing Member is entitled to open one Trade Account for paying taxes. Trade Account for paying taxes is opened on the Securities Market, Deposit Market and Credit Market.

   Based on this request, the Clearing House opens the Settlement Account for paying taxes, under which the information of cash funds posted as Collateral by the Clearing Member to fulfill Obligations of the Clearing Member to pay the sum corresponding to the sum of tax on income of the foreign organizations from sources in the Russian Federation and fulfillment of such obligations are recorded, as well as other obligations in accordance with the Clearing Rules of the Central Counterparty National Clearing Centre, as well as for recording of such obligations.

2.17. Application for inclusion (exclusion) of Settlement Account into the list (from the list) of the Non-resident Settlement Accounts, under which the obligations to pay sums corresponding to the sum of organization profits tax on income of foreign organizations from sources in Russian Federation are recorded and fulfilled from the Settlement Account for paying taxes

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR INCLUSION (EXCLUSION) OF SETTLEMENT ACCOUNT INTO THE LIST (FROM THE LIST) OF NON-RESIDENT SETTLEMENT ACCOUNTS, UNDER WHICH OBLIGSTIONS TO PAY SUMS CORRESPONDING TO THE SUM OF ORGANIZATION PROFITS TAX ON INCOME OF FOREIGN ORGANIZATIONS FROM SOURCES IN RUSSIAN FEDERATION ARE RECORDED AND FULFILLED FROM THE SETTLEMENT ACCOUNT FOR PAYING TAXES

From:

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please include / exclude the Settlement Account into the list / from the list of the Non-resident Settlement Accounts under which the obligations to pay sums corresponding to the sum of organization profits tax on income of foreign organizations from sources in Russian Federation are recorded and fulfilled from the Settlement Account for paying taxes:

Settlement Account*	Action	
	□ include into the list	□ exclude from the list**
	□ include into the list	□ exclude from the list
	□ include into the list	□ exclude from the list

(Position of the Head) _____/Full name/

seal

«____» _____ 20____

Prepared by full name, phone number _____

* Settlement Account opened for Segregated client could not be indicated.

** Taking into account limitations, set out by the Clearing Rules of the Central Counterparty National Clearing Centre.

2.18.   Request for registration of Account for Collateral Return details / Request for setting correspondence between Account for Collateral Return and Settlement Account

(on the Company's letterhead)

To CCP NCC

REQUEST FOR REGISTRATION OF ACCOUNT FOR COLLATERAL RETURN DETAILS / REQUEST FOR SETTING CORRESPONDENCE BETWEEN ACCOUNT FOR COLLATERAL RETURN AND SETTLEMENT ACCOUNT

From: _____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please register for our organization the following Accounts for Collateral Return which will correspond the Settlement Account / Settlement Accounts:

In Russian rubles:	
(if necessary, similar lines are added)	
Details	main / additional * *(choose what apply)*
Name of Beneficiary's bank**	
BIC	
Correspondent account number	
Name of Beneficiary	
INN (TIN)	
KPP (RRC)	
Account number of Beneficiary	
Payment purpose	
In foreign currencies	
(the details are completed in English, when registering the Account for Collateral Return in other currencies similar lines are added):	
Details	main / additional * *(choose what apply)*
Code of foreign currency	
Name and address of intermediary bank (56D)	
Swift code of intermediary bank (56A)	
Account number of correspondent bank in intermediary bank	
Name and address of correspondent bank (57D)	

Swift code of correspondent bank (57A)	
Beneficiary's account number in correspondent bank	
Name and address of beneficiary (58D)	
SWIFT code of beneficiary (58A)	
Payment purpose (72D)	

In precious metal (details are completed in English, if necessary similar lines are added):	
Details	main / additional * *(choose what apply)*
Code of precious metal	
Name of correspondent bank (87D)***	
SWIFT code of correspondent bank (87A)***	
Beneficiary's account number in correspondent bank	
Name of beneficiary (88D)	
SWIFT code of beneficiary (88A)	
SWIFT code for receipt of reports ****	

(Position for the Head)   _____/Full name/

                                                    seal

«____» _____ 20___

Prepared by full name, phone number _____

* Main details are details for return of cash funds / precious metals on the basis of Standing Instruction to return collateral. Additional details are details for return of cash funds / precious metals based on Requests for collateral return of the Clearing Member. For one Settlement Account, it's possible to register one main and several additional details. The feature of main or additional details are completed only on the FX Market and Precious Metals Market and the Securities Market, Deposit Market and Credit Market.
** If the recipient of services under the Clearing membership agreement is the branch of the credit institution (State corporation) or the recipient of funds is the branch of the credit institution (State corporation), it is mandatory to indicate the full name of this branch.
*** The details of the correspondent bank which has correspondent account in precious metal with the NCC are indicated.
**** Filled in if the Organization intends to receive reports via S. W. I. F. T.

2.19. Request for changing / annulment of registration of Account for Collateral Return details

(on the Company's letterhead)

To CCP NCC

REQUEST FOR CHANGING / ANNULMENT OF REGISTRATION OF ACCOUNT FOR COLLATERAL RETURN DETAILS

_____
(full name of the Clearing Member)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please:

☐ annul provided below Accounts for Collateral Return for the following Settlement accounts: _____;

☐ change details of Accounts for Collateral Return:

In Russian rubles: (if necessary similar lines are added)		
Details: ☐ main ☐ additional*	Current details	Changing fields
Name of beneficiary's bank		
BIC**		
Correspondent account number		
Name of Beneficiary		
INN (TIN)		
KPP (RRC)		
Account of Beneficiary		
In foreign currencies (details are completed in English, when registering the Account for Collateral Return in other currencies similar lines are added):		
Code of foreign currency		
Details: ☐ main ☐ additional*	Current details	Changing fields
Name and address of intermediary bank (56D)		
SWIFT code of intermediary bank (56A)**		
Account number of correspondent bank in intermediary bank		
Name and address of correspondent bank (57D)		
SWIFT code of correspondent bank (57A)**		
Beneficiary's account number in		

correspondent bank		
Name and address of Beneficiary (58D)		
SWIFT code of Beneficiary (58A)**		
In precious metal (details are completed in English, if necessary similar lines are added):		
Code of precious metal		
Details: □ main □ additional*	Current details	Changing fields
Name of correspondent bank (87D)		
SWIFT code of correspondent bank (87A)**		
Beneficiary's account number in correspondent bank		
Name of Beneficiary (88D)		
SWIFT code of Beneficiary (88A)**		
SWIFT code for receipt of reports		

(Position of the Head)   _____/Full name/

                                                        seal

        «_____» _____ 20_____

Prepared by full name, phone number _____

* Main details are details for return of cash funds / precious metals on the basis of Standing Instruction to return collateral. Additional details are details for return of cash funds / precious metals based on Requests for collateral return of the Clearing Member. For one Settlement Account, it's possible to register one main and several additional details. The feature of main or additional details are completed only on the FX Market and Precious Metals Market and the Securities Market, Deposit Market and Credit Market.
** The indicated fields remain unchanged.

2.20.   Standing Instruction to return collateral

(on the Company's letterhead)

To CCP NCC

STANDING INSTRUCTION TO RETURN COLLATERAL

_____
(*full name of the Clearing Member*)

Clearing Member Unicode: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please return cash funds /precious metals on permanent basis:

1. on Securities Market, Deposit Market and Credit Market from the Settlement Account:

_____
(*indicate Settlement Account(s)*)
□   in all currencies* / all precious metals;
□   in indicated currencies / indicated precious metals:

_____
In the following amount:
□   in the amount of Net Claim without fees;
□   in the amount of Net Claim;
□   in the amount of all available cash funds

2. on FX Market and Precious Metals Market from the Settlement Account:

_____
(*indicate Settlement Account(s)*)
□   cash funds in all currencies* / all precious metals*;
□   cash funds in indicated currencies / indicated precious metals:

_____
(*indicate required currencies / precious metals*)
In the following amount:
□   in the amount of Net Claim without the fees;
□   in the amount of Net Claim;
□   in the amount of all available cash funds / all available quantity of precious metal

3. on the Derivatives Market from the Settlement account:

_____
(*indicate Settlement account*)

From cash collateral register section XXYYZZZ**

        cash funds in Russian rubles

In the following amount:

☐   in the amount of Net Claim without fees;

☐   in the amount of Net Claim;

☐   in the amount of all available cash funds

by transferring to the corresponding account(s) registered by our Organization as the Account(s) for Collateral Return on the relevant on-exchange market.

This Standing Instruction is valid until it's written cancellation.

(Position of the Head)   _____/ Full name /
                                                                                              seal

«____» _____ 20___
Prepared by full name, phone number _____

* Currencies / precious metals in which the Clearing House has opened collateral accounts at the moment of submission of this Standing Instruction.

** One code of the cash collateral register section, opened for Sub-accounts Cluster which corresponds to the Settlement account is indicated. Not mandatory to indicate.

2.21.   Request for category change

(on the Company's letterhead)

<div align="right">*To CCP NCC*</div>

REQUEST FOR CATEGORY CHANGE

_____,
<div align="center">(full name of the Clearing Member)</div>

Clearing Member Unicode: _____,

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please change assigned category of the Clearing Member:

on all markets except Commodities market: □ from «B» to «B2»*   □ from «B2»* to «B»

on Securities Market, Deposit Market and Credit Market:

□ from «C» to   □ from «B» / «B2» to   □ from «O» to

_____   _____   _____
(«O» / «B»* / «B2»*)   («O» / «C»)   («B»* / «B2»* / «C»)

on FX Market and Precious Metals Market:

□ from «C» to   □ from «B» / «B2» to   □ from «O» to

_____   _____   _____
(«O» / «B»* / «B2»*)   («O» / «C»)   («B»* / «B2»* / «C»)

on Derivatives Market:

□ from «B» / «B2» to   □ from «O» to

_____   _____
 («O»)   («B»* / «B2»*)

On Commodities Market: □ from «B» to «C»   □ from «C» to «B».

(Position of the Head)   _____ / Full name /

<div align="center">seal</div>

«____» _____ 20___

Prepared by full name, phone number _____

_____
* Clearing Member who has been granted admission to the clearing services on one of on-exchange markets with category "B" cannot be granted admission to the clearing services on another on-exchange market with category "B2" and vice versa. The category "B2" is not applied to the Commodity Market.

2.22. Request for choosing Settlement Account for the fees withdrawal

(on the Company's letterhead)

To CCP NCC

REQUEST FOR CHOOSING SETTLEMENT ACCOUNT FOR THE FEES WITHDRAWAL

From:

_____
(*full name of the Clearing Member*)

Clearing Member Unicode: _____,

Please perform the following actions in relation to our organization:

1. on Securities Market, Deposit Market and Credit Market

assign the following Settlement Account as the main Settlement account for the fees withdrawal _____*.

Additionally, from the indicated Settlement Account:	
□ charge variable part of the fees**	
□ cancel to charge variable part of the fees***	
Charge the fees for recording collateral	
□ from the indicated above Settlement Account	□ from the Settlement Account under which collateral is recorded
Charge the penalty for undue fulfillment of the obligations	
□ from the indicated above Settlement Account	□ from the Settlement Account under which non-fulfillment or improper fulfillment of obligations is recorded

2. on FX Market and Precious Metals Market

assign the following Settlement Account as the main Settlement account for the fees withdrawal _____*.

Additionally, from the indicated Settlement Account:	
□ charge variable part of the fees**	
□ cancel to charge variable part of the fees***	
Charge the fees for recording collateral	
□ from the indicated above Settlement Account	□ from the Settlement Account under which collateral is recorded
Charge the penalty for undue fulfillment of the obligations	
□ from the indicated above Settlement Account	□ from the Settlement account under which non-fulfillment or improper fulfillment of obligations is recorded

3. on Derivatives Market

assign the following Settlement Account as the main Settlement account for the fees withdrawal _____*

Additionally, from the indicated Settlement Account:	
□ charge variable part of the fees** □ cancel to charge variable part of the fees ***	
Charge the fees for recording collateral	
□ from the indicated above Settlement Account	□ from the Settlement Account under which collateral is recorded
Charge the penalty for undue fulfillment of the obligations	
□ from the indicated above Settlement Account	□ from the Settlement account under which non-fulfillment or improper fulfillment of obligations is recorded

(Position of the Head) _____/Full name/

seal

«____» _____ 20___

Prepared by full name, phone number _____

* Indication of the Settlement Account when filling in the relevant block is mandatory for initial and repeated provision of Requests for choosing main Settlement Account for the fees withdrawal.

** The field is not mandatory, if this field is filled in, variable part of the fees under trades executed with indication of all Trade Accounts/position register sections will be debited from the indicated above Settlement Account with exception of the Trade Accounts/position register sections into the structure of which Settlement Accounts are included, in relation to which Request for changing parameters of the Settlement Account (in part of changing Settlement account for the fees withdrawal) has been provided to the Clearing House.

*** This field is completed in case of cancellation of previously provided Request for choosing main Settlement Account for the fees withdrawal in which the charge of variable part of the fees from the indicated Settlement Account has been selected.

2.23.   Request for choosing (changing) fee tariff

(on the Company's letterhead)

<div align="right">

To Moscow Exchange
To CCP NCC
To NSD *
</div>

REQUEST FOR CHOOSING (CHANGING) FEE TARIFF

_____,
<div align="center">(full name of the Clearing Member)</div>

Unicode of the Clearing Member/ Trading Member: _____,
In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please set for our organization from _____
<div align="center">(month, year)</div>

1. on Securities Market:

Fee tariff *choose what apply*	In relation to the fees in favor of	
	Clearing House**	**Exchange*****
□ fee tariff under on-exchange REPO trades	_____ (*REPO_0 / REPO_150 / REPO_500 / REPO_6500 / REPO_16250/ REPO_32500)* *choose what apply*	_____ (*REPO_0 / REPO_150 / REPO_500 / REPO_6500 / REPO_16250/ REPO_32500)* *choose what apply*

□ for the period of 12 (twelve) calendar months, the fee tariff "Placement-fixed" under trades in bonds and / or eurobonds of the following issuers:

□ with renewal for every next 12 months

1.   _____
<div align="center">(full name of the issuer, INN (TIN) of the issuer)</div>
2.   _____
<div align="center">(full name of the issuer, INN (TIN) of the issuer)</div>

□ cancel the fee tariff "Placement-fixed" under trades in bonds and/or eurobonds of the following issuers:

1. _____
<div align="center">(full name of the issuer, INN(TIN) of the issuer)</div>
2. _____
<div align="center">(full name of the issuer, INN (TIN) of the issuer)</div>

2. on Deposit Market:

□ fee tariff under deposit agreements, party to which is the Clearing Member which is the Trading Member of the category «B», «L», «I», «E», «C» or «N»

_____

(DEPO_0 / DEPO_400) choose what apply

3. on FX Market and Precious Metals Market:

Fee tariff *choose what apply*	In relation to the fees in favor of	
	Clearing House**	**Exchange*****
□ fee tariff for swap trades, swap contracts and futures contracts	_____ *(SWP_0 / SWP_600 / SWP_1000) choose what apply*	_____ *(SWP_0 / SWP_600 / SWP_1000)* *choose what apply*

(Position of the Head)   _____/ Full name /

                                                              seal

«____» _____ 20___

Prepared by full name, phone number _____

* only in relation to fee tariffs under on-exchange REPO trades on the Securities Market.
** it is filled in by the Clearing Member which also is the Trading Member.
*** it is filled in by the Trading Member which also is the Clearing Member.

2.24.   Client identification letter

(on the Company's letterhead)

To CCP NCC

CLIENT IDENTIFICATION LETTER

Hereby_____
(full name of the Clearing Member)

certify that the full identification procedure has been realized in accordance with the Federal Law No. 115-FZ of 07.08.2001 "On Countering the Legalization (Laundering) of Proceeds from Crime and the financing of terrorism" in relation to the Client

_____,
(full name of the Client of the Clearing Member)

And also certify that all documents of this Client confirming the information received during identification are available.

The Clearing Member shall be obliged to provide to NCO NCC (JSC) with the information received during identification of the indicated Client at the request of the NCO NCC (JSC), based on the applicable legislation or with the consent of the Client of the Clearing Member.

(Position of the Head)   _____ */ Full name /*

                                                                          seal

«_____» _____ 20____

Prepared by full name, phone number _____

2.25. Questionnaire of the Non-resident bank

(on the Company's letterhead)

To CCP NCC

QUESTIONNAIRE OF THE NON-RESIDENT BANK

Are the banks in your country subject to the compliance of the legislation on combating money laundering and terrorist financing? If so, please indicate the current legislative and other regulatory acts in the field of combating money laundering and terrorist financing, which your Bank is obliged to comply with.	
Has the Bank adopted the regulatory documents regulating the procedures for implementing internal control aimed at countering the laundering of criminal proceeds and the financing of terrorism? If so, please list them.	
Does your Bank have branches and subsidiaries? If so, please list them. Do all branches and subsidiaries of your Bank adhere to the same policy in the field of combating money laundering and terrorist financing as the parent company?	
Has your Bank appointed employee who is responsible for organizing work focused to countering the laundering of criminal proceeds and the financing of terrorism? Specify his full name, position, phone, fax, e-mail address	
Does your Bank introduce the "Know your Customer" procedure? If so, describe briefly the main stages of used procedure	
Is the registration and storage of - required records on operations (transactions) sufficient to restore separate operations (transactions) (including amounts and types of currencies if operation (transactions) is executed in foreign currency); - records received as a part of the "Know your Customer" procedure; - business correspondence, including the results of any analysis undertaken for at least five years after the end of the business relationship or after the date of single transaction; an integral part of the internal control procedure in the field of countering money laundering and terrorist financing?	
Are there permanent governance bodies on the territory of the state where your Bank is registered?	
Is there a check of potential clients for the presence of the information about them in the lists of individuals and legal entities involved in the terrorist and extremist activities?	
Are your accounts used by banks which do not have permanent governance bodies on the territories of states where they are registered?	
Is the Bank's employees being trained on countering money laundering and terrorist financing?	

(Position of the Head)   _____ / Full name /

                                                                              seal

«_____» _____ 20____

Prepared by full name, phone number _____

2.26. Application for execution of liquidation netting in respect of the Clearing Member

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR EXECUTION OF LIQUIDATION NETTING IN RESPECT OF THE CLEARING MEMBER

_____,
(*full name of the Clearing Member*)

Clearing Member Unicode: _____,

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please made calculation of net obligation / net claim under trades executed by our Organization at the expense of the client/ Segregated client:

Identification data of the client*	
Settlement Accounts of the client	

Reason for calculation of net obligation / net claim of the client:
_____
_____

Documents, confirming the existence of the grounds for calculation of net obligation / net claim of the client are provided by our Organization to CCP NCC.

(Position of the Head) _____ / Full name /

seal

«____» _____ 20___

Prepared by full name, phone number _____

* The field "Identification data of the client" is filled in in accordance with the requirements imposed by the Exchange when registering clients of the Trading Members. A short code of the client also needs to be indicated.

2.27. Request for the Segregated client registration

(on the Company's letterhead)

To CCP NCC

REQUEST FOR THE SEGREGATED CLIENT REGISTRATION

———————————————————————————————————————*,
(*full name of the Clearing Member*)

Clearing Member Unicode: _____*,

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please register new Segregated client:

Settlement account(s) of the Segregated client and relevant on-exchange markets*[1]	
Full name of the Segregated client*[2]	
Identification data of the client*[3]	
Identification data of the client of the second level[3]	
Resident*	yes/no
Method of provision of information to the Segregated client*[4]	
EDI address:	
E-mail address:	
Contact phone number:	
Details of the Non-resident Segregated client, indicated in registered details of the Accounts for collateral return[5]:	
Full name and address:	
BIC SWIFT-code (if available)	

☐ Necessity to protect cash funds of the Segregated client[6]

By submitting this Request and also when executing trades at the expense of the Segregated Client, initiating any operations in relation to the Segregated Client or the assets recorded on the assigned Settlement Accounts, the Clearing Member assures in accordance with article 431.2 of the Civil Code of the Russian Federation that:
- all necessary confirmations have been received from the Segregated Client and all necessary actions have been taken to comply with the requirements of the legislation for transferring information by the Clearing House, as well as that the Segregated Client is properly aware of the procedure for transfering information stipulated in the legislation of the Russian Federation and regulatory acts of the Bank of Russia, and complies with it properly;
- the Settlement accounts indicated in this Request are not used for executing trades at the expense of the other clients of the Clearing Member and/or at the own expense of the Clearing Member;

- the Segregated client is not Non-resident from the List or a person which is under control of such Non-Resident from the List.

(Position of the Head) _____ / Full name /

seal

«____» _____ 20___

Prepared by full name, phone number _____

* Mandatory field. Fields, which are not marked with «*» are filled in either in accordance with numeral notes or at the discretion of the Clearing Member.

[1] – the Settlement accounts are specified with indication through the symbol '/' of on-exchange market (markets) where the indicated settlement accounts are registered.

[2] – the full name in accordance with the incorporation documents is indicated.

[3] – the fields "Identification data of the client" and "Identification data of the client of the second level" are filled in in accordance with the requirements imposed by the Exchange when registering clients of the Trading Members. The field "Identification data of the client of the second level" is mandatory in case of registration of the end client (the client of the second level) as the Segregated client. In this case, the identification data of the client of the first level is also filled in in the field "Identification data of the client".

[4] – indicate EDI address and/or e-mail address. The field «Contact phone number» is optional.

[5] – indicated fields are filled in for Non-resident Segregated client and correspond to the relevant details specified in the registered details of the Account for collateral return of the Segregated client.

[6] – if filling in the details of the Accounts for collateral return of the Settlement Account of the 1st level registered for the Segregated client, the Clearing Member can indicate only details of the Account registered for the Segregated client, and also the Clearing Member forfeit the right to provide to the Clearing House of the Requests for Collateral transfer in cash funds / instructions to transfer cash funds from the Settlement Account of the 1st level, registered for the Segregated client to the Settlement Accounts, registered for other persons. An empty field indicates the absence of necessity to protect cash funds.

