

Annex No. 1  
to depository agreement  
(depot account agreement)

Approved  
General Director  
“IC “FINPROINVEST” LLC

The Order № 1/11-03-2024  
of 11.03.2024

Effective March 25, 2024.

**TERMS AND CONDITIONS  
OF DEPOSITORY ACTIVITIES OF  
“IC “FINPROINVEST” LLC  
(Clients’ regulations)**

**Stary Oskol  
2024**

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## 1.GENERAL

### 1.1. Implementation of depository activity.

1.1.1. Limited Liability company “Investment company “FINPROINVEST” (hereinafter – Company, Depository) is entitled to perform custody operations under License of the Professional Participant of the Securities Market for carrying Depository activity No. 014-14060-000100 issued by the Bank of Russia on May,3<sup>rd</sup> 2018.

1.1.2. Depository activity in the Company is carried out by an individual business subdivision unit for which the said activity is exclusive.

1.1.3. The Company combines depository activity on the securities market with broker activity, dealer activity and securities’ management activity.

1.1.4. The Depository implements depository activity in accordance with the legislation of the Russian Federation and regulatory acts in the field of financial markets, including:

- Civil Code of the Russian Federation;
- Federal Law dated 22.04.1996 No. 39-FZ “On the Securities Market” (with subsequent amendments and additions (hereinafter referred to as FZ “On the Securities Market”))
- Federal Law dated 07.08.2001 No. 115-FZ “On Combating Legalization (Laundering) of Proceeds from Crime and Financing of Terrorism» (with account taken of subsequent amendments and additions) (hereinafter referred to as Federal Law No. 115-FZ);
- Federal Law dated 26.12.1995 No. 208-FZ “On joint-stock companies” (with account taken of subsequent amendments and additions) (hereinafter referred to as FZ “On joint-stock companies”);
- Federal Law dated 05.03.1999 No. 46-FZ “On protecting investors’ rights and lawful interests in the securities market” (with account taken of subsequent amendments and additions);
- Federal Law dated 07.12.2011 No. 414-FZ “On the central depository” (with account taken of subsequent amendments and additions);
- Regulation No. 503-P of the Bank of Russia dated November 13, 2015, “On the Procedure for Opening and Maintaining Securities Accounts and Other Accounts by Depositories”
- Regulation of the Bank of Russia dated 13.05.2016 No. 542-P “On requirements to the performance of depository activity during formation of records on the grounds of the documents that relate to conducting depository accounting, as well as the documents connected with the accounting and transfer of rights to securities”;
- The Order of the Federal Service of the Russian Federation on the Financial Markets (FSFR) of 30.07.2013 No. 13-65/pz-n “About procedure for opening and maintaining owners of securities of personal and other accounts by holders of registers and about modification of some regulatory legal acts of the Federal Service for Financial Markets”;
- Federal law of 07.02.2011 No. 7-FZ “On clearing, clearing activities and the central counterparty” (with account taken of subsequent amendments and additions);
- Provision on the specifics of the procedure for opening and closing trading securities accounts and clearing securities accounts, as well as conducting transactions on these accounts, approved by the Russian Federal Financial Markets Service’s (FSFR) order No. 12-12/pz-n dated 15.03.2012);
- The information letter by the Russian Federal Financial Markets Service (FSFR) from 04.12.2012 No. 12-DP-01/51488 "About explanation of the questions connected with opening, maintaining and closing of securities trading accounts ";
- Bank of Russia Ordinance No. 3980-U, dated 14.03.2016, “On the single requirements to match the number of securities by the depository and registrar, to provide information to depositors on securities’ rights by the depository, and to set the length of the depository’s operational day”
- Basic standard of carrying out Depository Activities on the financial market, developed by NAUFOR ;
- other standard legal acts regulating implementation of depository activity in securities market and also the real Conditions.

In case of acceptance of new or changes of the existing statutory and regulatory enactments the Terms and Conditions shall be applied insofar as they do not conflict with them.