2.28.   Request for changing details of the Segregated client

(on the Company's letterhead)

<div align="right">To CCP NCC</div>

REQUEST FOR CHANGING DETAILS OF THE SEGREGATED CLIENT

_____*,
<div align="center">(full name of the Clearing Member)</div>

Clearing Member Unicode: _____*,

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please change the details of the registered Segregated client:

	Details of the registered Segregated client after change[6]	Change[7]
Settlement account(s) of the Segregated client and relevant on-exchange markets* [1]		Add: _____ Delete: _____
Full name of the Segregated client* [2]		
Identification data of the client* [3]		
Identification data of the client of the second level[3]		
Resident*	yes/no	
Method of provision of information to the Segregated client*[4]		
EDI address:		
E-mail address:		
Contact phone number:		
Details of the Non-resident Segregated client, indicated in registered details of the Accounts for collateral return[5]:		
Full name and address:		
BIC SWIFT-code (if available)		

☐   Necessity to protect cash funds of the Segregated client[8]

By submitting this Request, the Clearing Member assures that all necessary confirmations have been received from the Segregated Client and all necessary actions have been taken to comply with the requirements of the legislation when transferring information by the Clearing House, as well as that the Segregated Client is properly aware of the procedure for transferring information stipulated in the legislation of the

Russian Federation and regulatory acts of the Bank of Russia, and complies with it properly.

By submitting this Request, the Clearing Member assures that the Settlement accounts indicated in this Request are not used for execution and fulfillment of trades at the expense of other clients of the Clearing Member and/or at the own expense of the Clearing Member.

(Position of the Head) _____ */ Full name /*

seal

«_____» _____ 20_____

Prepared by full name, phone number _____

* Mandatory field. Fields, which are not marked with «*» are filled in either in accordance with numeral notes or at the discretion of the Clearing Member.

[1] – the Settlement accounts are specified with indication through the symbol '/' of on-exchange market (markets) where the indicated settlement accounts are registered.

[2] – the full name in accordance with the incorporation documents is indicated.

[3] – the fields "Identification data of the client" and "Identification data of the client of the second level" are filled in in accordance with the requirements imposed by the Exchange when registering clients of the Trading Members. The field "Identification data of the client of the second level" is mandatory in case of registration of the end client (the client of the second level) as the segregated client. In this case, the identification data of the client of the first level is also filled in in the field "Identification data of the client".

[4] – indicate EDI address and/or e-mail address. The field «Contact phone number» is optional.

[5] – indicated fields are filled in for Non-resident Segregated client and corresponds to the relevant details specified in the registration details of the Account for collateral return of the Segregated client.

[6] – All the data of the Segregated client is filled in, including those that do not change. When adding, changing or deleting certain data, it is necessary to indicate the entire actual list of relevant data after changes, for example, when adding a new Segregated client in the field "Settlement account(s) of the Segregated client and relevant on-exchange markets", it is necessary to specify the entire list of the settlement accounts valid for this Segregated Client.

[7] – For each field, except for the field "Settlement account(s) of the Segregated client and relevant on-exchange markets", it's necessary to indicate the value "yes" or "no". For the field "Settlement account(s) of the Segregated client and relevant on-exchange markets", it's necessary to specify the settlement accounts which need to be added and / or deleted with indication of the relevant on-exchange market.

[8] – if filling in the details of the Accounts for collateral return of the Settlement Account of the 1st level registered for the Segregated client, the Clearing Member can indicate only details of the Account registered to the Segregated client, and also the Clearing Member forfeit the right to provide to the Clearing House of the Requests for Collateral transfer in cash funds / instructions to transfer cash funds from the Settlement Account of the 1st level, registered for the Segregated client to the Settlement Accounts, registered for other persons. An empty field indicates the absence of necessity to protect funds.

2.29.   Request for annulment of the Segregated client registration

(on the Company's letterhead)

To CCP NCC

REQUEST FOR ANNULMENT OF THE SEGREGATED CLIENT REGISTRATION

_____*,
(*full name of the Clearing Member*)

Clearing Member Unicode: _____*,

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please annul the registration of the Segregated client:

Settlement account(s) and relevant on-exchange markets* [1]	
Full name of the Segregated client* [2]	
Identification data of the client* [3]	
Identification data of the client of the second level[3]	

(Position of the Head)   _____ / Full name /

seal

«____» _____ 20___

Prepared by full name, phone number _____

* Mandatory fields.

[1] – the Settlement accounts are specified with indication through the symbol '/' of on-exchange market (markets) where the indicated settlement accounts are registered.

[2] – the full name in accordance with the incorporation documents is indicated.

[3] – the fields "Identification data of the client" and "Identification data of the client of the second level" are filled in in accordance with the requirements imposed by the Exchange when registering clients of the Trading Members. The field "Identification data of the client of the second level" is mandatory in case of registration of the end client (the client of the second level) as the segregated client. In this case, the identification data of the client of the first level is also filled in in the field "Identification data of the client".

2.30.   Application for obligations and Collateral transfer

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR OBLIGATIONS AND COLLATERAL TRANSFER

_____*,
(*full name of the Basic Clearing Member*)

Unicode of the Basic Clearing Member: _____*,

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre please transfer obligations and collateral of the Segregated client:

Full name of the Segregated client* [1]	
Identification data of the client* [2]	
Identification data of the client of the second level [2]	
On-exchange markets*	

(Position of the Head)   _____ */ Full name /*

                                                    seal

«____» _____ 20____

Prepared by full name, phone number _____

* Mandatory fields.

[1] – the full name in accordance with the incorporation documents is indicated.

[2] – the fields "Identification data of the client" and "Identification data of the client of the second level" are filled in in accordance with the requirements imposed by the Exchange when registering clients of the Trading Members. The field "Identification data of the client of the second level" is mandatory in case of registration of the end client (the client of the second level) as the segregated client. In this case, the identification data of the client of the first level is also filled in in the field "Identification data of the client".

2.31.   Agreement for acceptance of obligations and Collateral

(on the Company's letterhead)

To CCP NCC

AGREEMENT FOR ACCEPTANCE OF OBLIGATIONS AND COLLATERAL

_____*,

(*full name of the Clearing Member - Recipient*)

Unicode of the Clearing Member - Recipient: _____*,

In accordance with the Clearing Rules of the Central Counterparty National Clearing Centre agree to accept obligations/ claims and Collateral in the amount specified in the message received from the Clearing House on amount of obligations / claims of the Basic Clearing Member, as well as on the amount of Collateral of the Basic Clearing Member, recorded under the Settlement Account/ Trade Account / positions register sections of the Basic Clearing Member, to which the Segregated client who has submitted Application for obligations and Collateral transfer is assigned:

Full name of the Segregated client* [1]	
Identification data of the client* [2]	
Identification data of the client of the second level[3]	
Trading sub-account [4]	
Trading commodity account [4]	

Trade accounts and Settlement accounts[5]

Trade account of the Basic Clearing Member	Settlement account of the Basic Clearing Member	Trade account of the Clearing Member – Recipient	Settlement account of the Clearing Member – Recipient

Positions register sections [6]

Positions register section of the Basic Clearing Member	Positions register section of the Clearing Member – Recipient

·   Please segregate the client, which provide the Application for obligations and Collateral transfer

·   Necessity to protect cash funds of the Segregated client[7]

(Position of the Head)   _____ */ Full name /*

<div align="center">seal</div>

«_____» _____ 20____

Prepared by full name, phone number _____

* Mandatory fields for all on-exchange markets. Fields, which are not marked with «*» are filled in in accordance with numeral notes.

[1] – the full name in accordance with the incorporation documents is indicated.

[2] – it is indicated if the Segregated client is the client of the first level and it is not indicated if the Segregated client is the client of the second level.

[3] – it is indicated if the Segregated client is the client of the second level.

[4] – the fields «Trading sub-account» and «Trading commodity account» are intended for the Commodities Market and is not mandatory if the table «Trade accounts and Settlement accounts» is filled in.

[5] – in the table «Trade accounts and Settlement accounts» the column «Trade account of the Clearing Member – Recipient» is mandatory for the Commodities Market, the column «Settlement account of the Clearing Member – Recipient» is mandatory for the FX Market and Precious Metals Market.

[6] – the table «Positions register sections» is completed for the Standardised Derivatives Market.

[7] – if filling in the details of the Accounts for collateral return of the Settlement Account of the 1st level registered for the Segregated client, the Clearing Member can indicate only details of the Account registered for the Segregated client, and also the Clearing Member forfeit the right to provide to the Clearing House of the Requests for Collateral transfer in cash funds / instructions to transfer cash funds from the Settlement Account of the 1st level, registered for the Segregated client to the Settlement Accounts, registered for other persons. An empty field indicates the absence of necessity to protect cash funds.

2.32. Beneficial ownership representation letter[1]

(on the Company's letterhead)

To: CENTRAL COUNTERPARTY NATIONAL CLEARING CENTRE («**NCC**») **BENEFICIAL OWNERSHIP REPRESENTATION LETTER*** **([COMPANY] is the beneficial owner of income)**	Кому: Небанковская кредитная организация-центральный контрагент «Национальный Клиринговый Центр» (Акционерное общество) (далее – «**НКЦ**») **ПИСЬМО-ПОДТВЕРЖДЕНИЕ О НАЛИЧИИ ФАКТИЧЕСКОГО ПРАВА НА ПОЛУЧАЕМЫЙ ДОХОД*** **([КОМПАНИЯ] является лицом, имеющим фактическое право на получение дохода)**

[**FULL NAME OF COMPANY**], (the **COMPANY**) registered at [**ADDRESS OF REGISTRATION**], a tax resident of [**COUNTRY OF TAX RESIDENCY**], confirms that it is the beneficial owner of the income received under the proprietary transactions **with assets (shares, debt securities, futures, options, swaps, repo transactions, deposits, other financial instruments), the income in form of interest accrued on cash constituting individual and/or collective clearing collateral and/or the other collateral type, and rebates.**

The proprietary transactions mean:
- transactions concluded by the COMPANY in its own name and benefit, the obligations under which are recorded on the clearing registers opened by NCC to record of cash and other assets of the COMPANY, as well as its obligations under transactions concluded on behalf of and at the expense of the COMPANY.

Optional. If the COMPANY applies TTCA agreement, the phrase is added:
- Transactions in assets and funds transferred to the COMPANY by clients under

[**ПОЛНОЕ НАИМЕНОВАНИЕ КОМПАНИИ**], **(«КОМПАНИЯ»),** зарегистрированная по адресу [**ЮРИДИЧЕСКИЙ АДРЕС**], являющаяся налоговым резидентом [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА**], подтверждает, что она является лицом, имеющим фактическое право на получение дохода от собственных сделок **с активами (акции, долговые ценные бумаги, фьючерсы, опционы, свопы, сделки репо, депозиты, прочие финансовые инструменты), дохода в виде процентов, начисленных на денежные средства, составляющие индивидуальное и/или коллективное клиринговое обеспечение и/или иное обеспечение, и возвратных премий.**

Под собственными сделками понимаются:
- Сделки, заключенные от имени и за счет КОМПАНИИ, обязательства по которым учитываются на клиринговых регистрах, открытых НКЦ для учета информации о денежных средствах и иных активах КОМПАНИИ, а также обязательств по сделкам, заключенным от имени и за счет КОМПАНИИ.

Опционально. Если КОМПАНИЯ использует договоры ТТСА, добавляется фраза:
- Сделки с активами и денежными средствами, переданными КОМПАНИИ клиентами по

the Title Transfer Collateral Arrangement (TTCA) model, which are concluded by the COMPANY on its own behalf and at its own expense and have an attribute that the transaction is concluded in the interests of the COMPANY, and the obligations under the trade are recorded on the own clearing registers.

The COMPANY claims for the tax benefits provided for by [**CONVENTION BETWEEN THE GOVERNMENT OF [COUNTRY OF TAX RESIDENCE OF THE COMPANY] AND THE GOVERNMENT OF THE RUSSIAN FEDERATION FOR THE AVOIDANCE OF DOUBLE TAXATION AND THE PREVENTION OF FISCAL EVASION WITH RESPECT TO TAXES ON INCOME AND ON PROPERTY [DATE OF THE CONVENTION**][2].

For the purposes of this Beneficial Ownership Representation Letter, the term 'beneficial owner of income' is used in the meaning given by the tax and levy legislation of the Russian Federation.

The COMPANY entered into the **CLEARING MEMBERSHIP AGREEMENT № [DETAILS OF AGREEMENT]** (the **AGREEMENT**) in the ordinary course of business, acting on its behalf and for its own account, but not as an agent, trustee, nominee nor other person acting in the interest of third parties (including legal entities, individuals, structures without forming a legal entity, others). The COMPANY does not act as an intermediary for the income on behalf of another person and does not pay directly or indirectly the income (in full or in part) to another person, accepting all risks connected with the income receipt. The COMPANY is unlimited entitled to use and to dispose of the income received under the proprietary transactions at its own discretion, it is able to determine the future

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договорам, заключенным по модели Title Transfer Ccollateral Arrangement (TTCA), заключенные КОМПАНИЕЙ от имени КОМПАНИИ и в интересах КОМПАНИИ, и которые содержат указание в сделке на то, что она заключена в интересах КОМПАНИИ и обязательства по которым учитываются на собственных клиринговых регистрах.

КОМПАНИЯ претендует на применение налоговых льгот, предусмотренных [**КОНВЕНЦИЕЙ МЕЖДУ ПРАВИТЕЛЬСТВОМ [СТРАНА, В КОТОРОЙ КОМПАНИЯ ЯВЛЯЕТСЯ НАЛОГОВЫМ РЕЗИДЕНТОМ] И ПРАВИТЕЛЬСТВОМ РОССИЙСКОЙ ФЕДЕРАЦИИ ОБ ИЗБЕЖАНИИ ДВОЙНОГО НАЛОГООБЛОЖЕНИЯ И ПРЕДОТВРАЩЕНИИ УКЛОНЕНИЯ ОТ НАЛОГООБЛОЖЕНИЯ В ОТНОШЕНИИ НАЛОГОВ НА ДОХОДЫ И ПРИРОСТ СТОИМОСТИ ИМУЩЕСТВА [ДАТА КОНВЕНЦИИ**][3].

Для целей настоящего ПИСЬМА-ПОДТВЕРЖДЕНИЯ ФАКТИЧЕСКОГО ПРАВА НА ДОХОД термин «фактическое право на доход» используется в смысле, которое придается ему законодательством Российской Федерации о налогах и сборах.

КОМПАНИЯ заключила **ДОГОВОР ОБ ОКАЗАНИИ КЛИРИНГОВЫХ УСЛУГ № [РЕКВИЗИТЫ ДОГОВОРА]** (далее именуемый - «**ДОГОВОР**») в ходе обычной финансово-хозяйственной деятельности, действуя от своего имени и за свой счет, а не в качестве агента, поверенного, доверителя или иного лица, действующего в интересах третьих лиц (включая юридические или физические лица, структуры без образования юридического лица, другое). КОМПАНИЯ подтверждает, что не осуществляет в отношении дохода посреднических функций в интересах иного лица и не выплачивает прямо или косвенно доход (полностью или частично) иному лицу, принимая на себя все риски, связанные с получением дохода. КОМПАНИЯ имеет неограниченное право самостоятельно пользоваться и распоряжаться доходом,

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[1] It's filled in by Non-resident Clearing Member
[2] If applicable
[3] Если применимо

economic destiny of the income. The COMPANY has not contractual (legal) obligations conditioning the future use of the income, whereby the transfer of the income to third parties is contractually preconditioned and/or contingent on the receipt of the income by the COMPANY.

The COMPANY confirms that (1) Assets in relation to which the income will be received will be reflected as own assets on the balance sheet prepared in accordance with IFRS/ US GAAP /UK GAAP or other applicable standards of financial statements; (2) The income will be included in the Financial Statements of the COMPANY prepared in accordance with IFRS/ US GAAP /UK GAAP or other applicable standards of financial statements preparation; (3) The monetary funds connected with payment of the income will be transferred to the bank account of the COMPANY which at that time is at the full disposal of the COMPANY. This bank account of the COMPANY will not be pledged in favor of any other persons and the COMPANY will be the only owner and beneficiary of this bank account.

The COMPANY confirms that it is not a special purpose vehicle created for the principal purposes of tax optimization and/or the purposes of applying the benefits under the double tax treaties. The COMPANY operates in [**COUNTRY OF TAX RESIDENCY**] through its office located at [**ADDRESS OF REGISTRATION**]. The COMPANY has its own equipment, which is necessary to conclude transactions under the AGREEMENT. The COMPANY carries out its entrepreneur activities including relating to the receipt of income using own qualified and skilled personnel and own equity. The

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полученным от сделок, заключаемых за свой счет, и самостоятельно определять его дальнейшую экономическую судьбу. КОМПАНИЯ не имеет контрактных (договорных) обязательств, предопределяющих порядок использования дохода, при которых передача дохода третьим лицам была бы контрактно предопределена и/или обусловлена получением такого дохода КОМПАНИЕЙ.

КОМПАНИЯ подтверждает, что (1) активы, в отношении которых будет получаться доход, будут отображены в отчетности, составленной в соответствии с международными стандартами финансовой отчетности/общепринятыми принципами бухгалтерского учёта США/общепринятыми принципами бухгалтерского учёта Великобритании /и другими применимыми стандартами финансовой отчетности как собственные активы КОМПАНИИ; (2) доход будет включен в финансовую отчётность КОМПАНИИ, составленную в соответствии с международными стандартами финансовой отчетности/общепринятыми принципами бухгалтерского учёта США/общепринятыми принципами бухгалтерского учёта Великобритании /и другими применимыми стандартами финансовой отчетности (3) денежные средства для выплаты дохода будут перечисляться на банковский счет КОМПАНИИ, который на момент перечисления будет находиться в полном распоряжении КОМПАНИИ. Данный банковский счет КОМПАНИИ не будет предоставляться в залог другим лицам, КОМПАНИЯ будет являться единственным владельцем и бенефициаром данного банковского счета.

КОМПАНИЯ подтверждает, что не является специальной организацией, созданной для целей налоговой оптимизации и/или применения налоговых льгот по соглашениям об избежании двойного налогообложения. КОМПАНИЯ осуществляет свою деятельность на территории [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА**] через свой офис, расположенный по адресу [**ЮРИДИЧЕСКИЙ АДРЕС**]. КОМПАНИЯ обладает собственным оборудованием, которое необходимо для заключения сделок в рамках ДОГОВОРА. КОМПАНИЯ осуществляет свою финансово-хозяйственную деятельность, в том числе

COMPANY's entrepreneur activities are not limited by the receipt of the income under the AGREEMENT. The Executive bodies of the COMPANY consist of persons who have the necessary skills and expertise with respect to the area for which income is paid and are able to take decisions relating to the activities of the COMPANY on their own, including matters relating to the use of the available monetary funds and profits, and do not act under instructions from any other persons.

Obtaining tax benefits / tax treaty benefits is not one of the principal purposes of the transactions conducted under the AGREEMENT. Obtaining tax benefits / tax treaty benefits was not one of the principal purposes of the COMPANY establishment.

The Company confirms that it has the right to apply tax benefits under applicable double tax treaty in accordance with the requirements of the MULTILATERAL CONVENTION TO IMPLEMENT TAX TREATY RELATED MEASURES TO PREVENT BASE EROSION AND PROFIT SHIFTING within the meaning of OECD (http://www.oecd.org) subject to the reservations of the Russian Federation.
[The COMPANY confirms that its activities comply with the requirements of the legislation on economic substance][4].

The COMPANY confirms that all transactions under the AGREEMENT are not aimed at or driven by the principal purposes of tax optimization, tax avoidance or getting any other tax benefits.

The COMPANY is subject to corporate income tax in [**COUNTRY OF TAX RESIDENCY**]. In particular, the income received under the

связанную с получением дохода, с привлечением собственного квалифицированного персонала и собственного капитала. Деятельность Компании не ограничивается только получением дохода по ДОГОВОРУ. Члены исполнительных органов КОМПАНИИ обладают необходимыми знаниями и компетенциям в сфере деятельности, в отношении которой осуществляется выплата дохода, самостоятельно принимают решения по вопросам, касающихся деятельности КОМПАНИИ, в том числе по вопросам, связанным с использованием имеющихся денежных средств и прибыли, и не действуют по указанию каких-либо третьих лиц.

Получение налоговых льгот / налоговых льгот по международным соглашениям об избежании двойного налогообложения не является одной из основных целей совершения сделок по ДОГОВОРУ. Получение налоговых льгот / налоговых льгот по международным оглашениям об избежании двойного налогообложения не является одной из основных целей создания КОМПАНИИ.

Компания подтверждает, что имеет право на получение налоговых льгот по договору об избежании двойного налогообложения в соответствии с требованиями многосторонней Конвенции по выполнению мер, относящихся к налоговым соглашениям, в целях противодействия размыванию налоговой базы и выводу прибыли из-под налогообложения в рамках ОЭСР (http://www.oecd.org), с учетом оговорок Российской Федерации.
[КОМПАНИЯ подтверждает, что ее деятельность соответствует требованиям законодательства об экономическом присутствии][5].

КОМПАНИЯ подтверждает, что все сделки по ДОГОВОРУ не направлены и не обусловлены целью получения налоговой оптимизации, уменьшения налоговых обязательств или получениях иных налоговых выгод.