1.1.5. The Regulations govern the procedure of implementation by the Company of depository activities and constitute an integral part of the Depository Agreement.

If the Regulations do not cover one or another provision of statutory enactments that govern depository activities the Company shall be guided by the provisions of the relevant regulatory legal acts of the RF.

1.1.6. Conclusion of Depository Agreement (hereinafter – the Agreement) as well as accession to the Regulations is carried out by acceding of the individual or legal entity fully and irrevocably to the terms (acceptance of the terms) of these Regulations and relevant Agreement as provided by Art. 428 of the Civil Code of the Russian Federation. For accept of these Regulations and relevant Agreement the interested party (individual / legal entity ) shall furnish to the office of the Depository application for accession to the agreement terms of which are specified by the Company (hereinafter Application for accession) (Annex P-02a, P-02b) as well as full package of documents as set forth in Annex P-27 to these Regulations. The respective Agreement shall be entered into and these Regulations shall be accepted by a Client (Depositor) from the date of acceptance by the Depository of the application of accession and shall remain in effect until the date of its expiration (termination). The application for accession shall be signed by the Depositor/Representative in two original copies and shall be submitted to the Depository. A copy of the application for accession containing the Depository's mark of acceptance shall be issued to the Depositor.

1.1.7. The conclusion of Depository agreement shall not entail the transfer of the right of ownership of the depositor's securities to the Depository. No recourse against the securities of Depositors may be taken on Depository's obligations.

1.1.8. The Depository shall provide free access for familiarization with the Regulations and the amendments and additions made thereto to all interested persons irrelevant of the purpose of obtaining such information by posting the Regulations and amendments introduced thereto on the official website of "IC "FINPROINVEST "LLC in Internet at the address [www.finproinvest.ru](http://www.finproinvest.ru). On request a copy of the Regulation shall be provided by the Depository to any interested persons for a fee not exceeding the cost of its preparation.

1.1.9. The Depository has the right to introduce alterations and amendments in the Regulations unilaterally as well as adopt the Regulations in new wording.

In the event of introduction of alterations and amendments into the Regulations the Depository shall notify the Depositors thereof at least three (3) business days prior to their entry into effect by publication of a new wording of the Regulations or introduced alterations and amendments thereto on the official website of the Depository: [www.finproinvest.ru](http://www.finproinvest.ru) in the section "Disclosure of information".

The date of notification shall be the date of hosting of the information on the Depository's website. The Depositor should at own discretion look through the relevant communications on the Depository's website. The responsibility of obtaining said information rests with the Depositor.

1.1.10. In the event of introduction of alterations and amendments into the normative enactments regulating procedure of implementation of the depository activity and/or the circulation of securities, such alterations and/or amendments shall be applied by the Depository as part of the provisions of the Regulations and Agreements upon entry into force of the relevant r normative enactments, irrespective of the date of introduction the relevant alterations and/or amendments to the relevant Agreement or the Regulations. In case of discrepancies between provisions of the Regulations or Agreements and provisions of the normative legal acts of the Russian Federation and the Bank of Russia, the provisions of the relevant normative legal acts shall apply.

1.1.11. To the Depositors who have concluded the relevant Agreement before introducing relevant amendments thereto apply provisions of the Agreement and the Regulations whereto in accordance with the established procedure the relevant alterations and/or amendments are introduced from the moment of their entry into force.

In case the Depositor performs any active actions within the framework of the concluded agreement (submission of the Instruction for execution of the custody transaction and other actions), such actions constitute acceptance by the Depositor of the active version of the relevant Regulations, all annexes thereto, as well as all changes made by the Depository in the past period.