КОМПАНИЯ является плательщиком налога на прибыль организаций в [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА**]. В

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[4] If applicable
[5] Если применимо

52

AGREEMENT is treated as income for the corporate tax purposes in [**COUNTRY OF TAX RESIDENCY**]. The above statement is true and correct as of the date of signing of the AGREEMENT and the COMPANY ensures NCC that the above statement will be true and correct during the period in which the services will be provided to the COMPANY under the AGREEMENT. The COMPANY shall promptly inform NCC in the event that the COMPANY fails to meet any of the above statements.	частности, прибыль, полученная в рамках ДОГОВОРА, считается прибылью для целей налогообложения в [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА**]. Утверждения в настоящем документе являются верными на дату подписания ДОГОВОРА, и КОМПАНИЯ гарантирует НКЦ, что они будут оставаться таковыми в течение всего срока оказания услуг КОМПАНИИ по ДОГОВОРУ. КОМПАНИЯ обязуется незамедлительно сообщить НКЦ об отсутствии у нее возможности выполнить какие-либо из вышеперечисленных заявлений.
The COMPANY confirms that it is not a tax resident of the Russian Federation. [The COMPANY confirms that the transactions that will be concluded by the COMPANY under the AGREEMENT are not related to the COMPANY's branch or representative office in the Russian Federation / are not concluded by the COMPANY's branch or representative office in the Russian Federation]. **OR** [The COMPANY confirms that it has no representative office, branch office or other registered place of business in the territory of the Russian Federation, as well as does not perform activities in Russia, resulting in the creation of a permanent establishment in the territory of the Russian Federation in accordance with Russian tax law]. The COMPANY confirms that the abovementioned representations extend for term of the AGREEMENT with NCC. The COMPANY confirms that it will inform NCC about changes that may have impact on the withholding tax procedure. The COMPANY confirms that it undertakes to	КОМПАНИЯ подтверждает, что она не является налоговым резидентом Российской Федерации. [КОМПАНИЯ подтверждает, что сделки, которые будут заключены КОМПАНИЕЙ в рамках ДОГОВОРА, не имеют отношения к филиалу или представительству КОМПАНИИ в Российской Федерации / не заключаются через филиал или представительство КОМПАНИИ в Российской Федерации]. **Или** [КОМПАНИЯ подтверждает, что не имеет представительства, филиала, офиса или иного зарегистрированного места осуществления деятельности на территории Российской Федерации, а также не осуществляет деятельность в Российской Федерации, приводящую к созданию постоянного представительства на территории Российской Федерации в соответствии с налоговым законодательством Российской Федерации]. КОМПАНИЯ подтверждает, что вышеупомянутые заявления действительны в течение срока действия ДОГОВОРА с НКЦ. КОМПАНИЯ подтверждает, что она проинформирует НКЦ обо всех изменениях, которые могут оказать влияние на процедуру налогообложения дохода налогом от источников. КОМПАНИЯ подтверждает, что она обязуется в

submit within the established timeline, but in any case not later than ten working days upon the receipt by NCC of the relevant enquiry from the Russian tax authorities, the documents and other information relating to this Beneficial Ownership Representation Letter, including financial statements prepared in accordance with the Reporting Standards adopted in [**COUNTRY OF TAX RESIDENCY**], or in accordance with International Financial Reporting Standards, or other internationally recognized standards of financial reporting.

INDEMNITY

If it has ever been determined by administrative action or judicial decision that Russian withholding tax should have been charged and payable in respect of an income transferred (or to be transferred) by NCC to the COMPANY in respect of this AGREEMENT and such Russian withholding tax was not withheld /was withheld of an insufficient amount by NCC earlier, i.e. on the basis of incorrect confirmation contained in this Beneficial Ownership Representation Letter, the COMPANY shall pay to NCC such amount of Russian withholding tax (in the amount specified in the NCC Clearing Rules including any applicable taxes, fines and penalties and/or fines and penalties calculated in accordance with the NCC Clearing Rules) promptly upon being requested to do so by NCC, as well as by using collateral recorded in NCC (in this case a specific claim to NCC/ notification of the COMPANY is not required; NCC fulfills the obligation in full and/or in part by using that collateral amount).

This Beneficial Ownership Representation Letter may be provided by NCC as a tax agent to the Russian tax authorities.

On behalf of the COMPANY

установленные сроки, но не позднее чем в течение 10 (десяти) рабочих дней с даты получения НКЦ соответствующего запроса от российских налоговых органов, предоставить документы и иную информацию, связанную с настоящим ПИСЬМОМ-ПОДТВЕРЖДЕНИЕМ ФАКТИЧЕСКОГО ПРАВА НА ДОХОД, включая финансовую отчетность, подготовленную в соответствии со стандартами отчетности, принятыми в [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА**], или в соответствии с международными стандартами финансовой отчетности МСФО, или иными общепризнанными международными стандартами финансовой отчетности.

ГАРАНТИЯ ВОЗМЕЩЕНИЯ

В случае если решением административного характера или судебным решением будет установлено, что в отношении дохода, перечисленного (или перечисляемого) НКЦ КОМПАНИИ в рамках ДОГОВОРА, должен быть удержан и уплачен налог на доходы от источников в Российской Федерации и такой налог ранее не был удержан НКЦ / был удержан НКЦ в меньшем размере, в том числе в связи с предоставлением недостоверных сведений, содержащихся в настоящем ПИСЬМЕ-ПОДТВЕРЖЕНИИ ФАКТИЧЕСКОГО ПРАВА НА ДОХОД, КОМПАНИЯ обязуется незамедлительно по требованию НКЦ оплатить НКЦ сумму средств (в размере, предусмотренном Правилами клиринга НКЦ, а именно: все применимые налоги, штрафы и пени и/или штрафы, рассчитанные в соответствии с Правилами клиринга НКЦ), в том числе из средств обеспечения КОМПАНИИ, учитываемых НКЦ (в этом случае отдельное требование НКЦ/уведомление КОМПАНИИ не требуется, НКЦ исполняет указанное обязательство полностью и/или частично за счет указанных средств обеспечения).

НКЦ как налоговый агент может предоставлять данное ПИСЬМО-ПОДТВЕРЖДЕНИЕ ФАКТИЧЕСКОГО ПРАВА НА ДОХОД в налоговые органы Российской Федерации.

От имени КОМПАНИИ

_____

[SIGNATURE OF THE AUTHORIZED PERSON]

[DATE OF SIGNING]

* This form is recommended by NCC

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[ПОДПИСЬ УПОЛНОМОЧЕННОГО ЛИЦА]

[ДАТА ПОДПИСАНИЯ]

* Рекомендуемая Клиринговым центром форма

2.33.   Beneficial ownership waiver[6]

(on the Company's letterhead)

To: CENTRAL COUNTERPARTY NATIONAL CLEARING CENTRE («**NCC**»)	Кому: Небанковская кредитная организация-центральный контрагент «Национальный Клиринговый Центр» (Акционерное общество) (далее – «**НКЦ**»)
BENEFICIAL OWNERSHIP WAIVER*	**ПИСЬМО-ПОДТВЕРЖДЕНИЕ ОБ ОТСУТСТВИИ ФАКТИЧЕСКОГО ПРАВА НА ПОЛУЧАЕМЫЙ ДОХОД***
(The [COMPANY] is not the beneficial owner of income)	**([КОМПАНИЯ] не является лицом, имеющим фактическое право на получение дохода)**
[**FULL NAME OF COMPANY**], **(**the **BROKER)** registered at [**ADDRESS OF REGISTRATION**], a tax resident of [**COUNTRY OF TAX RESIDENCY**], confirms that it is not the beneficial owner of the income that will be received under the client transactions and is not entitled to benefit from concessional taxation in view of the provisions of [**CONVENTION BETWEEN THE GOVERNMENT OF [COUNTRY OF TAX RESIDENCE OF THE BROKER] AND THE GOVERNMENT OF THE RUSSIAN FEDERATION FOR THE AVOIDANCE OF DOUBLE TAXATION AND THE PREVENTION OF FISCAL EVASION WITH RESPECT TO TAXES ON INCOME AND ON PROPERTY [DATE OF THE CONVENTION**][7].	[**ПОЛНОЕ НАИМЕНОВАНИЕ КОМПАНИИ**], **(«БРОКЕР»),** зарегистрированная по адресу [**ЮРИДИЧЕСКИЙ АДРЕС**], являющаяся налоговым резидентом [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА**], подтверждает, что она не является лицом, имеющим фактическое право на получение дохода от **клиентских сделок** , а также не претендует на получение налоговых льгот в рамках положений [**КОНВЕНЦИИ МЕЖДУ ПРАВИТЕЛЬСТВОМ [СТРАНА, В КОТОРОЙ БРОКЕР ЯВЛЯЕТСЯ НАЛОГОВЫМ РЕЗИДЕНТОМ] И ПРАВИТЕЛЬСТВОМ РОССИЙСКОЙ ФЕДЕРАЦИИ ОБ ИЗБЕЖАНИИ ДВОЙНОГО НАЛОГООБЛОЖЕНИЯ И ПРЕДОТВРАЩЕНИИ УКЛОНЕНИЯ ОТ НАЛОГООБЛОЖЕНИЯ В ОТНОШЕНИИ НАЛОГОВ НА ДОХОДЫ И ПРИРОСТ СТОИМОСТИ ИМУЩЕСТВА ОТ [ДАТА КОНВЕНЦИИ**][8].
The client transactions mean: - Transactions concluded on behalf of the BROKER and at the expense of BROKER's clients, including funds transferred to the BROKER for fiduciary management, where obligations on such trades are recorded on	Под клиентскими сделками понимаются: - Сделки, заключенные от имени БРОКЕРА и за счет клиентов БРОКЕРА, в том числе за счет средств, переданных БРОКЕРУ в доверительное управление, обязательства по которым учитываются на клиринговых

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[6] Application is filled in by Non–resident Clearing Member, as well as by client of the Clearing Member, if he is a broker executing transactions on behalf of third parties, in relation to client transactions under which they are not persons which are not beneficial owners of income

[7] If applicable

[8] Если применимо

the clearing registers opened by NCC to record cash and other assets of BROKER's clients, as well as obligations under trades concluded on behalf of the BROKER and at the expense of BROKER's clients, including funds transferred to the BROKER for fiduciary management.

Optional. If the BROKER applies TTCA agreements, the phrase is added:
- Transactions in assets (shares, debt securities, futures, options, swaps, repo transactions, other financial instruments) and cash recorded by the BROKER under contracts concluded under the Title Transfer Collateral Agreement model with its clients, which are concluded on behalf of the BROKER and in the interests of the BROKER's clients, and which have an attribute that it is concluded in the interests of the BROKER's client, and obligations under which are recorded in its own clearing registers.

The BROKER acknowledges that the beneficial owner(s) of income is(are):

[SPECIFIED THE COMPANY] registered at **[ADDRESS OF REGISTRATION],** the tax resident of **[COUNTRY].**

[SPECIFIED THE COMPANY] registered at **[ADDRESS OF REGISTRATION],** the tax resident of **[COUNTRY]**

(jointly the "**CLIENTS**").

For the purposes of this Beneficial Ownership Waiver, the term 'beneficial owner of income' is used in the meaning given by the tax legislation of the Russian Federation.

The above statement is true and correct as of the date of signing **CLEARING MEMBERSHIP AGREEMENT № [DETAILS OF THE AGREEMENT] (**the **AGREEMENT)** and the BROKER ensures NCC that the above statement will be true and correct during the period of such services provided by NCC to the BROKER under the AGREEMENT.

регистрах, открытых НКЦ для учета информации о денежных средствах и иных активах клиентов БРОКЕРА, а также обязательств по сделкам, заключенным от имени БРОКЕРА и за счет клиентов БРОКЕРА, в том числе за счет средств, переданных БРОКЕРУ в доверительное управление.

Опционально. Если БРОКЕР использует договоры TTCA, добавляется фраза:
- сделки с активами (акции, долговые ценные бумаги, фьючерсы, опционы, свопы, сделки репо, прочие финансовые инструменты) и денежными средствами, учитываемыми БРОКЕРОМ по договорам, заключенным по модели Title Transfer Collateral Agreement со своими клиентами, которые заключаются от имени БРОКЕРА и в интересах клиентов БРОКЕРА, и которые содержат указание в сделке на то, что она заключена в интересах клиента БРОКЕРА, и обязательства по которым учитываются на Собственных клиринговых регистрах.

БРОКЕР признает, что лицом, имеющим фактическое право на получение дохода, является/являются:

[НАИМЕНОВАНИЕ КОМПАНИИ], зарегистрированная по адресу **[ЮРИДИЧЕСКИЙ АДРЕС],** налоговый резидент **[УКАЖИТЕ СТРАНУ].**
[НАИМЕНОВАНИЕ КОМПАНИИ], зарегистрированная по адресу **[ЮРИДИЧЕСКИЙ АДРЕС],** налоговый резидент **[УКАЖИТЕ СТРАНУ].**

(совместно именуемые «**КЛИЕНТЫ**»).

Для целей настоящего ПИСЬМА-ПОДТВЕРЖДЕНИЯ термин «фактическое право на доход» используется в смысле, которое придается ему налоговым законодательством Российской Федерации.

Утверждения в настоящем документе являются верными на дату подписания **ДОГОВОРА ОБ ОКАЗАНИИ КЛИРИНГОВЫХ УСЛУГ № [РЕКВИЗИТЫ ДОГОВОРА] («ДОГОВОР»)**, при этом БРОКЕР гарантирует НКЦ, что они будут оставаться таковыми в течение всего срока оказания НКЦ услуг БРОКЕРУ по ДОГОВОРУ.

The BROKER shall promptly inform NCC in the event that any of the CLIENTS fails to meet any of the above statements. The BROKER confirms that it undertakes to submit within the established timeline, but in any case not later than ten working days upon the receipt by NCC of the relevant enquiry from the Russian tax authorities, the documents and other information relating to this Beneficial Ownership Waiver, including financial statements prepared in accordance with the Reporting Standards adopted in the country of the tax residency of the CLIENTS, or in accordance with International Financial Reporting Standards, or other internationally recognized standards of financial reporting.	БРОКЕР обязуется незамедлительно уведомить НКЦ о несоответствии одним из КЛИЕНТОВ какой-либо информации, указанной выше. БРОКЕР подтверждает, что она обязуется в установленные сроки, но не позднее чем в течение 10 (десяти) рабочих дней с даты получения НКЦ соответствующего запроса от российских налоговых органов, предоставить документы и иную информацию, связанную с настоящим ПИСЬМОМ-ПОДТВЕРЖДЕНИЕМ, включая финансовую отчетность, подготовленную в соответствии со стандартами отчетности, принятыми в стране налогового резидентства КЛИЕНТОВ, или в соответствии с международными стандартами финансовой отчетности МСФО, или иными общепризнанными международными стандартами финансовой отчетности.
INDEMNITY If it has ever been determined by administrative action or judicial decision that Russian withholding tax should have been charged and payable in respect of an income transferred (or to be transferred) by NCC to the BROKER upon the client transactions in accordance with the AGREEMENT and such Russian withholding tax was not withheld /was withheld of an insufficient amount by NCC earlier, i.e. on the basis of incorrect confirmation contained in this Beneficial Ownership Waiver, the BROKER shall pay to NCC such amount of Russian withholding tax (in the amount specified in the NCC Clearing Rules including any applicable taxes, fines and penalties and/or fines and penalties calculated in accordance with the NCC Clearing Rules) promptly upon being requested to do so by NCC, as well as by using its collateral recorded in NCC (in this case a specific claim/notification from the BROKER is not required; NCC fulfills the obligation in full and/or in part by using that collateral).	**ГАРАНТИЯ ВОЗМЕЩЕНИЯ** В случае если решением административного характера или судебным решением будет установлено, что в отношении дохода, перечисленного (или перечисляемого) НКЦ БРОКЕРУ в рамках ДОГОВОРА при заключении клиентских сделок, должен быть удержан и уплачен налог на доходы от источников в Российской Федерации и такой налог ранее не был удержан НКЦ/был удержан НКЦ в меньшем размере, в том числе в связи с предоставлением недостоверных сведений, содержащихся в настоящем ПИСЬМЕ-ПОДТВЕРЖЕНИИ, БРОКЕР обязуется незамедлительно по требованию НКЦ оплатить НКЦ сумму средств (в размере, предусмотренном Правилами клиринга НКЦ, а именно: все применимые налоги, штрафы и пени и/или штрафы, рассчитанные в соответствии с Правилами клиринга НКЦ), в том числе из средств обеспечения БРОКЕРА, учитываемых НКЦ (в этом случае отдельное требование НКЦ/уведомление КОМПАНИИ не требуется, НКЦ исполняет указанное обязательство полностью и/или частично за счет указанных средств обеспечения).
This Beneficial Ownership Waiver may be provided by NCC as a tax agent to the Russian tax authorities.	НКЦ как налоговый агент может предоставлять данное ПИСЬМО-ПОДТВЕРЖДЕНИЕ в налоговые органы Российской Федерации.

On behalf of the BROKER

От имени БРОКЕРА

_____

_____

[SIGNATURE OF THE AUTHORIZED PERSON]

[ПОДПИСЬ УПОЛНОМОЧЕННОГО ЛИЦА]

[DATE OF SIGNING]

[ДАТА ПОДПИСАНИЯ]

* This form is recommended by NCC

* Рекомендуемая Клиринговым центром форма

2.34. Consecutive beneficial ownership representation letter[9]

(on the Company's letterhead)

To: CENTRAL COUNTERPARTY NATIONAL CLEARING CENTRE («**NCC**»)	Кому: Небанковская кредитная организация-центральный контрагент «Национальный Клиринговый Центр» (Акционерное общество) (далее – «**НКЦ**»)
CONSECUTIVE BENEFICIAL OWNERSHIP REPRESENTATION LETTER*	**ПИСЬМО-ПОДТВЕРЖДЕНИЕ О НАЛИЧИИ У ФАКТИЧЕСКОГО ПОЛУЧАТЕЛЯ ДОХОДА ФАКТИЧЕСКОГО ПРАВА НА ПОЛУЧАЕМЫЙ ДОХОД***
(The [COMPANY] is the beneficial owner of income)	**([КОМПАНИЯ] является лицом, имеющим фактическое право на получение дохода)**
[FULL NAME OF COMPANY] (the **COMPANY)**, a tax resident of **[COUNTRY OF TAX RESIDENCE OF THE COMPANY]**, confirms that it is the beneficial owner of the income that will be received:	**[ПОЛНОЕ НАИМЕНОВАНИЕ КОМПАНИИ]** (далее по тексту - «**КОМПАНИЯ**»), являющаяся налоговым резидентом **[СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА КОМПАНИИ]**, настоящим подтверждает наличие у нее фактического права на получение дохода:
- from transactions in the assets (equities, debt securities, futures, option, swap contracts, repo transactions, other derivatives and financial instruments) concluded through **[FULL NAME OF BROKER]** (the **BROKER**), which conducts business with the **CENTRAL COUNTERPARTY NATIONAL CLEARING CENTRE** (**NCC**) in accordance with **CLEARING MEMBERSHIP AGREEMENT № [DETAILS OF AGREEMENT]** (the **AGREEMENT**) identified as the client transactions (i.e., trades concluded on behalf of the BROKER and at the expense of the COMPANY, including funds transferred to the BROKER for fiduciary management, where the obligations on such trades are recorded on the clearing registers opened by NCC for accounting of cash and other assets of the COMPANY, as well as the liabilities on trades concluded on behalf of the BROKER and at the expense of the COMPANY), , including funds transferred to the BROKER for fiduciary management),	- от сделок с активами (акции, долговые ценные бумаги, фьючерсы, опционы, свопы, сделки репо, другие финансовые инструменты), которые заключаются через **[ПОЛНОЕ НАИМЕНОВАНИЕ БРОКЕРА]** («БРОКЕР»), осуществляющего операции через НКЦ в рамках **ДОГОВОРА ОБ ОКАЗАНИИ КЛИРИНГОВЫХ УСЛУГ («ДОГОВОР»),** которые были признаны клиентскими сделками (то есть, Сделками в соответствии с Правилами клиринга, заключенными от имени БРОКЕРА и за счет КОМПАНИИ, в том числе за счет средств, переданных БРОКЕРУ в доверительное управление, обязательства по которым учитываются на клиринговых регистрах, открытых НКЦ для учета информации о денежных средствах и иных активах КОМПАНИИ, а также обязательств по сделкам, заключенным от имени БРОКЕРА и за счет КОМПАНИИ), в том числе за счет средств, переданных БРОКЕРУ в доверительное управление),
Optional. If the COMPANY applies TTCA agreements, the phrase is added:	*Опционально. Если КОМПАНИЯ использует договоры TTCA, добавляется фраза:*

- from transactions in assets (shares, debt securities, futures, options, swaps, repo transactions, other financial instruments) and cash recorded by the BROKER under a contract concluded under the Title Transfer Collateral Arrangement model with the COMPANY conducting transactions through the NCC under the AGREEMENT, transactions with which are concluded by the BROKER on behalf of the BROKER and in the interests of the COMPANY, contain an indication in the transaction that the transaction was concluded in the interests of the COMPANY, and obligations for which are recorded in the BROKER's own clearing registers.

The COMPANY claims for the tax benefits provided for by the [**CONVENTION BETWEEN THE GOVERNMENT OF [COUNTRY OF TAX RESIDENCE OF THE COMPANY] AND THE GOVERNMENT OF THE RUSSIAN FEDERATION FOR THE AVOIDANCE OF DOUBLE TAXATION AND THE PREVENTION OF FISCAL EVASION WITH RESPECT TO TAXES ON INCOME AND ON PROPERTY [DATE OF THE CONVENTION]**[10].

For the purposes of this Consecutive Beneficial Ownership Representation Letter, the term 'beneficial owner of income' is used in the meaning given by the tax legislation of the Russian Federation.

The COMPANY entered into the **[DETAILS OF CONTRACT]** with the **BROKER (**the **CONTRACT)** in the ordinary course of business, acting on its behalf and for its own account, but not as an agent, trustee, nominee nor other person acting in the interest of third parties (including legal entities, individuals, structures without forming a legal entity, others). The COMPANY does not act as an intermediary for the income on behalf of another person and does not pay directly or indirectly the income (in full or in part) to another person,

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- от сделок с активами (акции, долговые ценные бумаги, фьючерсы, опционы, свопы, сделки РЕПО, другие финансовые инструменты) и денежными средствами, учитываемых БРОКЕРОМ по договору, заключенному по модели Title Transfer Collateral Arrangement с КОМПАНИЕЙ, осуществляющем операции через НКЦ в рамках ДОГОВОРА, сделки с которыми заключаются БРОКЕРОМ от имени БРОКЕРА и в интересах КОМПАНИИ, содержат указание в сделке на то, что сделка заключена в интересах КОМПАНИИ, и обязательства по которым учитываются на Собственных клиринговых регистрах БРОКЕРА.

КОМПАНИЯ претендует на получение льгот, предусмотренных [**КОНВЕНЦИЕЙ МЕЖДУ ПРАВИТЕЛЬСТВОМ [СТРАНА, В КОТОРОЙ КОМПАНИЯ ЯВЛЯЕТСЯ НАЛОГОВЫМ РЕЗИДЕНТОМ] И ПРАВИТЕЛЬСТВОМ РОССИЙСКОЙ ФЕДЕРАЦИИ ОБ ИЗБЕЖАНИИ ДВОЙНОГО НАЛОГООБЛОЖЕНИЯ И ПРЕДОТВРАЩЕНИИ УКЛОНЕНИЯ ОТ НАЛОГООБЛОЖЕНИЯ В ОТНОШЕНИИ НАЛОГОВ НА ДОХОДЫ И ПРИРОСТ СТОИМОСТИ ИМУЩЕСТВА ОТ [ДАТА КОНВЕНЦИИ]**[11].

Для целей настоящего ПИСЬМА-ПОДТВЕРЖДЕНИЯ термин «фактическое право на доход» используется в смысле, которое придается ему налоговым законодательством Российской Федерации.

КОМПАНИЯ заключила **[РЕКВИЗИТЫ КОНТРАКТА]** с **БРОКЕРОМ** (далее именуемый - «**КОНТРАКТ**») в ходе обычной финансово-хозяйственной деятельности, действуя от своего имени и за свой счет, а не в качестве агента, поверенного, доверителя или иного лица, действующего в интересах третьих лиц (включая юридические или физические лица, структуры без образования юридического лица, другое). КОМПАНИЯ подтверждает, что не осуществляет в отношении дохода посреднических функций в интересах иного лица и не выплачивает прямо

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[9] It's filled in by the client of the Non-resident Clearing Member which is beneficial owner of the income. If client of the Non-resident Clearing Member is a broker executing transactions on behalf of third parties, the form is filled in by the client of broker

[10] If applicable

[11] Если применимо

accepting all risks connected with the income receipt. The COMPANY is unlimited entitled to use and to dispose of the income received under the CONTRACT at own discretion, it is able to determine the future economic destiny of the income. The COMPANY has not contractual (legal) obligations conditioning the future use of the income, whereby the transfer of the income to third parties is contractually preconditioned and/or contingent on the receipt of the income by the COMPANY.

The COMPANY confirms that (1) Assets in relation to which the income will be received will be reflected as own assets on the balance sheet prepared in accordance with IFRS/ US GAAP /UK GAAP or other applicable standards of financial statements; (2) The income will be included in the Financial Statements of the COMPANY prepared in accordance with IFRS/ US GAAP /UK GAAP or other applicable standards of financial statements preparation: (3) The monetary funds connected with payment of the income will be transferred to the bank account of the COMPANY which at that time is at the full disposal of the COMPANY. This bank account of the COMPANY will not be pledged in favor of any other persons and the COMPANY will be the only owner and beneficiary of this bank account.

The COMPANY confirms that it is not a special purpose vehicle created for the principal purposes of tax optimization and/or the purposes of applying the benefits under the double tax treaties. The COMPANY operates in **[COUNTRY OF TAX RESIDENCE OF THE COMPANY]** through its office located at [**ADDRESS OF REGISTRATION**]. The COMPANY has its own equipment, which is necessary to

или косвенно доход (полностью или частично) иному лицу, принимая на себя все риски, связанные с получением дохода. КОМПАНИЯ имеет неограниченное право самостоятельно пользоваться и распоряжаться доходом, полученным по КОНТРАКТУ, и самостоятельно определять его дальнейшую экономическую судьбу. КОМПАНИЯ не имеет контрактных (договорных) обязательств, предопределяющих порядок использования дохода, при которых передача дохода третьим лицам была бы контрактно предопределена и/или обусловлена получением такого дохода КОМПАНИЕЙ.

КОМПАНИЯ подтверждает, что (1) активы, в отношении которых будет получаться доход, будут отображены в отчетности, составленной в соответствии с международными стандартами финансовой отчетности/общепринятыми принципами бухгалтерского учёта США/общепринятыми принципами бухгалтерского учёта Великобритании /и другими применимыми стандартами финансовой отчетности как собственные активы КОМПАНИИ; (2) доход будет включен в финансовую отчётность КОМПАНИИ, составленную в соответствии с международными стандартами финансовой отчетности/общепринятыми принципами бухгалтерского учёта США/общепринятыми принципами бухгалтерского учёта Великобритании /и другими применимыми стандартами финансовой отчетности (3) денежные средства для выплаты дохода будут перечисляться на банковский счет КОМПАНИИ, который на момент перечисления будет находиться полном распоряжении КОМПАНИИ. Данный банковский счет КОМПАНИИ не будет предоставляться в залог другим лицам, КОМПАНИЯ будет являться единственным владельцем и бенефициаром данного банковского счета.

КОМПАНИЯ подтверждает, что не является специальной организацией, созданной для целей налоговой оптимизации и/или применения налоговых льгот по соглашениям об избежании двойного налогообложения. КОМПАНИЯ осуществляет свою деятельность на территории [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА КОМПАНИИ**] через свой офис, расположенный по адресу [**ЮРИДИЧЕСКИЙ АДРЕС ОФИСА**].

conclude transactions under the CONTRACT. The COMPANY carries out its entrepreneur activities including relating to the receipt of income using own qualified and skilled personnel and own equity. The COMPANY's entrepreneur activities are not limited by the receipt of the income under the CONTRACT. The Executive bodies of the COMPANY consist of persons who have the necessary skills and expertise with respect to the area of activity for which income is paid and are able to take decisions relating to the activities of the COMPANY on their own, including matters relating to the use of the available monetary funds and profits, and do not act under instructions from any other persons.

Obtaining tax benefits / tax treaty benefits is not one of the principal purposes of the transactions conducted under the CONTRACT. Obtaining tax benefits / tax treaty benefits was not one of the principal purposes of the COMPANY establishment.

The Company confirms that it has the right to apply tax benefits under applicable double tax treaty in accordance with the requirements of the MULTILATERAL CONVENTION TO IMPLEMENT TAX TREATY RELATED MEASURES TO PREVENT BASE EROSION AND PROFIT SHIFTING within the meaning of OECD (http://www.oecd.org) subject to the reservations of the Russian Federation.

[The COMPANY confirms that its activities comply with the requirements of the legislation on economic substance][12].

The COMPANY confirms that all transactions under the CONTRACT are not aimed at or driven by the principal purposes of tax optimization, tax avoidance or getting any

КОМПАНИЯ обладает собственным оборудованием, которое необходимо для заключения сделок в рамках КОНТРАКТА. КОМПАНИЯ осуществляет свою финансово-хозяйственную деятельность, в том числе связанную с получением дохода, с привлечением собственного квалифицированного персонала и собственного капитала. Деятельность Компании не ограничивается только получением дохода по КОНТРАКТУ. Члены исполнительных органов КОМПАНИИ обладают необходимыми знаниями и компетенциям в сфере деятельности, в отношении которой осуществляется выплата дохода, самостоятельно принимают решения по вопросам, касающихся деятельности КОМПАНИИ, в том числе по вопросам, связанным с использованием имеющихся денежных средств и прибыли, и не действуют по указанию каких-либо третьих лиц.

Получение налоговых льгот / налоговых льгот по международным соглашениям об избежании двойного налогообложения не является одной из основных целей совершения сделок по КОНТРАКТУ. Получение налоговых льгот / налоговых льгот по международным оглашениям об избежании двойного налогообложения не является одной из основных целей создания КОМПАНИИ.

Компания подтверждает, что имеет право на получение налоговых льгот по договору об избежании двойного налогообложения в соответствии с требованиями многосторонней Конвенции по выполнению мер, относящихся к налоговым соглашениям, в целях противодействия размыванию налоговой базы и выводу прибыли из-под налогообложения в рамках ОЭСР (http://www.oecd.org), с учетом оговорок Российской Федерации.
[КОМПАНИЯ подтверждает, что ее деятельность соответствует требованиям законодательства об экономическом присутствии][13].

КОМПАНИЯ подтверждает, что все сделки по КОНТРАКТУ не направлены и не обусловлены целью получения налоговой оптимизации, уменьшения налоговых обязательств или

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[12] If applicable
[13] Если применимо

other tax benefits. The COMPANY is subject to corporate income tax in **[COUNTRY OF TAX RESIDENCE OF THE COMPANY]**. In particular, the income received under the CONTRACT is treated as income for the corporate tax purposes in **[COUNTRY OF TAX RESIDENCE OF THE COMPANY]**. The above statement is true and correct as of the date of signing the CONTRACT and the COMPANY ensures NCC that the above statement will be true and correct during the period in which the services will be provided by the BROKER to the COMPANY under the CONTRACT. The COMPANY shall promptly inform NCC in the event that the COMPANY fails to meet any of the above statements.	получениях иных налоговых выгод. КОМПАНИЯ является плательщиком налога на прибыль организаций в [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА КОМПАНИИ**]. В частности, прибыль, полученная в рамках КОНТРАКТА, считается прибылью для целей налогообложения в [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА КОМПАНИИ**]. Утверждения в настоящем документе являются верными на дату подписания КОНТРАКТА, и КОМПАНИЯ гарантирует НКЦ, что они будут оставаться таковыми в течение всего срока оказания услуг БРОКЕРОМ по КОНТРАКТУ. КОМПАНИЯ обязуется незамедлительно сообщить НКЦ об отсутствии у нее возможности выполнить какие-либо из вышеперечисленных заявлений.
The COMPANY confirms that it is not a tax resident of the Russian Federation. The COMPANY confirms that it has no representative office, branch office or other registered place of business in the territory of the Russian Federation, as well as does not perform activities in Russia, resulting in the creation of a permanent establishment in the territory of the Russian Federation in accordance with Russian tax law	КОМПАНИЯ подтверждает, что она не является налоговым резидентом Российской Федерации. КОМПАНИЯ подтверждает, что не имеет представительства, филиала, офиса или иного зарегистрированного места осуществления деятельности на территории Российской Федерации, а также не осуществляет деятельность в Российской Федерации, приводящую к созданию постоянного представительства на территории Российской Федерации в соответствии с налоговым законодательством Российской Федерации.
The COMPANY confirms that the abovementioned representations extend for term of the CONTRACT with the BROKER. The COMPANY confirms that it will inform NCC about changes that may have impact on the withholding tax procedure. The COMPANY confirms that it undertakes to submit within the established timeline, but in any case not later than ten working days upon the receipt by NCC of the relevant enquiry from the Russian tax authorities, the documents and other information relating to	КОМПАНИЯ подтверждает, что вышеупомянутые заявления действительны в течение срока КОНТРАКТА с БРОКЕРОМ. КОМПАНИЯ подтверждает, что она проинформирует НКЦ обо всех изменениях, которые могут оказать влияние на процедуру налогообложения дохода налогом у источника. КОМПАНИЯ подтверждает, что она обязуется в установленные сроки, но не позднее чем в течение 10 (десяти) рабочих дней с даты получения НКЦ соответствующего запроса от российских налоговых органов, предоставить документы и иную информацию, связанную с

this Consecutive Beneficial Ownership Representation Letter, including financial statements prepared in accordance with the Reporting Standards adopted in [**COUNTRY OF TAX RESIDENCY**], or in accordance with International Financial Reporting Standards, or other internationally recognized standards of financial reporting.	настоящим ПИСЬМОМ-ПОДТВЕРЖДЕНИЕМ ФАКТИЧЕСКОГО ПРАВА НА ДОХОД, включая финансовую отчетность, подготовленную в соответствии со стандартами отчетности, принятыми в [**СТРАНА НАЛОГОВОГО РЕЗИДЕНТСТВА**], или в соответствии с международными стандартами финансовой отчетности МСФО, или иными общепризнанными международными стандартами финансовой отчетности.
This Consecutive Beneficial Ownership Representation Letter may be provided by NCC as a tax agent to the Russian tax authorities.	НКЦ как налоговый агент может предоставлять данное ПИСЬМО-ПОДТВЕРЖДЕНИЕ ФАКТИЧЕСКОГО ПРАВА НА ДОХОД в налоговые органы Российской Федерации.
On behalf of the COMPANY	От имени КОМПАНИИ
_____	_____
[SIGNATURE OF THE AUTHORIZED PERSON]	[ПОДПИСЬ УПОЛНОМОЧЕННОГО ЛИЦА]
[DATE OF SIGNING]	[ДАТА ПОДПИСАНИЯ]
* This form is recommended by NCC	* Рекомендуемая Клиринговым центром форма

2.35.   Questionnaire for Legal Entity (DTT is not applied)[14]

(on the Company's letterhead)

Анкета для налоговых целей (без применения ДИДН[15])
Questionnaire for Legal Entity (DTT[16] is not applied)

Name of organization (the **Company**)	Наименование организации («Компания»)	
Country of incorporation / Date of incorporation	Страна регистрации / Дата регистрации компании	
Registered address / Postal address / Website	Юридический адрес / Фактический адрес / Вебсайт	
Country of tax residency, Tax ID	Страна налогового резидентства / ИНН	
Form of incorporation	Организационно-правовая форма	
Legal Entity Identifier (LEI)	Международный номер Компании	
Is the Company required to disclose/publish financial statements? If yes, please specify the place of publication	Обязана ли Компании раскрывать/публиковать финансовую отчетность? Если да, просьба указать место публикации	
Does the Company have a representative office, branch, other office or a place of activity in Russia? If yes, are transactions that to be executed on Moscow Exchange by the Company related to the Company's branch or representative office in Russia?	У Компании есть представительство, филиал, иной офис или место осуществления деятельности в России? Если да, сделки, которые будут заключаться Компанией на Московской бирже, имеют отношение к филиалу или представительству Компании в России?	
Does the Company conclude agreements with clients based on the TTCA model?	Заключает ли Компания договоры с клиентами по модели TTCA?	
What financial instruments does the Company plan to deal with on Moscow Exchange?	С какими финансовыми инструментами Компания планирует торговать на Московской бирже?	
Is the Company subject to compulsory licensing? If yes, please specify details (Type of license and regulated legislation. Does the Company have the right to provide brokerage / agent services to third parties including individuals?)	Подлежит ли деятельность Компании обязательному лицензированию? Если, да просьба указать детали (Тип лицензии и регулируемое законодательство. Имеет ли право Компания оказывать брокерские/ агентские функции третьим лицам, включая физических лиц?)	
Is the provision of brokerage / agent services to individuals subject to compulsory licensing in the country of incorporation of the Company?	Подлежит ли оказание брокерских / агентских услуг в пользу физических лиц обязательному лицензированию в стране регистрации Компании?	
Does the Company intend to provide brokerage / agency services to third	Планирует ли Компания оказывать брокерские / агентские услуги в пользу	

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[14] It's filled in by the beneficial owner of income

[15] Договор об избежании двойного налогообложения

[16] Double tax treaty

parties (including individuals)?	третьих лиц, включая физических лиц?	
Country of residence of the beneficiaries of the Company	Страна регистрации бенефициаров Компании	
Name of parent company / Country of incorporation of parent company	Название материнской компании / Страна регистрации материнской Компании	
Principal place of business of the Company	Место ведения основной хозяйственной деятельности	
Principal business activities of the Company	Основные виды хозяйственной деятельности	
Are there any Russian individuals as the members of Board of Directors / the Executive Board of the Company?	Есть ли российские граждане в составе Совета директоров / Правления Компании?	
Total number of employees of the Company	Количество сотрудников Компании	
The number of traders. The availability of qualification certificates for traders (if applicable)	Количество трейдеров. Наличие у трейдеров квалификационных аттестатов (если применимо)	
Availability of special equipment for trading financial instruments. Please provide details	Наличие специального оборудования для торговли финансовыми инструментами. Просим сообщить детали	
Availability of office / Please provide details	Наличие офиса/ Просим сообщить детали	
Does the Company have bank accounts in banks located in the country of tax residence?	Имеет ли Компания банковские счета в банках, расположенных в стране налогового резидентства?	
Equity capital	Акционерный капитал	
General corporate income tax rate	Общая ставка налога на прибыль организаций	
Effective tax rate	Эффективная налоговая ставка	

This Beneficial Owner of Income Questionnaire may be provided by the NCC as a tax agent to the Russian tax authorities

НКЦ как налоговый агент может предоставлять данные, содержащиеся в настоящей Анкете фактического получателя дохода, в российские налоговые органы

On behalf of the COMPANY/ От имени Компании

_____

[SIGNATURE OF THE AUTHORIZED PERSON]/[ПОДПИСЬ УПОЛНОМОЧЕННОГО ЛИЦА]

[DATE OF SIGNING]/ [ДАТА]

2.36.   Questionnaire for Legal Entity (DTT is applied)[17]

(on the Company's letterhead)

Анкета для налоговых целей (с применением ДИДН[18])
Questionnaire for Legal Entity (DTT[19] is applied)

PART A	РАЗДЕЛ А	
1. General information	**1. Общая информация**	
Name of organization (the **Company**)	Наименование организации («**Компания**»)	
Country of incorporation	Страна регистрации	
Country of tax residency	Страна налогового резидентства	
Form of incorporation	Организационно-правовая форма	
Company registration number	Регистрационный номер	
Legal Entity Identifier (LEI)	Международный регистрационный номер	
Tax identification number	ИНН	
Date of incorporation	Дата регистрации компании	
Registered address	Юридический адрес	
Postal address	Фактический адрес	
Telephone	Телефон	
Website	Вебсайт	
If the country of the Company's tax residence is different from the country of registration of the Company, please specify (if applicable): • Registration number • Tax identification number • Legal Entity Identifier (LEI) • Registered address • Postal address • Telephone • Website	В случае, если страна регистрации Компании отличается от страны, налоговым резидентом которой является Компания, укажите (при наличии соответствующей информации): • Номер регистрации • ИНН • Международный регистрационный номер • Юридический адрес • Фактический адрес • Телефон • Вебсайт	
Does the Company enter into contracts with clients based on the TTCA model?	Заключает ли Компания договоры с клиентами по модели TTCA?	
FATCA status	Статус FATCA	
CRS status	Статус CRS	
2. Presence in Russia	**2. Присутствие в России**	
(1) The Company has a representative office, branch, other office or a place of activity in Russia (2) The Company has not a representative office, branch, other office or a place of activity in Russia	(1) У Компании есть представительство, филиал, иной офис или место осуществления деятельности в России 2) У Компании нет представительства, филиала, иного офиса или места осуществления деятельности в России	
For (1) above - Number and date of the entry on the accreditation of the Company's branch or representative	Для пункта 1) выше укажите номер и дату внесения записи об аккредитации филиала или представительства	

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[17] It's filled in by the beneficial owner of income

[18] Договор об избежании двойного налогообложения

[19] Double tax treaty

office in the state register of foreign legal entities' accredited branches and representative offices	Компании в государственный реестр аккредитованных филиалов и представительств иностранных юридических лиц	
Please specify details (if applicable): - Tax identification number in Russia (ИНН) - Registration code in Russia (КПП)	Укажите подробную информацию (при наличии): • Российский ИНН • Российский КПП	
(1) The representative office/ branch of the Company is taxable in Russia (2) The representative office/ branch of the Company is not taxable in Russia	(1) Деятельность представительства/филиала подлежит налогообложению в России (2) Деятельность представительства/ филиала не подлежит налогообложению в России	
(1) The Company has bank accounts opened in banks located in Russia (2) The Company has not bank accounts opened in banks located in Russia	(1) У Компании есть счета в российских банках (2) У Компании нет счетов в российских банках	
(1) Transactions that will be conducted on MOEX by the Company are related to the Company's branch or representative office in Russia (2) Transactions that will be conducted on MOEX by the Company are not related to the Company's branch or representative office in Russia	(1) Сделки, которые будут заключаться Компанией на Московской Бирже, имеют отношение к филиалу или представительству Компании в России (2) Сделки, которые будут заключаться Компанией на Московской Бирже, не имеют отношение к филиалу или представительству Компании в России	
Number of employees in representative office / branch in Russia	Кол-во сотрудников в представительстве/филиале в России	
3. Special status for the Russian WHT rules[20]	**3. Особый статус для применения положений российского налогового законодательства о налогообложении налогом от источников в Российской Федерации [21]**	
The Company is an organization with ordinary shares and/or depositary receipts admitted to circulation on one or more foreign stock exchanges of OECD member states, and the share of such shares and/or depositary receipts is more than 25% of the authorized capital of the organization	Компания является организацией, чьи обыкновенные акции и/или депозитарные расписки допущены к обращению на одной или нескольких иностранных фондовых биржах в странах-членах ОЭСР, при этом доля таких акций и/или депозитарных расписок составляет более 25% акционерного капитала организации	Yes/No
The Company is a sovereign fund	Компания является государственным фондом	Yes/No
The Company is an organization in which a foreign country has a direct interest of more than 50% (if such	Компания является организацией, в которой иностранное государство напрямую владеет долей участия в	Yes/No