1.1.12. If the Depositor does not agree with the introduced amendments (of the amended wording of the Regulations or relevant Agreement), the Depositor should cease performing any ac-

tive actions within framework of concluded Agreement and notify the Depository within a reasonable time period of the termination of the concluded Agreement in the manner specified in these Regulations. In case the Depositor performs any active actions within the framework of the concluded Agreement (submission of the Instruction for execution of the Depository or Information Transaction and other actions), such actions shall constitute acceptance by the Depositor of the current version of the relevant Agreement and the Regulations as well of all annexes thereto, and amendments introduced by the Depository over the past period.

1.1.13. When carrying out operations, the Depository may use the services of third parties, which are also offering depository services, i.e. become a depositor of such third parties basing on agreements concluded with them, including in respect of securities of the Depositors depository agreements with which do not include prohibition for conclusion of such agreements.

1.1.14. The Depository shall be liable before the Depositor for all actions of the third parties referred to in p. 1.13 of the Regulations except where conclusion of agreements with such third parties was executed basing on Depositor's direct order.

1.1.15. Conclusion by the Client (Depository) with the Company of the Broker Agreement providing execution of the Client's instructions for transaction with securities using the services of the relevant organizer of trade in the securities market shall be as the instruction of the Depositor to the Depository to engage the relevant depositories to carry out depository transactions in respect of the securities, recorded on the securities accounts of the Depositor if by the relevant trade organizer's normative documents or established practice it shall be set forth that settlements on securities as a result of transactions made at trades of said organizers of trade shall be carried out through such depositories. In this case, it is not required from the Depositor to send any additional Instruction to the Depository for conclusion by the depository of agreement with such depositories.

1.1.16. The Depositor is hereby notified and agrees to recording by the Depository of telephone conversations between the Depository and the Depositor.

1.1.17. In compliance with the Russian laws, the Depository has in place and applies measures aimed at prevention of and counteraction against corruption. The Depository does not make any-

thing that would be treated in accordance with the laws of the Russian Federation as the giving and/or acceptance of a bribe, commercial bribery, and neither pays or provides or offers to pay or provide any cash or valuables, either directly or indirectly, to any persons to exert influence on such person's behaviour or decisions of such persons with a view to obtaining any illegal advantages or achieving any other inappropriate goals, or makes any other thing in violation of the Russian anticorruption laws.

## 1.2. Terms and Definitions

Any terms used in the Regulations, but not defined in this subsection, shall be construed in accordance with the applicable Russian Federation laws.

The Regulations use, among others, the following terms:

**Active Securities Account** – shall mean account (accounts) as provided for by subparagraphs sixth-eight of paragraph 2.2 of the Regulations of the Bank of Russia “On the Procedure of Opening and Maintaining the Securities and Other Accounts by the Depositors No.503-P dated 13 November 2015” (hereinafter – Regulations of the Bank of Russia No.503-P);

**Beneficiary owner** – shall mean an individual who ultimately, directly or indirectly (through third parties) owns (has predominant participation of more than 25 % in equity) the client – legal entity or is able to control the actions of the client.

**Uncertificated Form of Issue Securities** – shall mean the form of securities whereat their owner is subject to identification against the shares register or, in the event of deposited securities, against the entry on the Securities Account (book-entry form). The document certifying the rights fixed by the security when carrying out issue in an uncertificated form is the decision on issue of securities.

**Securities owner (Owner)** – the person indicated in the accounts (entries on the personal account or securities account) as the holder of uncertified securities, or the person to whom the documentary securities belong by right of ownership or other proprietary right.

**Beneficiary** – shall mean a person to whose benefit the Client acts, including on the basis of agency

agreement, appointment agreement, commission agreement, trust asset management agreements, while performing operations with cash assets or other property.

**Securities Issue** – shall mean Issue of equity securities - the totality of all securities of one issuer that provide equal volume and terms for the exercise of rights to their owners and have the same nominal value in cases where the presence of a nominal value is provided for by the legislation of the Russian Federation. The issue of issue-grade securities is assigned a registration number that applies to all securities of this issue.

**Certificated Issue of Issue Securities with mandatory centralized safekeeping** – form of securities issue, in which all certificates are subject to mandatory safekeeping in depositories and which the owners cannot have in hand.

**Depository Activities** – shall mean provision of services for accounting and transfer of rights to undocumented securities and deprived of documentary securities, as well as storage of immobilized documentary securities subject to the provision of services for accounting and transfer of rights to them, and in cases provided for by federal laws digital rights accounting.

**Depository** – shall mean legal entity performing depository activity basing on the license of professional securities market participant for carrying depository activity.

**The Depository with a Deposit Account (Depository as Depositor)** – shall mean is a legal entity – resident of the Russian Federation, which is a professional participant in the securities market performing depository activities, or a foreign organization with a place of incorporation in the states specified in subparagraphs 1 and 2 of paragraph 2 of article 511 of Federal Law No. 39

- FZ of 22 April 1996 "On the Securities Market"

(hereinafter referred to as the Federal Law "On the Securities Market"), acting in the interests of third parties and in accordance with his personal law is entitled, without being a securities holder, to perform accounting and transfer of the rights to securities for which relevant securities accounts are opened in the Depository.

**Depository of place of safekeeping (Storage Place Depository)** – shall mean Depository that has opened a Nominee holder Securities Account for the Depository with a Deposit Account (Depository as Depositor).

**Depositor** – shall mean a party using services of the Depository accounting the rights to securities basing on Depository Agreement including foreign companies acting for the benefit of other parties (Client of the Depository).

**Investor IIA** – shall mean a citizen of the Russian Federation - a tax resident of the Russian Federation, who has concluded broker agreement with the Bank and IIA agreement on provision of brokerage services on financial markets in accordance with the procedure established by the Regulation. Provisions of the Regulations relating to the Investor shall also apply to the IIA Investor unless otherwise specified by the applicable legislation of the Russian Federation or other provisions of the Regulations.

**The individual investment account (IIA)** – shall mean an account of internal accounting designed for separate accounting of cash assets, securities of the Investor of IIA, obligations under the contracts concluded on the account of the Investor of IIA and which is opened and maintained in compliance with the current statutory requirements of the RF and provisions of these Regulations;

**Depository Agreement** (hereinafter the Securities Account Agreement) – shall mean is an agreement between a Depository and a Depositor regulating their relations in the process of depository activity. The depository agreement should be concluded in a simple written form.

**The depository is obliged to approve the conditions for the implementation of depository activities, which are an integral part of the deposit agreement.**

**Depository Operations** – shall mean an entirety of all acts the Depository the result of which shall be opening (closing) of the securities account (other account, subaccount), entry of records on the securities account (other account, the subaccount, the section of the account) or the accounting register, issue at the request of the initiator of operation of information on the securities account (other account, sub-account) or to the accounting register.

**Registered Issue-Grade Securities** – shall mean securities in respect of whose owners the issuer should have information available in the form of a register of securities owners, and any transfer of rights whereof and the exercise of rights attached to them requires the obligatory identifica-

tion of their owner.

**Investment Unit** – shall mean a registered security certifying its owner's share in the ownership title to the property making up a unit investment fund and rights to demand proper trust management of the unit investment fund from the relevant managing company and to receive a monetary compensation when the trust management agreement in respect of the unit investment fund is terminated with all the owners of this fund's investment units (when the unit investment fund is dissolved).

**Depository Operation Initiator** – shall mean a Depositor, issuer, Depository, Registrar, Depository of place of safekeeping or foreign company accounting the rights to securities, and where securities certificates are held and (or) the rights for securities of Depositors of the Depository are accounted, state authorities or other parties authorized by them, Bank of Russia as well as the settlement depository and clearing company.