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[20] The information should be proved by relevant documents
[21] Информация должна быть подтверждена соответствующими документами

state (territory) is not included in the list of states (territories) that do not provide information exchange for tax purposes with the Russian Federation)	размере более 50% капитала организации (если такое государство (территория) не включено в список стран, не осуществляющих обмен налоговой информацией с Российской Федерацией)	
PART B[22]	**РАЗДЕЛ Б**[23]	
4. Beneficiaries	**4. Бенефициары Компании**	
Country of residence of the Beneficiaries of the Company	Страна регистрации Бенефициаров Компании	
5. Parent company	**5. Материнская компания**	
Name	Наименование	
Country of incorporation	Страна регистрации	
Company registration number	Регистрационный номер	
Country of tax residency	Страна налогового резидентства	
Tax identification number	ИНН	
Number of employees	Количество сотрудников	
Principal business activities	Род деятельности компании	
6. Board of Directors / Executive Board	**6. Совет директоров / Правление**	
Number of members of the Board of Directors	Кол-во членов Совета директоров	
(1) The Company has Russian individuals in the Board of Directors (2) The Company has not Russian individuals in the Board of Directors	(1) В состав членов Совета директоров Компании входят граждане России (2) В состав членов Совета директоров Компании не входят граждане России	
For (1) above, please specify details (percentage)	Для пункта 1) выше укажите подробную информацию (долю таких лиц)	
Place (country) of the Board of Directors' meeting	Место проведения заседания Совета директоров	
Number of members of the Executive Board	Количество членов Правления	
(1) The Company has Russian individuals in the Executive Board (2) The Company has not Russian individuals in the Executive Board	1) В состав членов Правления Компании входят граждане России 2) В состав членов Правления Компании не входят граждане России	
For (1) above, please specify details (percentage)	Для пункта 1) выше укажите подробную информацию (долю таких лиц)	
Place (country) of the Executive Board's meeting	Место проведения заседания Правления	
7. Business activities	**7. Виды деятельности**	
Principal business activities	Основные виды хозяйственной деятельности	
(1) The Company is subject to compulsory licensing	(1) Компания обязана иметь лицензию (2) Компания не обязана иметь лицензию	

[22] Part B is not filled in if the Company has a special status under paragraph 3 above as well as if the Company is a bank

[23] Раздел Б не заполняется, если у Компании особый статус, указанный в пункте 3 выше, а также если компания является банком

(2) The Company is not subject to compulsory licensing	на осуществление своей деятельности	
For (1) above, please specify details: - Types of licenses - Regulatory legislation - Does the Company have the right to provide brokerage / agent services to third parties including individuals?	Для пункта (1) выше укажите подробную информацию: - Типы лицензий - Нормативно-правовая база - Имеет ли компания право оказывать брокерские/агентские услуги третьим лицам, включая физических лиц?	
Is the provision of brokerage / agent services to individuals subject to compulsory licensing in the country of incorporation of the Company? (Yes/No)	Подлежит ли оказание брокерских / агентских услуг в пользу физических лиц обязательному лицензированию в стране регистрации Компании? (Да/Нет)	
Does the Company intend to provide brokerage / agency/ fiduciary management services to third parties (including individuals) on Moscow Exchange? (Yes/No)	Планирует ли Компания оказывать брокерские / услуги по доверительному управлению агентские услуги в пользу третьих лиц, включая физических лиц? (Да/Нет)	
(1) The Company is a public company with shares traded on a stock exchange (2) The Company is not a public company	(1) Компания является публичной, ее акции торгуются на фондовой бирже (2) Компания не является публичной	
(1) The Company is required to disclose / publish financial statements (2) The Company is not required to disclose / publish financial statements	(1) Компания обязана раскрывать/публиковать финансовую отчетность (2) Компания не обязана раскрывать/публиковать финансовую отчетность	
For (1) above, please specify details (place of publication)	Для пункта 1) выше укажите подробную информацию (где публикуется информация)	
(1) The Company is a fund / foundation (2) The Company is not a fund / foundation	(1) Компания является фондом (2) Компания не является фондом	
For (1) above, please specify details (type of fund, regulatory legislation)	Для пункта 1) выше укажите подробную информацию (тип фонда, нормативно-правовая база)	
8. Economic substance requirements	**8. Требования к экономическому присутствию**	
Place of principal business activities	Место ведения основной хозяйственной деятельности	
Does your jurisdiction have requirements for economic substance / tax residency? If applicable, please describe briefly. Does the Company comply with these requirements?	Установлены ли в вашей юрисдикции требования к экономическому присутствию / признанию налоговыми резидентами? Если применимо, просим кратко описать Соответствует ли Компания данным требованиям?	

Total number of employees	Общее количество сотрудников	
The number of traders. Do traders have qualification certificates? (if applicable)	Количество трейдеров. Наличие у трейдеров квалификационных аттестатов (если применимо)	
Availability of special equipment for trading financial instruments. Please provide details	Наличие специального оборудования для торговли финансовыми инструментами Просим сообщить детали	
Does the Company have an office? Please provide details	Наличие офиса Просим сообщить детали	
Does the Company have bank accounts in banks located in the country of tax residence?	Имеет ли Компания банковские счета в банках, расположенных в стране налогового резидентства?	
In which country is the company's seal stored?	В какой стране хранится печать Компании?	
Who keeps the company's accounting records?	Кто ведет бухгалтерский учет Компании?	
9. Financial information	**9. Финансовая информация**	
9.1. Financial information (as of the last reporting date)	9.1. Финансовая информация (на последнюю отчетную дату)	
Equity capital	Акционерный капитал	
Revenue	Выручка	
Profit	Прибыль	
Corporate profit tax paid	Сумма уплаченного налога на прибыль	
Effective tax rate	Эффективная налоговая ставка	
9.2. Operations with the related parties	9.2. Операции со связанными лицами	
Main types of operations with the parent company and other related companies	Основные виды операций с материнской компанией и иными связанными лицами	
Main types of income paid to the parent company and other related companies	Основные виды дохода, выплаченного материнской компании и иным связанными лицами	
9.3. Tax rates and exemptions	9.3. Налоговые ставки и льготы	
General corporate income tax rate	Общая ставка налога на прибыль организаций	
Is the Company subject to corporate income tax?	Является ли компания налогоплательщиком по налогу на прибыль?	
(1) Income from transactions that would be executed by the Company on MOEX is subject to taxation in the Company's tax residence country (Yes) (2) Income from transactions that would be executed by the Company on MOEX is not subject to taxation in the Company's tax residence country (No) • Interest income on bonds traded on Russian exchange	(1) Доход от сделок, заключенных Компанией на Московской бирже, подлежит налогообложению в стране регистрации Компании для целей налогообложения (Да) (2) Доход от сделок, заключенных Компанией на Московской бирже, не подлежит налогообложению в стране регистрации Компании для целей налогообложения (Нет) • Процентный доход по облигациям, допущенным к торгам на российской бирже • Процентный доход по сделкам	

• Interest income on REPO transactions	РЕПО	
• Dividend income on shares traded on Russian exchange	• Выплата дивидендов по акциям, допущенным к торгам на российской бирже	
• Capital gain from securities traded on Russian exchange	• Доходы от прироста стоимости ценных бумаг, допущенных к торгам на российской бирже	
• Income from operations with derivatives traded on Russian exchange	• Доход от операций с производными инструментами, допущенными к торгам на российской бирже	
• Other income (please specify)	• Прочий доход (укажите подробную информацию)	
For (1) above, please specify details (tax rates for income above)	Для пункта (1) выше укажите налоговые ставки по доходу, указанному выше	
For (2) above, please specify details (tax exemptions)	Для пункта (2) выше укажите налоговые льготы	

This Beneficial Owner of Income Questionnaire may be provided by the NCC as a tax agent to the Russian tax authorities

НКЦ как налоговый агент может предоставлять данные, содержащиеся в настоящей Анкете фактического получателя дохода, в российские налоговые органы

On behalf of the COMPANY/ От имени Компании

_____

[SIGNATURE OF THE AUTHORIZED PERSON]/ [ПОДПИСЬ УПОЛНОМОЧЕННОГО ЛИЦА]

[DATE OF SIGNING]/ [ДАТА]

3. Forms (formats) of the documents, provided by the clients of the Clearing Members in the paper form or in the form of EDI document

3.1. Application for obligations and Collateral transfer

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR OBLIGATIONS AND COLLATERAL TRANSFER [1]

_____*,

(full name of the Segregated client [2])

_____*.

(identification data of the Segregated client [3])

In accordance with the Clearing Rules of the Central Counterparty National Clearing Center please transfer obligations under Trades recorded under the Settlement account(s) / Trade account(s) / positions register section(s), corresponding to the indicated Segregated client, from the Clearing Member

Information about the Basic Clearing Member:

_____*,

(full name of the Basic Clearing Member)

_____.

(other information about the Basic Clearing Member [4])

to the Clearing Member

Information about the Clearing Member – Recipient:

_____*,

(full name of the Clearing Member-Recipient)

_____.

(other information about the Clearing Member-Recipient [4])

on the following markets*:

_____
(list on-exchange markets where the Segregated Client is registered and where it is necessary to transfer obligations and Collateral)

On the following reasons: *(list at least one reason in relation to the Basic Clearing Member in accordance with the Clearing Rules of the Central Counterparty National Clearing Center)*

I. Grounds other than those established by law:

☐ grounds stipulated by the sub-paragraphs 15.1.4-15.1.18, 15.18.10-15.18.11, 15.18.2- 15.18.8, 15.21.2-15.21.3 of the Clearing Rules of the Central Counterparty National Clearing Center. Part I. The Common part;

☐ bankruptcy case in respect of the Basic Clearing Member is on trial for more than 2 (two) months since the moment of submission of the relevant application;

☐ breach by the Basic Clearing Member of the rules of Russian or foreign Market operator or clearing organization;

☐ inclusion into the agenda of the management bodies of the Basic Clearing Member the issue relating to liquidation of the Basic Clearing Member or the decision on liquidation of the Basic Clearing Member made by the management bodies of the Basic Clearing Member;

☐ decision on the re-organization of the Basic Clearing Member made by the management bodies of the Basic Clearing Member (except for cases of re-organization, which do not lead to the termination of the activity of the Basic Clearing Member and reorganization in the form of transformation);

☐ judgement on levying, arresting or any other encumbrance in respect of the Basic Clearing Member;

☐ availability of Debt of the Clearing Member, which is not paid within the defined by the Time Specification period;

☐ provision by the Basic Clearing Member to the Clearing House of the instruction to transfer obligations and Collateral.

II. Grounds established by law:

☐ revocation by the Bank of Russia of the banking license of the Clearing Member – Credit Institution;

☐ appointment of the interim administration in relation to the Basic Clearing Member – Non-credit Institution;

☐ proclamation of the decision of the Arbitrage Court on introduction of any of the bankruptcy proceedings in respect of the Basic Clearing Member – Non-credit Institution.

In the case of indicating the ground which is the ground established by law, it's acceptable to indicate:

☐ execute this application in the event of occurrence of the indicated ground[5].

The preferable method of provision of information to the Segregated client *:
_____
(indicate one of the method of provision of information: e-mail or EDI)

(Position of the Head) _____ / Full name /

seal

«_____» _____ 20____

Prepared by full name, phone number _____

* Mandatory fields.

[1] – In case of transferring obligations and Collateral to the different Clearing Members-Recipients on different on-exchange markets, the Segregated client must provide the Application for each Clearing Member-Recipient separately.

[2] – the full name in accordance with the incorporation documents is indicated.

[3] – «Identification data of the client» and «Identification data of the client of the second level» (if available) are indicated in accordance with the data specified in the Request for the Segregated client registration.

[4] – INN and OGRN can be used as other information about the Clearing Member - Resident. For the Non-resident Clearing Member, the other information may include the INN of foreign person, or the tax number in the country of registration, or the registration number in the country of registration, etc. This field is optional.

[5] – When submitting Application for obligations and Collateral transfer to the Clearing House in advance, before the occurrence of the specified grounds, it is necessary to fill in this field. Submission of this Application in advance is available when specifying only the ground(s) established by law.

3.2.   Application for revocation of Application for obligations and Collateral transfer

(on the Company's letterhead)

To CCP NCC

APPLICATION FOR REVOCATION OF APPLICATION FOR OBLIGATIONS AND COLLATERAL TRANSFER

_____*,
(*full name of the Segregated client [1]*)

_____*.
(*identification data of the Segregated client [2]*)

Full name of the Basic Clearing Member *:

_____,

_____.
(*other information about the Basic Clearing Member [3]*)

In accordance with the Clearing Rules of the Central Counterparty National Clearing Center please withdraw the Application for obligation and Collateral transfer dated «____» _____20___ with the indication of the Clearing Member - Recipient:

_____*
(*full name of the Clearing Member - Recipient*)
_____
(*other information about the Clearing Member - Recipient [3]*)

on the following markets *:
_____
(*list on-exchange markets where the Segregated Client is registered and where it is necessary to withdraw the Application for obligations and Collateral transfer*)

(*Position of the Head*)   _____ / Full name /

                                                           seal
«____» _____ 20___

Prepared by full name, phone number_____

* Mandatory fields.

[1] – the full name in accordance with the incorporation documents is indicated.

[2] – «Identification data of the client» and «Identification data of the client of the second level» (if available) are indicated in accordance with the data specified in the Request for the Segregated client registration

[3] – INN and OGRN can be used as other information about the Clearing Member - Resident. For the Non-resident Clearing Member, the other information may include the INN of foreign person, or the tax number in the country of registration, or the registration number in the country of registration, etc. This field is optional.

4. Forms (formats) of the documents, provided by the Trading Members in the paper form or in the form of EDI document

4.1.   Request for changing parameters of the Settlement account of the 3ʳᵈ level

(on the Company's letterhead)

To CCP NCC

REQUEST FOR CHANGING PARAMETERS OF THE SETTLEMENT ACOUNT OF THE 3ᴿᴰ LEVEL

From:

_____
(full name of the Trading Member)

Trading Member ID: _____

In accordance with the Clearing Rules of the Central Counterparty National Clearing Center please set the following correspondence between the Settlement account of the 3ʳᵈ level and identification data of the client of the Trading Member:

Settlement account of the 3ʳᵈ level	Identification data of the client*	Action	
		□ apply	□ cancel
		□ apply	□ cancel
		□ apply	□ cancel

(Position of the Head)   _____ */ Full name /*

                                                      seal

«_____» _____ 20____

Prepared by full name, phone number _____

* The field "Identification data of the client" is optional and is filled in in accordance with the requirements imposed by the Exchange when registering clients of the Trading Members. In the case of registration of the client, which is the client of the broker, the identification data of both the end client and the client which is the broker are indicated.

5.   Formats of the electronic documents provided by the Clearing Members and the Clearing House

In order to describe the formats of the electronic documents, the following characters are used in encoding WIN-1251:

Letters of Latin alphabet: A-Z a-z

Letters of Russian alphabet: А-Я а-я

Numbers: 0-9

Special symbols: + ? ~ / : ( ) . , ' - SPACE

Type codes

!	Specifies the required number of symbols contained in the string
[]	Optional sequence of symbols
a	It's allowed to use any letters from the above list
n	It's allowed to use any numbers from the above list
x	It's allowed to use any symbols from the above list
c	It's allowed to use any letters from the above list and any numbers from the above list
d	Designation of the amount of cash funds. The decimal part must be separated by symbol «,»
g	It's allowed to use any letters from the above list, numbers and symbol <_>
Tab	Tab symbol
12!c	Clearing Member Unicode
O	Mandatory field
H	Optional field
GO	Mandatory field within group
GH	Optional field within group

5.1. Request for registration of Account for Collateral return details

Document format PAYPROPRQ***

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**PAYPROPRQ
O	Settlement account	UVR_CODE	5!c
--------------------------------------- >			
GO	Currency code	CURRENCY	RUB *
GO	Feature of main details	MAIN_PROP	Y – main details N – additional details
GH	Feature of return premium details	REBATE	Y – it's return premium details N – (by default) it's not return premium details
GO	BIC of Recipient's bank	BIC	9!n
GH	Name of Recipient's bank (part 1)	REC_BNAME1	35x
GH	Name of Recipient's bank (part 2)	REC_BNAME2	35x
GH	Name of Recipient's bank (part 3)	REC_BNAME3	35x
GH	Name of Recipient's bank (part 4)	REC_BNAME4	35x
GH	Name of Recipient's bank (part 5)	REC_BNAME5	20x
GO	Account number of Recipient's bank	CORR_ACC	20!n
GO	Account number of Recipient	ACC_CREDIT	20!n
GO	INN of Recipient	INN	10!n
GH	KPP of Recipient	KPP	9!n
O	Name of Recipient of funds (part1)	REC_NAME1	35x
GH	Name of Recipient of funds (part 2)	REC_NAME2	35x
GH	Name of Recipient of funds (part 3)	REC_NAME3	35x
GH	Name of Recipient of funds (part 4)	REC_NAME4	35x
GH	Name of Recipient of funds (part 5)	REC_NAME5	20x
GH	Account number of the client of Recipient's bank	BEN_ACC	20!n
GH	INN of the client of Recipient's bank	BEN_INN	12n
GH	Name of the client of Recipient's bank (part 1)	BEN_NAME1	35x
GH	Name of the client of Recipient's bank (part 2)	BEN_NAME2	35x
GH	Name of the client of Recipient's bank (part 3)	BEN_NAME3	35x
GH	Name of the client of Recipient's bank (part 4)	BEN_NAME4	35x
GH	Purpose of payment	PURPOSE	109x
--------------------------------------- >			
GO	Currency code	CURRENCY	3!a **

GO	Feature of main parameter	MAIN_PROP	Y – main parameter N – additional parameter
H	Information about Intermediary bank (group)		
GH GO	Information about Intermediary bank	F56A_ACC F56A_BIC	35x 4!a2!a2!c[3!c]
H	Information about Beneficiary's bank (group)		
GH GO	Information about Beneficiary's bank	F57A_ACC F57A_BIC	35x 4!a2!a2!c[3!c]
GO GO GH GH	Information about Beneficiary's bank	F57D_ACC F57D_NAME1 F57D_NAME2 F57D_NAME3	35x 35x 35x 35x
O	Information about Beneficiary (group)		
GH GO	Information about Beneficiary	F58A_ACC F58A_BIC	35x 4!a2!a2!c[3!c]
GO GO GH GH	Information about Beneficiary	F58D_ACC F58D_NAME1 F58D_NAME2 F58D_NAME3	35x 35x 35x 35x
--- >			
GH GH	Purpose of payment	F72D _NAME1 F72D _NAME2	35x 35x

* The composition of the group is valid only for payment details in Russian rubles (CURRENCY="RUB")
** The composition of the group is valid only for payment details in foreign currencies (CURRENCY<>"RUB")
*** The formation of request is allowed to be made by the own software of the Clearing Member

5.2.   Request for Collateral return

5.2.1.   Request for Collateral return in Russian rubles

In order to return collateral in Russian rubles, the Clearing Member forms electronic document of type «RURRETURN».

Document format RURRETURN*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**RURRETURN
O	Settlement account of the Clearing Member	UVR_CODE	5!n
O	Amount of cash funds	AMOUNT	15d
GH	Market code	MARKET	4c
GH	Code of clearing register section / Settlement account of the 2nd or 3rd level	KRKR	12!c
GH	Sum Code of clearing register section / Settlement account of the 2nd or 3rd level	SUM	15d
O	Market sector	SECTOR	VALRUR (constant)
O	BIC of the Recipient's Bank	BIC	9!n
O	Account number of the Recipient's Bank	CORR_ACC	20!n
O	Account number of the Recipient	ACC	20!n
O	Bank's INN	INN	10!n
H	Type of requested sum	TYPESUMM	1!n 1 – return of cash funds in the amount specified in the request; 5 – return of the whole available sum of cash funds/ whole available amount of precious metal

* The formation of request is allowed to be made by the own software of the Clearing Member

5.2.2.   Request for Collateral return in foreign currency

In order to return collateral in foreign currency, the Clearing Member forms electronic document of type «CURRETURN».

Document format CURRETURN*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**CURRETURN
O	Settlement account of the Clearing Member	UVR_CODE	5!n
O	Currency code	CURRENCY	3!a
O	Amount of cash funds	AMOUNT	15d
GH	Market code	MARKET	4c
GH	Code of clearing register section / Settlement account of the 2nd or 3rd level	KRKR	12!c

GH	Sum Code of clearing register section / Settlement account of the 2nd or 3rd level	SUM	15d
O	Market sector	SECTOR	VALRUR (constant)
GH GO	Information about Intermediary bank	F56A_ACC F56A_BIC	35x 4!a2!a2!c[3!c]
GO GO GH GH	Information about Intermediary bank	F56D_ACC F56D_NAME1 F56D_NAME2 F56D_NAME3	35x 35x 35x 35x
GH GO	Information about Beneficiary's bank	F57A_ACC F57A_BIC	35x 4!a2!a2!c[3!c]
GO GO GH GH	Information about Beneficiary's bank	F57D_ACC F57D_NAME1 F57D_NAME2 F57D_NAME3	35x 35x 35x 35x
GH GO	Information about Beneficiary	F58A_ACC F58A_BIC	35x 4!a2!a2!c[3!c]
GO GO GH GH	Information about Beneficiary	F58D_ACC F58D_NAME1 F58D_NAME2 F58D_NAME3	35x 35x 35x 35x
H	Type of requested sum	TYPESUMM	1!n 1 - return of cash funds in the amount specified in the request; 5 – return of the whole available sum of cash funds / whole available amount of precious metal
GO	Account of the client of the receiving bank	PAYEE_ACC	35x
GH	Name of the client of the receiving bank (part 1)	PAYEE_NAME1	35x
GH	Name of the client of the receiving bank (part 2)	PAYEE_NAME2	35x

* The formation of request is allowed to be made by the own software of the Clearing Member

Each group corresponds to the field of MT202 message with the same number in selected filling version.

For example, fields F56A_ACC and F56A_BIC correspond to the field 56 of MT202 message in filling version A, field F56A_BIC is mandatory, field F56A_ACC is optional.

Fields F56D_ACC, F56D_NAME1, F56D_NAME2, F56D_NAME3 correspond to the field 56 of MT202 message in filling version D, fields F56D_ACC, F56D_NAME1 are mandatory in this version, fields F56D_NAME2, F56D_NAME3 are optional.

The fields in groups must be filled in in accordance with SWIFT filling rules for MT202 type.

Group of fields in A format or group of fields in D format can be applied for the description of the desired field. Simultaneous use of fields from groups of different formats in one document to describe one field of MT202 message is strictly prohibited. Information of the fields 57 and 58 of MT202 message is mandatory in selected version. Information of the field 56 of MT202 message is optional in selected version.

5.3. Request for cancellation of the Request for collateral return (electronic document «RURRETURN» and «CURRETURN»)

In order to cancel previously provided to the Clearing House electronic document of type «RURRETURN» или «CURRETURN» the Clearing Member forms electronic document of type «CURCANCELL».

Document format CURCANCELL*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**CURCANCELL
O	Title of document subject to cancellation		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**10!a
O	Settlement account	UVR_CODE	5!n

* The formation of request is allowed to be made by the own software of the Clearing Member

5.4. Standing Instruction to return collateral

(valid for the FX Market and Precious Metals Market, for the Securities Market, Deposit Market and Credit Market, for the Derivatives Market)

Document format RQ_SETRET*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**RQ_SETRET
O	Settlement account of the Clearing Member	UVR_CODE	5!n
H	Settlement account of the 2nd or 3rd level	KRKR	12!c
O	Alphabetic currency code according to ISO (3 Latin symbols: USD, RUB)	CURRENCY	3!a
O	Start date of Standing Instruction	BEGIN_DATE	2!n.2!n.2!n
H	Type of requested sum	TYPESUMM	1!n 4 – return of cash funds in the amount of Net Claim without fees; 5 – return of cash funds in the amount of all available sum of cash funds / all available amount of precious metal; 6 – return of cash funds in the amount of Net Claim.
H	Market code	MARKET	4c

* The formation of request is allowed to be made by the own software of the Clearing Member

Value of the field «TYPESUMM» «4» corresponds to the amount of Total Net Obligation under trades in Russian rubles without taking into account obligations to pay fees.
 «BEGIN_DATE» is the date of the operational day of the Clearing House, starting from which Standing Instruction to return collateral for this Clearing Member and for each type of currency begins to be executed.

For one Clearing Member only one Standing Instruction to return collateral can be valid at every moment of time (for each currency).

The accepted document «RQ_SETRET» is analyzed for the possibility to execute Standing Instruction to return collateral. According to the result of the analysis, the Clearing Member is sent:

a) in case of impossibility to execute «RQ_SETRET» error message «ERR_REPLY», containing the following codes:

Message code	Description
31	Unacceptable repeated Standing Instruction to return collateral
32	Invalid start date of execution of Standing Instruction to return collateral

6) in case of successful execution of document «RQ_SETRET» execution message «MSG_REPLY» with code:

Message code	Description
85	Standing Instruction to return collateral accepted for execution

5.5.   Request for cancellation of Standing Instruction to return collateral

(valid for the FX Market and Precious Metal Market, for the Securities Market, Deposit Market and Credit Market, for the Derivatives Market)

In order to cancel previously provided by the Clearing Member the Standing Instruction to return collateral, the Clearing Member forms electronic document of type «RQ_DELRET».

Document format RQ_DELRET*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**RQ_DELRET
O	Settlement account	UVR_CODE	5!n
H	Settlement account of the 2nd and 3rd level	KRKR	12!c
O	Alphabetic currency code according to ISO (3 latin symbols: for example, USD, EUR, RUB, CNY, GLD, SLV) or ALL for all currencies	CURRENCY	3!a

* The formation of request is allowed to be made by the own software of the Clearing Member

Cancellation of the Standing Instruction to return collateral leads to the invalidity of the Standing Instruction to return collateral under this Settlement account for the specified currency from the date indicated in the Document title.

The accepted document «RQ_DELRET» is analyzed for the possibility to cancel the Standing Instruction to return collateral. According to the result of the analysis, the Clearing Member is sent:

a) in case of impossibility to execute «RQ_DELRET» error message «ERR_REPLY» with code:

Message code	Description
33	Attempt to cancel non-existed Standing Instruction to return collateral

б) in case of successful execution of document «RQ_DELRET» execution message «MSG_REPLY» with code:

Код сообщения	Description
86	Cancellation of the Standing Instruction to return collateral was made successfully

5.6. Request for depositing

(valid for the FX Market and Precious Metals Market, for the Securities Market, Deposit Market and Credit Market, for the Derivatives Market)

Document format CURDEPOSIT*

O/H	Transmitted data	Used service words	Format/Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**CURDEPOSIT
O	Settlement account	UVR_CODE	5!n
O	Code of currency / precious metal	CURRENCY	3!a
O	Amount of cash funds/ amount of precious metal	AMOUNT	15d

* The formation of request is allowed to be made by the own software of the Clearing Member

In the Request for depositing the amount of cash funds in certain currency / amount of precious metal which necessary to be left as Collateral is indicated when the Clearing House executes Request for collateral return («RURRETURN» и «CURRETURN») / Standing Instruction to return collateral («RQ_SETRET») in the amount of all available amount of cash funds / all available amount of precious metal.

5.7. Depositing Standing Instruction

(valid for the FX Market and Precious Metals Market, for the Securities Market, Deposit Market and Credit Market, for the Derivatives Market)

Document format CURRDEPORD*

O/H	Transmitted data	Used service words	Format/Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**CURRDEPORD
O	Settlement account	UVR_CODE	5!n
O	Code of currency / precious metal	CURRENCY	3!c
O	Amount of cash funds/ amount of precious metal	AMOUNT	15d

* The formation of request is allowed to be made by the own software of the Clearing Member

In the Depositing Standing Instruction the amount of cash funds in certain currency / amount of precious metal which necessary to be left as Collateral is indicated when the Clearing House executes Request for collateral return («RURRETURN» и «CURRETURN») / Standing Instruction to return collateral («RQ_SETRET») in the amount of all available amount of cash funds / all available amount of precious metal.

5.8. Request for cancellation of Depositing Standing Instruction

(valid for the FX Market and Precious Metals Market, for the Securities Market, Deposit Market and Credit Market, for the Derivatives Market)

Document format CURRDEPDEL

O/H	Transmitted data	Used service words	Format/Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**CURRDEPDEL
O	Settlement account	UVR_CODE	5!n
O	Code of currency / precious metal	CURRENCY	3!c

* The formation of request is allowed to be made by the own software of the Clearing Member

5.9. Request for limiting end time for execution of trades with the Clearing House

Document format EFINRQ*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**EFINRQ
O	Settlement account	UVR_CODE	5!n
O	Effective date	DATE	2!n.2!n.2!n
O	Time of trading closure	FIN_DATE	2!n:2!n, Time in the format HH:MM It can take the following values: 18:00, 19:00 for FX Market and Precious Metals Market; 19:00 for Securities Market, Deposit Market and Credit Market

* The formation of request is allowed to be made by the own software of the Clearing Member

5.10. Standing Instruction to limit end time for execution of trades with the Clearing House

Document format EFINORD*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**EFINORD
O	Settlement account	UVR_CODE	5!n
O	Start date of Standing Instruction	BEGIN_DATE	2!n.2!n.2!n
O	Time of trading closure	FIN_DATE	2!n:2!n, Time in the format HH:MM It can take the following values: 18:00, 19:00 for FX Market and Precious Metals Market; 19:00 for Securities Market

* The formation of request is allowed to be made by the own software of the Clearing Member

5.11. Request for cancellation of Standing Instruction to limit end time for execution of trades with the Clearing House

Document format EFINORDDEL*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**EFINORDDEL
O	Settlement account	UVR_CODE	5!n
O	End date of Standing Instruction	END_DATE	2!n.2!n.2!n

* The formation of request is allowed to be made by the own software of the Clearing Member

5.12. Request for choosing (changing) fee tariff

Document format SETTRFRQ*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**SETTRFRQ
O	ID code of the Clearing Member / the Trading Member	FIRMID	12!c
O	Market sector code	MARKET	2c
O	Type of the fee tariff	TARIF	4c
H	Code of the fee tariff of exchange fee	CODE_MARKET	12c
H	Code of the fee tariff of clearing fee	CODE_CLR	12c

* The formation of the request is allowed to be made by the own software of the Clearing Member

5.13.   Request for Trade Account replacement

Document format REPTRA*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**REPTRA
O	Market sector code	MARKET	2!c
O	ID code of the Clearing Member	FIRMID	12!c
GO	Old Trade account	TRDACC_OLD	12!x
GO	New Trade account	TRDACC_NEW	12!x
GH	Code of the client of the Trading Member in trades	CLIENTCODE	12!x
GH	Trade number	TRADENO	20n
GH	Trade direction	BUYSELL	1!x

* The formation of the request is allowed to be made by the own software of the Clearing Member

The Request for the Trade Account replacement is executed after trading / after end time (term) for execution of OTC Trades (for OTC Trades) in the relevant on-exchange / OTC market. The Notification / Report on Trade Account replacement is sent to the Clearing Member not later than Settlement Date following the day of Request execution.

5.14.   Request for cash flow statement

In order to send the Request for cash flow statement under the account the Clearing Member forms and forwards to the Clearing House the electronic document of type «RQACCSTMNT».

Document format RQACCSTMNT*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**RQACCSTMNT
O	Settlement account	UVR_CODE	5!n
O	Account number	ACC	20!n
O	Date of statement	STAT_DATE	2!n.2!n.2!n

* The formation of the request is allowed to be made by the own software of the Clearing Member

As account number it is allowed to indicate accounts for recording individual, collective clearing collateral and other collateral. Requests are allowed for accounts opened both in rubles and in foreign currencies.

If the non-existed account is indicated or there are errors in the message format, error message «ERR_REPLY» is sent in response, containing the following codes:

Message code	Description
51	Incorrect message format
56	Other

5.15.   Request for Collateral transfer

Document format MTRNRQ*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**MTRNRQ
O	Settlement account of the Clearing Member	UVR_CODE	5!n
O	Settlement account for debiting	CL_CODE_DB	5!c
GH	Code of clearing register section / Settlement account of the 2nd or 3rd level for debiting	KRKR_DB	12!c
GH	Sum Code of clearing register section / Settlement account of the 2nd or 3rd level for debiting	SUM_DB	15d
O	Settlement account for crediting	CL_CODE_CR	5!c
GH	Code of clearing register section / Settlement account of the 2nd or 3rd level for crediting	KRKR_CR	12!c
GH	Sum Code of clearing register section / Settlement account of the 2nd or 3rd level for crediting	SUM_CR	15d
O	Currency code or precious metal code	CURRENCY	3!a
O	Amount	AMOUNT	15d
H	Market sector for debiting	MARKETDB	4c
H	Market sector for crediting	MARKETCR	4c

* The formation of request is allowed to be made by the own software of the Clearing Member

5.16.   Request for Asset Profiles transfer

Document format MTRPA*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!cTabMTRPA
O	Unified Pool Trade account in the Clearing System (ASTS) of the Securities Market	TRDACC	12!c
O	Asset code	ASSET	12a
GO	Market sector	MARKET	4c
GO GH	Code of clearing register	KRKR	12!a

GO	Change of Asset Profile	SUM	[1c]15d

* The formation of request is allowed to be made by the own software of the Clearing Member

5.17.   Request for Settlement Account registration

Document format CODERQ*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!cTabCODERQ
O	Settlement account	UVR_CODE	5!n
O	Type of Settlement Account	SC_TYPE	1!c S – proprietary funds L – funds of client D – trust management
O	Special feature of Settlement Account**	SPF	1!c Y – Settlement account is used for recording collateral of «non-residents» N – Settlement account is used for recording collateral of «residents»
H	Fund name	FUND_NAME1	35x
H	Fund name	FUND_NAME2	35x
H	Fund name	FUND_NAME3	35x
GH	Feature of return premium details	REBATE	Y – it's return premium details N – (by default) it's not return premium details
O	BIC of Recipient's bank	BIC	9!n
H	Name of Recipient's bank (part 1)	REC_BNAME1	35x
H	Name of Recipient's bank (part 2)	REC_BNAME2	35x
H	Name of Recipient's bank (part 3)	REC_BNAME3	35x
H	Name of Recipient's bank (part 4)	REC_BNAME4	35x
H	Name of Recipient's bank (part 5)	REC_BNAME5	20x
O	Account number of Recipient's bank	CORR_ACC	20!n
O	Account number of Recipient	ACC_CREDIT	20!n
O	INN of Recipient	INN	10!n
H	KPP of Recipient	KPP	9!n
O	Name of Recipient of funds (part 1)	REC_NAME1	35x
H	Name of Recipient of funds (part 2)	REC_NAME2	35x
H	Name of Recipient of funds (part 3)	REC_NAME3	35x
H	Name of Recipient of funds (part 4)	REC_NAME4	35x
H	Name of Recipient of funds (part 5)	REC_NAME5	20x
GH	Account number of the client of Recipient's bank	BEN_ACC	20!n
GH	INN of the client of Recipient's bank	BEN_INN	12n
GH	Name of the client of Recipient's bank (part 1)	BEN_NAME1	35x

GH	Name of the client of Recipient's bank (part 2)	BEN_NAME2	35x
GH	Name of the client of Recipient's bank (part 3)	BEN_NAME3	35x
GH	Name of the client of Recipient's bank (part 4)	BEN_NAME4	35x
GO	Purpose of payment	PURPOSE	109x
--------------------------------------- >			
O	Currency code	CURRENCY	3!a
H	Information of Intermediary bank (group)		
GH GO	Information of Intermediary bank	F56A_ACC F56A_BIC	35x 4!a2!a2!c[3!c]
H	Information about Beneficiary bank (group)		
GH GO	Information about Beneficiary bank	F57A_ACC F57A_BIC	35x 4!a2!a2!c[3!c]
GO GO GH GH	Information about Beneficiary bank	F57D_ACC F57D_NAME1 F57D_NAME2 F57D_NAME3	35x 35x 35x 35x
O	Information about Beneficiary (group)		
GH GO	Information about Beneficiary	F58A_ACC F58A_BIC	35x 4!a2!a2!c[3!c]
GO GO GH GH	Information about Beneficiary	F58D_ACC F58D_NAME1 F58D_NAME2 F58D_NAME3	35x 35x 35x 35x
--------------------------------------- >			
GO GO	Purpose of payment	F72D _NAME1 F72D _NAME2	35x 35x

* The formation of request is allowed to be made by the own software of the Clearing Member (for the Securities Market, Deposit Market and Credit Market and for FX Market and Precious Metals Market)

** Special feature of Settlement Account (SPF) is recorded only for the Securities Market, Deposit Market and Credit Market.

5.18.   Request for assigning «Unified Pool» feature to the Settlement account

Document format CODETM*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!cTabCODETM
O	Settlement account	UVR_CODE	5!n

* The formation of request is allowed to be made by the own software of the Clearing Member

5.19.   Request for changing scope of application of the Unified Pool Settlement account

Document format CODEEA*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!cTabCODEEA
O	Unified Pool Settlement account	UVR_CODE	5!n
H	Market sector	MARKET	4c
H	Settlement account	CODE_ADD	5!n
H	Margin type	TYPEMARG	1n

* The formation of request is allowed to be made by the own software of the Clearing Member

5.20. Request for changing parameter «Special feature» of the Settlement Account

Document format SPF*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**SPF
O	Settlement account	UVR_CODE	9!n
O	Settlement account is used for recording collateral of non-residents	SPF	1!c Y – Settlement account is used for recording collateral of «non-residents» N – Settlement account is used for recording collateral of «residents»

* The formation of request is allowed to be made by the own software of the Clearing Member

5.21. Request for report on Settlement Accounts

Document format CODEINFORQ*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**CODEINFORQ
O	Settlement account	UVR_CODE	5!n

* The formation of request is allowed to be made by the own software of the Clearing Member

5.22. Request for Settlement Account of the 2nd level registration

(valid for the FX Market and Precious Metals Market, for the Securities market, Deposit Market and Credit Market)

Document format CODE2ADD*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!cTab2CODE2ADD
O	Settlement account	CODE_UVR	5!n
O	Trade account of the 1st level	TRDACCID	12!c
H	ID code of the Trading Member	FIRMID_TM	12!c
H	Identification data of the client Details	DETAILS	20c
H	Identification data of the client SubDetails	SUBDETAILS	20c

O/H	Transmitted data	Used service words	Format / Value
H	Feature indicating that to whom clearing services upon keeping clearing registers of the 3rd level are provided	CONTROLLEVEL3	1c «Y» - clearing services upon keeping clearing registers of the 3rd level are provided to the Clearing Member «N» - clearing service upon keeping clearing registers of the 3rd level are provided to the Trading Member
H	Feature indicating that whether information of the clients of the Trading Member should be disclosed to the Clearing Member	DISCLOSECLIENTS	1c «Y» - disclose the information of the clients of the Trading Member to the Clearing Member; «N» - do not disclose the information of the clients of the Trading Member to the Clearing Member.

* The formation of request is allowed to be made by the own software of the Clearing Member

The field FIRMID_TM can be empty. The field ID code for the Trading Member is fillied in in case if the Trading Member is not the Clearing Member. In the fields DETAILS and SUBDETAILS the identification data of the client is indicated according to it's registration on the PJCS Moscow Exchange.

The field DETAILS can be empty.

The field SUBDETAILS can be empty.

The field CONTROLLEVEL3 can be empty. If the field ID code of the Trading Member (FIRMID_TM) is filled in, this field also should be filled in. If the field ID code of the Trading Member (FIRMID_TM) is not filled in, this field also should be not filled in.

The field DISCLOSECLIENTS can be empty. If the field ID code of the Trading Member (FIRMID_TM) is filled in, this field also should be filled in. If the field ID code of the Trading Member (FIRMID_TM) is not filled in, this field also should be not filled in.

The Message CODE2ASSIGN is the response message for CODE2ADD in case of successful execution.

Structure of CODE2ASSIGN

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!CODE2ASSIGN
O	Title of initial CODE2ADD		
O	Settlement account	BANKACCID	9c
O	Trade account	TRDACCID	12!c

In case of rejection of request CODE2ADD, the Clearing House sends the message ERR_REPLY.

5.23. Request for Settlement Account of the 3rd level registration

(valid for the FX Market and Precious Metals Market, for the Securities Market, Deposit Market and Credit Market)

Document format CODE3ADD*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!cTabCODE3ADD

O/H	Transmitted data	Used service words	Format / Value
O	Settlement account of the 2nd level	BANKACCID	12c
H	Identification data of the client	DETAILS	20c
H	Identification data of the client	SUBDETAILS	20c

* The formation of request is allowed to be made by the own software of the Clearing Member

The message CODE3ASSIGN is the response message for CODE3ADD in case of the successful execution.

Document format CODE3ASSIGN

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!CODE3ASSIGN
O	Title of the initial CODE3ADD		
O	Settlement account of the 3rd level	BANKACCID	12c
O	Trade account	TRDACCID	12!c

In case of the rejection of the request CODE3ADD the Clearing House sends the message ERR_REPLY.

5.24. Request for Settlement Account of the 2nd level closure / Request for the Settlement Account of the 3rd level closure

(valid for the FX Market and Precious Metals Market, for the Securities Market, Deposit Market and Credit Market)

Document format CODE2DEL/CODE3DEL

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!cTabCODE23DELcTabCODE23DEL
O	Settlement account of the 2nd or 3rd level	BANKACCID	12c

In case of successful acceptance of the requests CODE2DEL и CODE3DEL for the execution, the Clearing House sends the message MSG_REPLY.

In case of rejection of the requests CODE2DEL и CODE3DEL, the Clearing House sends the message ERR_REPLY.

5.25. Request for additional cash flow statement (CCX99) under the Settlement Account

Document format CODESTMNT*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**CODESTMNT
O	Settlement account	UVR_CODE	5!n
O	Form additional cash flow statement (CCX99) under the Settlement account	STMNT	Y – form N – do not form

* The formation of request is allowed to be made by the own software of the Clearing Member

5.26. Request for changing parameters of the Settlement Account (in the part of «NCC-NSD account»)

Document format SCODESET*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**SCODESET
O	Settlement account	UVR_CODE	5!n
O	Feature «NCC-NSD account»	UMBRELLA	1!c

* The formation of request is allowed to be made by the own software of the Clearing Member

5.27. Standing Instruction to limit start time for execution of trades with the Clearing House

(valid for the FX Market and Precious Metals Market, the Derivatives Market and the Securities market, Deposit Market and Credit Market)

Document format EARLYTRADE*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**EARLYTRADE
GO	Status of participation in early trading	STATUS	1c
GO	On-exchange market	MARKET	2!c
GH	Settlement account	UVR_CODE	5!n
GH	Sub-accounts Cluster	BROKER	4!c

* The formation of request is allowed to be made by the own software of the Clearing Member

It's allowed to indicate more than one record in the document EARLYTRADE.

In the field STATUS one of the values is indicated:
- «N» - limit start time for execution of trades with the Clearing House;
- «Y» - do not limit start time for execution of trades with the Clearing House.

In the field MARKET the market code is indicated:
- «CU» – the FX Market and Precious Metals Market;
- «FU» – the Derivatives Market;
- «EQ» – the Securities Market, Deposit Market and Credit Market

In the field UVR_CODE the number of the Settlement account is indicated (the FX Market and Precious Metals Market, the Securities Market, Deposit Market and Credit Market).

In the field BROKER the number of the Sub-account Cluster is indicated (the Derivatives Market).

5.28. Request for transfer of free format message

In case of transfer the electronic documents, which are different from those described in paragraphs 5.1 - 5.15, the Clearing Member can use free format electronic document of type «MESSAGE». This electronic document is not subject to further automatic execution.

Document format MESSAGE*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**MESSAGE
O	Mark of text message start	MSG_TEXT	

H	Lines of message		Free format

* The formation of request is allowed to be made by the own software of the Clearing Member

5.29. Notification of assignment of the Settlement Account, provided by the Clearing House

Document format CODEASSIGN

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!cTab CODEASSIGN
O	Settlement account	UVR_CODE	5!c
O	Additional Settlement account	ADD_CODE	5!c

5.30. Error message and execution message, provided by the Clearing House

If in the electronic document of category «A» provided by the Clearing Member:

- document format does not meet to the requirements of this document,
- execution date of the electronic document differs from the transfer date of message,
- amount of cash funds subject to transfer exceeds the amount of available funds,
- currency code does not correspond to the standard currency designation,
- for electronic documents describing the collateral return, the account details indicated in the document do not correspond to the account details for collateral return registered in the Clearing House,

such requests are not executed. In this case, the electronic document of type «ERR_REPLY» is sent to the Clearing Member.

Document format ERR_REPLY

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**ERR_REPLY
O	Title of initial document		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**10a
O	Error code	ERROR_CODE	2!n
O	Text description of error	ERR_TEXT1	35x
H	Text description of error	ERR_TEXT2	35x
H	Text description of error	ERR_TEXT3	35x
H	Text description of error	ERR_TEXT4	35x
H	Text description of error	ERR_TEXT5	35x
H	Text description of error	ERR_TEXT6	35x
H	Text description of error	ERR_TEXT7	35x
H	Text description of error	ERR_TEXT8	10x

If there are no errors in the electronic document of the type «A» provided by the Clearing Member, the electronic document of type «MSG_REPLY» is sent to the Clearing Member

Document format MSG_REPLY

O/H	Transmitted data	Used service words	Format / Value

O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**MSG_REPLY
O	Title of initial document		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**10a
O	Result of the execution by the NCC of the received message	REPL_CODE	2!n

Codes of the standard messages in the electronic documents «ERR_REPLY» and «MSG_REPLY» are published on the CCP NCC's website, permanent address of the page: https://www.nationalclearingcentre.ru/catalog/020806

5.31. Message of execution of instruction of the Clearing Member to cancel previously provided documents

To cancel previously provided electronic documents «CURRETURN» and «RURRETURN» the Clearing Member provides electronic document «CURCANCELL», meanwhile the Clearing Member is sent the confirmation of execution or message of impossibility to cancel in the form of electronic document «CAN_REPLY».

Document format CAN_REPLY

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**CAN_REPLY
O	Title of initial document		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab**10a
O	Code of the result of execution	REPL_CODE/ ERROR_CODE	2!n
H	Text description of the result	ERR _TEXT1	35x
H	Text description of the result	ERR _TEXT2	35x
H	Text description of the result	ERR _TEXT3	35x
H	Text description of the result	ERR _TEXT4	35x
H	Text description of the result	ERR _TEXT5	35x
H	Text description of the result	ERR _TEXT6	35x
H	Text description of the error	ERR _TEXT7	35x
H	Text description of the error	ERR _TEXT8	10x

Codes of the standard messages in the electronic documents «CAN_REPLY» are published on the CCP NCC's website, permanent address of the page: https://www.nationalclearingcentre.ru/catalog/020806

5.32. Response to Standing instruction to limit start time for execution of trades with the Clearing House

Document format EARLYTRADER

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!n**Tab**12c**Tab**12!c**Tab** EARLYTRADER
O	Title of initial document EARLYTRADE		
GO	Status of participation in early trading	STATUS	1c
GO	On-exchange market	MARKET	2!c
GH	Settlement account	UVR_CODE	5!n
GH	Sub-account Cluster	BROKER	4!c
GO	Response code	RESULT	3n

Value «OK» or error code is indicated in the field RESULT. The values of the initial EARLYTRADE are indicated in other fields.

5.33. Request for registration / cancellation of registration of details for sending electronic invoices

Document format REGEDMS*

O/H	Transmitted data	Used service words	Format / Value
O	Document title		2!n.2!n.2!nTab12cTab12!cTabREGEDMS
O	Action	ACTION	1n: 1 – form electronic invoice; 2 – do not form electronic invoice
H	Member ID in EDI	EDMSUSERID	46c

* The formation of request is allowed to be made by the own software of the Clearing Member

6. Forms and formats of the reports, provided to the Clearing Members by the Clearing House

Reporting documents are formed in the Clearing System in accordance with the Clearing Rules and sent to the Clearing Members in the form of electronic documents of the category «B».

These electronic documents are the documents formed in accordance with the requirements of the XML language version 1.0.

The structure of the names of XML-file with the reporting document has the form: FFFFFFF_TTTTT_SSS_DDMMYY_NNNNNNNNN.RRR, where:

- FFFFFFF – the first 7 symbols of the destination organization ID (or MM00001 for the electronic documents intended for all organizations, for example, for exchange information);

- TTTTT – type of the electronic document, including 2 symbols of the market ID (for example «EQM06» for the Extract from the list of trades accepted for clearing or «EQM6C» for the Extract from the list of trades accepted for clearing (clients' trades) etc.);

- SSS – technical ID of the report formation procedure;

- DDMMYY – date for which the report is formed;

- NNNNNNNNN – unique number of the electronic document in NCC's EDI Subsystem;

- RRR = xml.p7s.zip.p7e – composite file extension, containing from the chain of extensions, meaning the sequence of actions for decrypting (p7e), unzipping (zip) and removing digital signature (p7s), necessary to receive the initial XML-file.

The full specification of XML language version 1.0 is given in the document Extensible Markup Language (XML) 1.0 (Second Edition), developed by W3C and published in Internet on web-site http://www.w3.org/TR/REC-xml.

Each electronic document contains the title in form of text lines and context part, which is lines with data.

Each lines with data is sequence of the fields separated by tab symbol (hexadecimal code 09). The lines must end with the combination of symbols «carriage return – line feed» (hexadecimal codes 0D,0A).

The reporting document in XML format can be converted into any format convenient for the receipient (including TXT format with separators) by execution with own back-office software and/or standard software (MS Excel).

The reporting document in XML format can be converted into printed form by opening in Microsoft Internet Explorer.

6.1. Report on Default Funds (EQM92)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			
DOC_REQUISITES		Block of Document metadata	Yes			
	DOC_DATE	Date of document	No	Date		
	DOC_TIME	Time of document	No	Time		
	DOC_NO	Document unique number in the EDI system	No	String	1-12	
	DOC_TYPE_ID	Document type ID code in the EDI system	No	String	1-12	
	SENDER_ID	Sender ID code	No	String	1-12	
	SENDER_NAME	Sender short name	No	String	1-30	
	RECEIVER_ID	Recipient ID code	No	String	1-12	
	REMARKS	Text of note to the document	No	String	1-120	
/DOC_REQUISITES			Yes			
EQM92		Block of Report data	Yes			
	ReportDate	Report date	Yes	Date		
	MainFirmId	Main firm ID	Yes	String	0-12	
	FirmName	Main firm name	Yes	String	0-120	
FIRM		Block of firm data	Yes			
	FirmID	Firm ID	Yes	String	0-12	
	RequiredAmountDM	Minimum size of contribution to the Default Fund on the Derivatives market	Yes	Decimal	20	2
	RequiredAmountSM	Minimum size of contribution to the Default Fund on the Securities market, Deposit market and Credit market	Yes	Decimal	20	2
	RequiredAmountFXM	Minimum size of contribution to the Default Fund on the FX market and Precious metals market	Yes	Decimal	20	2
	RequiredAmountCM	Minimum size of contribution to the Default Fund on the Commodities market	Yes	Decimal	20	2
	RequiredAmountSDM	Minimum size of contribution to the Default Fund on the Standardised Derivatives market	Yes	Decimal	20	2
	SingleLimitGF	Single Limit of the Clearing Member under the Trade account for recording contributions to Default Funds	Yes	Decimal	20	2
SETTLE		Block of data under accounts for recording collective clearing collateral				

	RealAccountGF	Settlement account for recording contributions to Default Funds	Yes	String	0-120	
	DepUnitIdGF	Depo sub-account	No	String	17	
	TrdAccIdGF	Code of Trade account for recording contributions to Default Funds	No	String	12	
RECORDS		Block of Assets data				
	CurrencyId	Currency ID	No	String	4	
	CurrencyName	Currency name	No	String	30	
	SecurityId	Security ID	No	String	12	
	ISIN	International Securities Identification Number	No	String	12	
	SecShortName	Security short name	No	String	10	
	Quantity	Amount of asset, in units of currency/number of securities	Yes	Decimal	20	2
	CollateralAcceptLimit	Collateral Acceptance Limit, %	No	Decimal	20	2
	Value	Estimated value of asset, in RUB	Yes	Decimal	20	2
/RECORDS						
/SETTLE						
/FIRM						
/EQM92						
/MICEX_DOC						

Example of report EQM92

Report on Default Funds

Date of report:
Clearing Member Unicode:
Clearing Member name:

Settlement account for recording contributions to Default Funds:
Trade account for recording contributions to Default Funds:
Number of depo sub-account:

Short code of asset	Name of asset	Amount of asset	Collateral Acceptance Limit, %	Estimated value of asset, RUB

Total estimated value of assets, RUB				

Default Fund estimated in accordance with the Clearing Rules	Minimum size of contribution, RUB
on the Derivatives market	
on the Securities Market, Deposit Market and Credit Market	
on the FX Market and Precious Metals Market	
on the Commodities Market	
on the Standardised Derivatives Market	

Available funds, RUB	

6.2. Report on Collateral for Stress (EQM93)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			
DOC_REQUISITES		Block of Document metadata	Yes			
	DOC_DATE	Date of document	No	Date		
	DOC_TIME	Time of document	No	Time		
	DOC_NO	Document unique number in the EDI system	No	String	1-12	
	DOC_TYPE_ID	Document type ID code in the EDI system	No	String	1-12	
	SENDER_ID	Sender ID code	No	String	1-12	
	SENDER_NAME	Sender short name	No	String	1-30	
	RECEIVER_ID	Recipient ID code	No	String	1-12	
	REMARKS	Text of note to the document	No	String	1-120	
/DOC_REQUISITES			Yes			
EQM93		Block of Report data	Yes			
	ReportDate	Report date	Yes	Date		
	MainFirmId	Main firm ID	Yes	String	0-12	
	FirmName	Main firm name	Yes	String	0-120	
FIRM		Block of firm data	Yes			
	FirmID	Firm ID code	Yes	String	0-12	
	RequiredAmountDM	Minimum amount of Collateral for Stress on the Derivatives market	Yes	Decimal	20	2
	RequiredAmountSM	Minimum amount of Collateral for Stress on the Securities market, Deposit market and Credit market	Yes	Decimal	20	2
	RequiredAmountFXM	Minimum amount of Collateral for Stress on the FX market and Precious Metals market	Yes	Decimal	20	2
	RequiredAmountCM	Minimum amount of Collateral for Stress on the Commodities market	Yes	Decimal	20	2
	RequiredAmountSDM	Minimum amount of Collateral for Stress on the Standardised Derivatives market	Yes	Decimal	20	2
	SingleLimitStress	Single Limit of the Clearing Member under Trade account for recording Collateral for Stress	Yes	Decimal	20	2
SETTLE		Block of data under accounts for recording Collateral for Stress				
	RealAccountStress	Settlement account for recording Collateral for Stress	Yes	String	0-120	

	DepUnitIdStress	Depo sub-account for recording Collateral for Stress	No	String	17	
	TrdAccIdStress	Code of Trade account for recording Collateral for Stress	No	String	12	
RECORDS		Block of Assets data				
	CurrencyId	Currency ID	No	String	4	
	CurrencyName	Currency name	No	String	30	
	SecurityId	Security ID	No	String	12	
	ISIN	International Securities Identification Number	No	String	12	
	SecShortName	Security short name	No	String	10	
	Quantity	Amount of asset, in units of currency/number of securities	Yes	Decimal	20	2
	CollateralAcceptLimit	Collateral Acceptance Limit, %	No	Decimal	20	2
	Value	Estimated value of asset, in RUB	Yes	Decimal	20	2
/RECORDS						
/SETTLE						
/FIRM						
/EQM93						
/MICEX_DOC						

Example of report EQM93

Report on Collateral for Stress

Date of report:
Clearing Member Unicode:
Clearing Member name:

Settlement account for recording Collateral for Stress:
Trade account for recording Collateral for Stress:
Number of depo sub-account for recording Collateral for Stress:

Short code of asset	Name of asset	Amount of asset	Collateral acceptance Limit, %	Estimated value of asset, rub.

Total estimated value of assets, rub.		

Collateral for Stress posted in accordance with the Clearing Rules	Minimum amount of Collateral for Stress, rub.
on the Derivatives Market	
on the Securities Market, Deposit Market and Credit Market	
on the FX Market and Precious Metals Market	
on the Commodities Market	
on the Standardised Derivatives Market	

Free funds, rub.	

6.3. Report on Concentration Risk Mitigation Collateral (EQM94)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			
DOC_REQUISITES		Block of Document metadata	Yes			
	DOC_DATE	Date of document	No	Date		
	DOC_TIME	Time of document	No	Time		
	DOC_NO	Document unique number in the EDI system	No	String	1-12	
	DOC_TYPE_ID	Document type ID code in the EDI system	No	String	1-12	
	SENDER_ID	Sender ID code	No	String	1-12	
	SENDER_NAME	Sender short name	No	String	1-30	
	RECEIVER_ID	Recipient ID code	No	String	1-12	
	REMARKS	Text of note to the document	No	String	1-120	
/DOC_REQUISITES			Yes			
EQM94		Block of Report data	Yes			
	ReportDate	Report date	Yes	Date		
	MainFirmId	Main firm ID	Yes	String	0-12	
	FirmName	Main firm name	Yes	String	0-120	
FIRM		Block of Firm data	Yes			
	FirmID	Firm ID	Yes	String	0-12	
	RequiredCR	Claim on Concentration Risk Mitigation Collateral	Yes	Decimal	20	2
	SingleLimitCR	Single Limit of the Clearing Member under the Trade account for recording Concentration Risk Mitigation Collateral	Yes	Decimal	20	2
SETTLE		Block of data under accounts for recording Concentration Risk Mitigation Collateral				
	RealAccountCR	Settlement account for recording Concentration Risk Mitigation Collateral	Yes	String	0-120	
	DepUnitIdCR	Depo sub-account for recording Concentration Risk Mitigation Collateral	No	String	17	
	TrdAccIdCR	Code of Trade account for recording Concentration Risk Mitigation Collateral	No	String	12	
RECORDS		Block of Assets data				
	CurrencyId	Currency ID	No	String	4	
	CurrencyName	Currency name	No	String	30	

	SecurityId	Security ID	No	String	12	
	ISIN	International Securities Identification Number	No	String	12	
	SecShortName	Security short name	No	String	10	
	Quantity	Amount of asset, in units of currency/number of securities	Да	Decimal	20	2
	CollateralAcceptLimit	Collateral Acceptance Limit, %	No	Decimal	20	2
	Value	Estimated value of asset, in rubles	Да	Decimal	20	2
/RECORDS						
/SETTLE						
/FIRM						
/EQM94						
/MICEX_DOC						

Example of report EQM94

Report on Concentration Risk Mitigation Collateral

Date of report:
Clearing Member Unicode:
Clearing Member name:

Settlement account for recording Concentration Risk Mitigation Collateral:
Trade account for recording Concentration Risk Mitigation Collateral:
Number of depo sub-account:

Short code of asset	Name of asset	Amount of asset	Collateral Acceptance Limit, %	Estimated value of asset, rub.
Total estimated value of assets, rub.				
Claim on Concentration Risk Mitigation Collateral, rub.				
Free funds, rub.				

6.4. Income paid to Non-resident Clearing Member (CCX51)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document				
DOC_REQUISITES		Block of Document metadata				
	DOC_DATE	Date of document	Yes	Date		
	DOC_TIME	Time of document	Yes	Time		
	DOC_NO	Document unique number in the EDI system	Yes	String	35	
	DOC_TYPE_ID	Document type ID code in the EDI system	Yes	String	35	
	SENDER_ID	Sender ID code	Yes	String	12	
	RECEIVER_ID	Recipient ID code	Yes	String	12	
/DOC_REQUISITES						
CCX51		Block of Report data				
	ReportDate	Report date	Yes	Date		
	FirmID	Clearing Member Unicode	Yes	String	0-12	
	FirmName	Clearing Member name	Yes	String	0-120	
	FirmNameEN	Clearing Member name (in English)	Yes	String	0-120	
RECORDS		Block of data				
	Record_ID	Unique record number	Yes	Number	8	
	TradeType	Trade type	Yes	String	0-120	
	TCS	Market, on which the tax is calculated or withheld: EQ – Securities market, Credit market and Deposit market CU – FX market and Precious metals market FU – Derivatives market	No	String	2	
	ID	Settlement account on which the tax is calculated	Yes	Number	5	
	ID_Z	Settlement account for recording Collateral for taxes of the RF (Settlement account for paying taxes)	No	Number	5	
	IncomeRecipient	Name of Beneficial owner of the income	No	String	0-120	
	ClientCode	Client code: ClientCode in the Clearing system of Securities market and FX market, KPKP in the Clearing system of Derivatives market	No	String	7	
	IRCategoryCode	Code of type of Beneficial owner of income	No	Number	2	

	IRCategory	Name of type of Beneficial owner of income	No	String	0-120	
	TaxCategory	Tax category: 0 – Common 1 – Other legal entities 2 – Insurance company 3 – Government 4 – Pension Fund 5 – Other banks 6 – Bank of Russia	No	String	0-120	
	IR_CountryCode	Country code of the Beneficial owner of income	Yes	String	3	
	IR_Country	Name of country of the Beneficial owner of income	Yes	String	0-120	
	IncomeRight	Code of the actual right to income: 00 – Beneficial owner of income is unknown, income is recorded under the proprietary Settlement account of the Clearing Member; 01 – Clearing Member is the Beneficial owner of income, income is recorded under the proprietary Settlement account of the Clearing Member; 03 – Client of the Clearing Member is the Beneficial owner of income, income is recorded under the client or proprietary Settlement account of the Clearing member; 04 – Beneficial owner of income is unknown, income is recorded under the client Settlement account of the Clearing Member or TTCA account in some cases.	Yes	String	2	
	TradeNo	Trade number / operation number	No	Number	20	
	TradeDate	Trade date / operation date	No	Date		
	TradeCode	Operation type: 1 – Sell of bonds (accumulated coupon interest) 2 – Sell of preferential (concessional) bonds (accumulated coupon interest) 3 – Sell of state and municipal bonds (НКД) 4 – Sell of discount bonds and bonds with indexed nominal value 5 – Sell of preferential discount bonds and bonds with indexed nominal value 6 – REPO (1 part) 7 – REPO (2 part) 8 – Deposits	Yes	String	0-120	

		9 – Coupon transfer on bonds of russian companies (except state and municipal bonds)				
		10 – Coupon transfer on preferential bonds of russian companies (except state and municipal bonds)				
		11 – Coupon transfer on state and municipal bonds				
		12 – Dividends transfer				
		13 – Dividends transfer on depositary receipts on shares of russian companies				
		14 – Sell of units of closed mutual investment fund				
		15 – Sell of securities (securities, group «b», units of mutual investment funds without closed mutual investment funds)				
		16 – Cash-settled derivatives				
		17 – Deliverable derivatives (except in foreign currencies and precious metals)				
		18 – Percent on Collateral for Stress				
		19 – Percent on individual clearing collateral				
		20 – Return premium				
		21 – Penalties				
		22 – Other non-taxable trades				
		23 – Credits and other debt obligations				
	IncomeNo	Sequential income number - consecutive numbering of income to Non-resident Clearing Member in ascending order from the beginning of the current quarter	No	Number	2	
	Secur_CBR	Type of security according to the classifier of the Bank of Russia	No	String	5	
	Secur_CBR_Name	Name of type of security according to the classifier of the Bank of Russia	No	String	0-120	
	SecID	Trading code of security	No	String	4 - 12	
	SecTypeName	Name of security	No	String	0-120	
	IssuerName	Name of issuer of security	No	String	0-120	
	ContractCode	Code of cash-settled contract	No	String	25	
	ContractName	Contract name	No	String	0-120	
	Position	Position	No	Number	2	
	Type	Type of record: 1 - Tax; 2 - Report	Yes	Number	1	
	IncomePayment Date	Payment date of income	No	Date		
	IncomeID	Unique internal code of income	Yes	Number	2	

	IncomeCode	Name of type of income				
	IncomeCurrency	Currency of income payment (letter code according to ISO 4217)	Yes	String	3	
	IncomeValue	Amount of income before tax (Taxable base)	Yes	Number	20	0 (if amount in rubles), 2 (if amount in foreign currency)
	TaxRate	Tax rate in % for the Beneficial owner of income on this code of income. On non-taxable income (both under Double Tax Treaty (DTT) and under the Tax Code of the Russian Federation), the value "99,99" is indicated.	No	Number	3	2
	TaxWithholdDate	Date of tax calculation or withholding by tax agent	No	Date		
	DeductTaxValue	Tax amount, withhold from source of income payment between the execution date of first and second part of REPO	No	Number	20	2
	TaxValue	Tax amount in currency of income	No	Number	20	0 (if amount in rubles), 2 (if amount in foreign currency)
	MarginTaxValue	Interim amount of calculated tax in currency of income payment	No	Number	20	0 (if amount in rubles), 2 (if amount in foreign currency)
	TaxPaymentDate	Date of tax transfer to the budget	No	Date		
	TaxValueRub	Tax amount in rubles	No	Number	20	2
	BCC	Budget classification code (BCC)	No	Number	20	
/RECORDS						
/CCX51						
/MICEX_DOC						

Example of report CCX51

Income paid to Non-resident Clearing Member

Clearing Member Unicode:
Clearing Member name:

ID	Trade type	Market on which the tax is calculated and withheld	Settlement account	Settlement account for paying taxes	Name of beneficiary owner of income (BOI)	Code of BOI	Type of BOI	Category of BOI	Country	Legislation	Trade number/operation	Trade date/operation	Operation type	Income number	Code of security type	Name of security type	Trading code of security	Issue name	Issuer	Contract code	Contract name	Position	Type	Date of income payment	Code of income type	Name of income type	Currency	Tax able base	Rate	Date of tax charge or withholding by the tax agent	Tax amount, withheld from source of income payment between the date of execution of first and second part of REPO	Tax amount	Interim amount of calculated tax in currency of income payment	Date of tax transfer to the budget	Tax amount in rubles	BCC

6.5.   Notification on minimum amount of Collateral for Stress (CCX94)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			
DOC_REQUISITES		Block of Document metadata				
	DOC_DATE	Date of document	Yes	Date		
	DOC_TIME	Time of document	Yes	Time		
	DOC_NO	Document unique number in the EDI system	Yes	String	35	
	DOC_TYPE_ID	Document type ID code in the EDI system	Yes	String	35	
	SENDER_ID	Sender ID code	Yes	String	12	
	RECEIVER_ID	Recipient ID code	Yes	String	12	
/DOC_REQUISITES						
CCX94		Block of report data	Yes			
	ReportDate	Report date	Yes	Date		
	FirmId	Clearing Member Unicode	Yes	String	10	
	FirmName	Clearing Member name	No	String	160	
	ExtSettleCode	Settlement account for recording Collateral on Stress	Yes	String	5	
	BEGIN_DATE	Date, starting from which the defined minimum value of Collateral for Stress is active	Yes	Date		
RECORDS		Block of minimum value of Collateral for Stress data				
	TCS	Market on which minimum value on Collateral for Stress is calculated: EQ – Securities market and Deposit market; CU – FX market and Precious metals market; FU – Derivatives market; OT – Standardised derivatives market; CO – Commodities market	Yes	String	2	
	SUM	Minimum amount of Collateral for Stress, rub.	Yes	Decimals	32	2
	SUM_new	Calculated amount of Collateral for Stress, rub.	Yes	Decimals	32	2
/RECORDS						
/CCX94						
/MICEX_DOC						

Example of report CCX94

NOTIFICATION ON MINIMUM AMOUNT OF COLLATERAL FOR STRESS

Report date:
Clearing Member Unicode:
Clearing Member name:
Settlement account for recording Collateral for Stress:
Starting date of minimum amount of Collateral for Stress DD.MM.YYYY

Market	Minimum amount of Collateral for Stress, rub.	Calculated amount of Collateral for Stress, rub.

6.6. Report on sum of obligations with deferred fulfillment (CCX95)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			
DOC_REQUISITES		Block of Document metadata				
	DOC_DATE	Date of document	Yes	Date		
	DOC_TIME	Time of document	Yes	Time		
	DOC_NO	Document unique number in the EDI system	Yes	String	35	
	DOC_TYPE_ID	Document type ID code in the EDI system	Yes	String	35	
	SENDER_ID	Sender ID code	Yes	String	12	
	RECEIVER_ID	Recipient ID code	Yes	String	12	
/DOC_REQUISITES						
CCX95		Block of Report data	Yes			
	ReportDate	Report date	Yes	Date		
	FirmId	Clearing Member Unicode	Yes	String	12	
	FirmName	Clearing Member name	Yes	String	120	
TCS		Block of data on the market where obligations with deferred fulfillment are calculated				
	TCS	EQ – Securities Market, Deposit Market and Credit Market; CU – FX Market and Precious Metals Market; FU – Derivatives Market; OT – Standardised Derivatives Market	Yes	String	3	
CURRENCY		Block of data on the currency, in which obligations with deferred fulfillment are calculated	Yes			
	CurrencyId	Currency code	Yes	String	3	
SETTLE		Block of the Settlement account data				
	ExtSettleCode	Settlement account of the Clearing Member	Yes	String	5	
	Type	Type of the Settlement account: S – for recording proprietary funds of the Clearing Member; L – for recording funds of clients of the Clearing Member; D – for recording funds which are in trust management of the Clearing Member	Yes	String	1	
	DeffExec	Sum of obligations with deferred fulfillment (in units of currency)	Yes	Decimal	20	2
/SETTLE						
/CURRENCY						

/TCS						
/CCX95						
/MICEX_DOC						

Example of report CCX95

Report on sum of obligations with deferred fulfillment

Report date:
Clearing Member Unicode:
Clearing Member name:

Market on which obligations with deferred fulfillment are calculated:

Currency code:

Settlement account	Type of the Settlement Account	Sum of obligations with deferred fulfillment

Currency code:

Settlement account	Type of the Settlement Account	Sum of obligations with deferred fulfillment

6.7.   Notification on debit and credit under Collateral account (CCX97)

6.7.1.   Notification on debit and credit under Collateral account (CCX97) (in payment order format)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			
DOC_REQUISITES		Block of Document metadata				
	DOC_DATE	Date of document	Yes	Date		
	DOC_TIME	Time of document	Yes	Time		
	DOC_NO	Document unique number in the EDI system	Yes	String	35	
	DOC_TYPE_ID	Document type ID code in the EDI system	Yes	String	35	
	CODE_ID	Report suffix (RRT): RR: EQ – Securities Market, Deposit Market and Credit Market; CU – FX Market and Precious Metals Market; FU – Derivatives Market; OT – Standardised Derivatives Market; CO – Commodities Market. T: «4» – payment order; «5» – memo order.	Yes	String	3	
	SENDER_ID	Sender ID	Yes	String	12	
	RECEIVER_ID	Recipient ID	Yes	String	12	
/DOC_REQUISITES						
CCX97		Block of Report data	Yes			
	FIRMPURPOSE_PAYMENT	Short name of organization	Yes	String	50	
	TRADE_DATE	Report date	Yes	Date		
	REGCODE	Clearing member Unicode	Yes	String	12	
EXTSETTLECODE		Block of cash flow data under Settlement account	Yes			
	ID	Settlement account	Yes	String	5	
STATEMENT		Account data	Yes			
	ACCOUNT	Account number	Yes	String	20	
	PURPOSE_PAYMENT_ACC	Account name	Yes	String	210	

ENTRY		Operation data				
	CODETYPE	Code of type of operation	Yes	String	3	
	TRANSKIND	Type of document: 1 – payment order; 2 – memo order	Yes	String	2	
	NUMBER	Document number	Yes	String	35	
	REFERENCE	Reference	No	String	35	
	PAY_NUMBER	Number of settlement document	No	String	35	
	ACC_DOC_DATE	Date of settlement document	No	Date		
	PAY_ACC	Account of payer	No	String	20	
	PAY_INN	INN of payer	No	String	12	
	PAY_KPP	KPP of payer	No	String	9	
	PAY_NAME	Name of payer	No	String	160	
	PAY_BIC	BIC of payer's bank	No	String	9	
	PAY_BANK	Name of payer's bank	No	String	160	
	PAY_CORACC	Correspondent account of payer's bank	No	String	20	
	REC_ACC	Account of recipient	No	String	20	
	REC_INN	INN of recipient	No	String	12	
	REC_KPP	KPP of recipient	No	String	9	
	REC_NAME	Name of recipient	No	String	160	
	REC_BIC	BIC of recipient's bank	No	String	9	
	REC_BANK	Name of recipient's bank	No	String	160	
	COR_ACC	Correspondent account of recipient's bank	No	String	20	
	PURPOSE_PAYMENT	Purpose of payment	No	String	210	
	CURRENCY	Currency code ISO 4217	Yes	String	3	
	DEBIT	Debit	No	Decimal	32	2
	CREDIT	Credit	No	Decimal	32	2
	DATE	Date of operation	Yes	Date		
	CLRNUM	Clearing registers, Settlement accounts of the 2nd level	No	String	210	
	TR_SYSTEM	Message delivery system (SWIFT, SPFS)	No	String	6	
	GPI	SWIFT GPI Tracker (UETR code) – transaction unique code	No	String	36	
ORDERINGPARTY		Block of Payer data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	

	NAMEADDR	Name / address	No	String	140	
/ORDERINGPARTY						
INTERMEDIARY		Block of Intermediary bank data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name / address	No	String	140	
/INTERMEDIARY						
ACCOUNTWITHINSTITUTION		Block of recipient's bank data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name / address	No	String	140	
/ACCOUNTWITHINSTITUTION						
BENEFICIARY		Block of Recipient data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name / address	No	String	140	
/BENEFICIARY						
/ENTRY						
/STATEMENT						
/EXTSETTLECODE						
/CCX97						
/MICEX_DOC						

6.7.2. Notification on debit and credit under Collateral account (CCX97) (in memo order format)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			

DOC_REQUISITES		Block of Document metadata				
	DOC_DATE	Date of document	Yes	Date		
	DOC_TIME	Time of document	Yes	Time		
	DOC_NO	Document unique number in the EDI system	Yes	String	35	
	DOC_TYPE_ID	Document type ID code in the EDI system	Yes	String	35	
	CODE_ID	Report suffix (RRT): RR: EQ – Securities Market, Deposit Market and Credit Market; CU – FX Market and Precious Metals Market; FU – Derivatives Market; OT – Standardised Derivatives Market; CO – Commodities Market. T: «4» – payment order; «5» – memo order.	Yes	String	3	
	SENDER_ID	Sender ID	Yes	String	12	
	RECEIVER_ID	Recipient ID	Yes	String	12	
/DOC_REQUISITES						
CCX97		Block of report data	Yes			
	FIRMPURPOSE_PAYMENT	Short name of organization	Yes	String	50	
	TRADE_DATE	Report date	Yes	Date		
	REGCODE	Clearing Member Unicode	Yes	String	12	
EXTSETTLECODE		Block of cash flow data under the Settlement account	Yes			
	ID	Settlement account	Yes	Number	5	
STATEMENT		Account data	Yes			
	ACCOUNT	Account number	Yes	String	20	
	PURPOSE_PAYMENT_ACC	Account name	Yes	String	210	
ENTRY		Operation data				
	CODETYPE	Code of type of operation	Yes	String	3	
	TRANSKIND	Type of document: 1 – payment order; 2 – memo order	Yes	String	2	
	NUMBER	Document number	Yes	String	35	
	PAY_ACC	Account of payer	No	String	20	
	PAY_NAME	Name of payer	No	String	160	
	REC_ACC	Account of recipient	No	String	20	
	REC_NAME	Name of recipient	No	String	160	

	PURPOSE_PAYMENT	Purpose of payment	Yes	String	210	
	CURRENCY	Currency code ISO 4217	Yes	String	3	
	DEBIT	Debit	No	Decimal	32	2
	CREDIT	Credit	No	Decimal	32	2
	DATE	Date of operation	Yes	Date		
	CLRNUM	Clearing registers, Settlement accounts of the 2nd level	No	String	210	
/ENTRY						
/STATEMENT						
/EXTSETTLECODE						
/CCX97						
/MICEX_DOC						

6.8. Cancellation of notification on debit and credit under Collateral account (CCX96)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			
DOC_REQUISITES		Block of Document metadata				
	DOC_DATE	Date of document	Yes	Date		
	DOC_TIME	Time of document	Yes	Time		
	DOC_NO	Document unique number in the EDI system	Yes	String	35	
	DOC_TYPE_ID	Document type ID code in the EDI system	Yes	String	35	
	CODE_ID	Report suffix (RRT): RR: EQ – Securities Market, Deposit Market and Credit Market; CU – FX Market and Precious Metals Market; FU – Derivatives Market; OT – Standardised Derivatives Market; CO – Commodities Market. T: «4» – payment order; «5» – memo order.	Yes	String	3	
	SENDER_ID	Sender ID	Yes	String	12	
	RECEIVER_ID	Recipient ID	Yes	String	12	
/DOC_REQUISITES						
CCX96		Block of report data	Yes			
	FIRMPURPOSE_PAYMENT	Short name of organization	Yes	String	50	
	TRADE_DATE	Report date	Yes	Date		
	REGCODE	Clearing Member Unicode	Yes	String	12	
EXTSETTLECODE		Block of cash flow data under the Settlement account	Yes			
	ID	Settlement account	Yes	Number	5	
STATEMENT		Account data	Yes			
	ACCOUNT	Account number	Yes	String	20	
	PURPOSE_PAYMENT_ACC	Account name	Yes	String	210	
ENTRY		Operation data				
	CODETYPE	Code of type of operation	Yes	String	3	

	TRANSKIND	Type of document	No	String	2	
	NUMBER	Document number in NCC	Yes	String	35	
	REFERENCE	Reference	No	String	35	
	PAY_NUMBER	Number of settlement document	No	String	10	
	ACC_DOC_DATE	Date of settlement document	No	Date		
	PAY_ACC	Account of payer	No	String	35	
	PAY_INN	INN of payer	No	String	12	
	PAY_KPP	KPP of payer	No	String	9	
	PAY_NAME	Name of payer	No	String	160	
	PAY_BIC	BIC of payer's bank	No	String	9	
	PAY_BANK	Name of payer's bank	No	String	160	
	PAY_CORACC	Correspondent account of payer's bank	No	String	20	
	REC_ACC	Account of recipient	No	String	20	
	REC_INN	INN of recipient	No	String	12	
	REC_KPP	KPP of recipient	No	String	9	
	REC_NAME	Name of recipient	No	String	160	
	REC_BIC	BIC of recipient's bank	No	String	9	
	REC_BANK	Name of recipient's bank	No	String	160	
	COR_ACC	Correspondent account of recipient's bank	No	String	20	
	PURPOSE_PAYMENT	Purpose of payment	No	String	210	
	CURRENCY	Currency of payment	Yes	String	3	
	DEBIT	Debit	No	Decimal	32	2
	CREDIT	Credit	No	Decimal	32	2
	DATE	Date of operation	Yes	Date		
	CLRNUM	Clearing registers, Settlement accounts of the 2nd level	No	String	210	
	GPI	SWIFT GPI Tracker (UETR code) – transaction unique code	No	String	36	
	TR_SYSTEM	Message delivery system (SWIFT, SPFS)	No	String	6	
ORDERINGPARTY		Block of payer's data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name / address	No	String	140	
/ORDERINGPARTY						

INTERMEDIARY		Block of intermediary bank data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name / address	No	String	140	
/INTERMEDIARY						
ACCOUNTWITHINSTITUTION		Block of recipient's bank data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name / address	No	String	140	
/ACCOUNTWITHINSTITUTION						
BENEFICIARY		Block of recipient data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name / address	No	String	140	
/BENEFICIARY						
/ENTRY						
/STATEMENT						
/EXTSETTLECODE						
/CCX96						
/MICEX_DOC						

6.9. Report on Settlement Accounts and details of the Clearing Member (CCX98)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			
DOC_REQUISITES		Block of Document metadata				
	DOC_DATE	Date of document	Yes	Date		
	DOC_TIME	Time of document	Yes	Time		
	DOC_NO	Document unique number in the EDI system	Yes	String	35	
	DOC_TYPE_ID	Document type ID code in the EDI system	Yes	String	35	
	SENDER_ID	Sender ID	Yes	String	12	
	RECEIVER_ID	Recipient ID	Yes	String	12	
/DOC_REQUISITES						
CCX98		Block of report data	Yes			
	FIRMPURPOSE_ PAYMENT	Short name of organization	Yes	String	50	
	DATE	Report date	Yes	Date		
	REGCODE	Clearing Member Unicode	Yes	String	12	
RC		Block of Settlement account data	Yes			
	ID	Settlement account	Yes	String	5	
	TYPE	Type of the Settlement account: S – for recording proprietary funds of the Clearing Member; L – for recording funds of clients of the Clearing Member; D – for recording funds which are in trust management of the Clearing Member	Yes	String	1	
	KIND	Category of the Settlement account: O – Common I – Concentration Risk Mitigation Collateral F – Collective clearing collateral G – Collateral for Stress B – Pool «GC Bonds» X – Pool «GC Shares» E – Pool «GC Expanded» Z – Settlement account for recording collateral on taxes of	No	String	1	

		Russian Federation				
	Z_CONNECTED	Connection with the Settlement account for recording collateral on taxes of Russian Federation (for Non-resident Clearing Members): «Y» – there is connection; «N» – there is no connection.	No	String	1	
	FUND_NAME	Fund name	No	String	100	
CURRENCY		Currency data	No			
	ISO	Currency code	No	String	3	
ACCOUNT_DETAILS		Payment details				
	F58A_ACC	Account of recipient	No	String	35	
	F58A_BIC	BIC of recipient's bank/ BIC SWIFT of recipient	No	String	11	
	F58A_CORR_ACC	Correspondent account of recipient's bank	No	String	20	
	F58A_INN	INN of recipient	No	String	12	
	FIRMPURPOSE	Name of recipient	No	String	160	
	F57A_ACC	Account of recipient's bank	No	String	35	
	F57A_BIC	BIC/ SWIFT of recipient's bank	No	String	11	
	F56A_ACC	Account of intermediary bank	Нет	String	35	
	F56A_BIC	BIC/ SWIFT of intermediary bank	Нет	String	11	
	REG_BNAME1	Name of recipient's bank	Нет	String	160	
	F58A_ADRES	Name/ address of recipient	Нет	String	160	
	F57A_ADRES	Name/ address of recipient's bank	Нет	String	160	
	F56A_ADRES	Name/ address of intermediary bank	Нет	String	160	
	SING_MAIN	Feature of main details (Y/N)	Нет	String	1	
/ACCOUNT_DETAILS						
/CURRENCY						
/RC						
/CCX98						
/MICEX_DOC						

Example of report CCX98

REPORT ON SETTLEMENT ACCOUNTS AND DETAILS OF THE CLEARING MEMBER

Clearing Member Unicode:
Main Settlement account of the Clearing Member:

List of Settlement Accounts of the Clearing Member

Settlement account	
Settlement account type	
Settlement account category	
Connection with Settlement account for recording collateral on taxes of RF	
Account details	
CURRENCY	**Currency code**
F57A_BIC	**SWIFT BIC of Beneficiary's Bank**
F58A_ACC	**Correspondent account of Beneficiary**
F58A_BIC	**SWIFT BIC of Beneficiary**

6.10. Cash flow statement (CCX99)

XML-file structure:

Node name	Attribute name	Description	Required	Type	Length	Decimals
MICEX_DOC		Root element of XML document	Yes			
DOC_REQUISITES		Block of Document metadata				
	DOC_DATE	Date of document	Yes	Date		
	DOC_TIME	Time of document	Yes	Time		
	DOC_NO	Document unique number in the EDI system	Yes	String	35	
	DOC_TYPE_ID	Document type ID code in the EDI system	Yes	String	35	
	CODE_ID	Report suffix (RRT): RR: EQ – Securities Market, Deposit Market and Credit Market; CU – FX Market and Precious Metals Market; FU – Derivatives Market; OT – Standardised Derivatives Market; CO – Commodities Market. T: 1 – under all Settlement accounts; 2 – under separate Settlement account; 3 – under separate account.	Yes	String	3	
	SENDER_ID	Sender ID	Yes	String	12	
	RECEIVER_ID	Recipient ID	Yes	String	12	
/DOC_REQUISITES						
CCX99		Block of report data	Yes			
	FIRMPURPOSE_PAYMENT	Short name of organization	Yes	String	50	
	TRADE_DATE	Date of operations indicated in report	No	Date		
	REGCODE	Clearing Member Unicode	Yes	String	12	
	DATE_FROM	Start date of report generation	Yes	Date		
	DATE_TO	End date of report generation	No	Date		
	REPORT_TYPE	Type of report: 1 – under all Settlement accounts; 2 – under separate Settlement account; 3 – under separate account	Yes	String	2	
EXTSETTLECODE		Block of cash flow data under Settlement account	Yes			
	ID	Settlement account	Yes	String	5	

STATEMENT		Account data	Yes			
	ACCOUNT	Account number	Yes	String	20	
	CURRENCY	Currency code ISO 4217	Yes	String	3	
	OPENING_BALANCE	Opening balance	Yes	Decimal	32	2
	CLOSING_BALANCE	Closing balance	Yes	Decimal	32	2
	PREVIOUS_DATE	Date of the previous cash funds flow under account	No	Date		
	DATE_ OPENING_BALANCE	Date on which opening balance is formed	No	Date		
	DATE_ CLOSING_BALANCE	Date on which closing balance is formed	No	Date		
	DEBIT_SUM	Total debit	Yes	Decimal	32	2
	CREDIT_SUM	Total credit	Yes	Decimal	32	2
	PURPOSE_PAYMENT_ACC	Name of account	Yes	String	210	
	TYPE	Type of account (A – active, P – passive)	Yes	String	1	
ENTRY		Operation data				
	CODETYPE	Code of type of operation	Yes	String	3	
	TRANTYPE	Code of operation in the Clearing System	No	String	3	
	TRANSKIND	Category of document: 1 – payment order; 2 – memo order	Yes	String	2	
	NUMBER	Document number in NCC	Yes	String	35	
	REFERENCE	Reference	No	String	35	
	PAY_NUMBER	Number of settlement document	No	String	35	
	ACC_DOC_DATE	Date of settlement document	No	Date		
	PAY_ACC	Account of payer	No	String	20	
	PAY_INN	INN of payer	No	String	12	
	PAY_KPP	KPP of payer	No	String	9	
	PAY_NAME	Payer	No	String	160	
	PAY_BIC	BIC of payer's bank	No	String	9	
	PAY_BANK	Payer's bank	No	String	160	
	PAY_CORACC	Correspondent account of payer's bank	No	String	20	
	REC_ACC	Account of recipient	No	String	20	
	REC_INN	INN of recipient	No	String	12	
	REC_KPP	KPP of recipient	No	String	9	
	REC_NAME	Recipient	No	String	160	
	REC_BIC	BIC of recipient's bank	No	String	9	

	REC_BANK	Name of recipient's bank	No	String	160	
	COR_ACC	Correspondent account of recipient's bank	No	String	20	
	PURPOSE_PAYMENT	Purpose of payment	No	String	210	
	DEBIT	Debit	No	Decimal	32	2
	CREDIT	Credit	No	Decimal	32	2
	DATE	Date of operation	Yes	Date		
	TIME	Time of operation	No	Time		
ORDERINGPARTY		Block of payer data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name/ address	No	String	140	
/ORDERINGPARTY						
INTERMEDIARY		Block of intermediary bank data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name/ address	No	String	140	
/INTERMEDIARY						
ACCOUNTWITHINSTITUTION		Block of recipient's bank data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name/ address	No	String	140	
/ACCOUNTWITHINSTITUTION						
BENEFICIARY		Block of recipient data	No			
	BIC	SWIFT BIC	No	String	11	
	PARTY_ID	Account	No	String	35	
	NAMEADDR	Name/ address	No	String	140	
/BENEFICIARY						
/ENTRY						

/STATEMENT						
/EXTSETTLECODE						
/CCX99						
/MICEX_DOC						