**Foreign currency:**

– shall mean currency notes in the form of bank notes, treasury notes and coins, in circulation and are legal tender in the territory of relevant foreign country (or group of foreign countries) as well as withdrawn from circulation but can be exchanged;

– funds kept on bank accounts and as bank deposits in monetary units of foreign states and in international monetary units or units of accounts;

**Foreign nominee holder of securities (foreign nominee)** – shall mean foreign company incorporated in the countries listed in Article 51.1, paragraph 2, subparagraphs 1 and 2, of the Securities Market Federal Law that is operating for the account or benefit of any third parties provided that the governing law of the said foreign company authorizes it to keep records of and transmit rights in securities. A foreign nominee shall exercise the rights in securities only if he receives proper authorization.

**Foreign securities (securities of foreign issuers)** – shall mean the foreign financial instruments, admitted for circulation in the Russian Federation as foreign issuers' certificates according to paragraph 1 of Article 51.1 of the Federal Law «On the Securities Market».

**Informational depository operations** – shall mean Depository operations related to execution upon request of the Depositor or other person authorized by him of reports and statements on the depository accounts and other accounting registers of the Depository or on performance of depository operations.

**Treasury depository account of an Issuer** shall mean the securities account opened in the Depository intended to record and fix the rights of the Issuer (the entity obligated under the securities) to the securities issued (granted) by it.

**Qualified investor** – shall mean a person, listed in Article 51.1, paragraph 2 of Federal Law “On Securities Market” as well as persons recognized as such in compliance with paragraph 4 of said article. Depositories recording rights to securities intended for qualified investors have the right to credit the said securities to the owner's securities account only if the latter is a qualified investor or is not a qualified investor, but have acquired the said securities resulting from universal succession of title, or conversion, including during reorganization, division of property of the legal entity being liquidated, and in other cases established by the Bank of Russia.

**Corporate actions** – shall mean the actions, performed by Issuers of securities and/or owners of Securities, and/or other entities related to the exercise of rights, arising from the ownership of securities, which influence or may affect the structure of capital of the Issuer, its financial condition, position of the owners of securities and the procedure for their exercise of rights in securities.

**Nominee account** – shall mean Nominee account opened by the Depository with the Registrar for recording of the Depositor's rights to securities

**Place of safekeeping** – shall mean the depository vault, external vault (in relation to the Depository), registrar, Depository of the place of safekeeping or foreign company performing recording of the rights to securities and where security certificates are safe kept.

**Personal cabinet** – shall mean a resource of the Depository, which is located at the address of the <https://finproinvest.ru>, which will allow to perform interaction of the Client Depositor-an individual, including conclusion of the Depository Agreement, opening of the Trading securities account, management of Services, exchange of information (documents) and other actions.

**Inter-depository relationship in respect of securities** – shall mean relationship between two Depositories, which bring under regulation procedure of accounting and exercising the rights to securities of their Depositors lodged for safekeeping and/or recording by one Depository in another De-

pository.

Procedure of performing inter-depository relationship in respect of securities between Depositories is governed by Inter-depository agreement (agreement on inter-depository relationships)

**Nominee Holder of securities** – shall mean a depository which on its securities account keeps records of rights in securities owned by third parties (in respect of which Nominee holder has no ownership rights and keeps records for the benefit of its Depositors).

**Operating day** – shall mean the period of time from 10:00 Moscow time of the current working day to 12:00 Moscow time of the next working day, during which the Depository represents operations with the date of execution on the current working day. Upon expiration of the Operating Day, during relevant calendar date the Depository shall not perform operations, which change quantity of securities on securities accounts, not including operations, which performance is acceptable during calendar date of the expired Operating Day in accordance with the legislation of the Russian Federation.

**Company** – shall mean Limited Liability Company “Investment company “FINPROINVEST”.

**Accounting document** – shall mean a document duly executed by the Depository and containing information on the operation carried out on the Securities Account or on the balance of securities on the Securities Accounts.

**Instruction** – shall mean a document instructing the Depository to effect one or more related depository Operations.

**Business day** – shall mean except for officially established rest days (Saturday and Sunday) and public holidays in the Russian Federation, as well as rest days moved to business days in accordance with the current legislation of the Russian Federation from 9:00 to 18:00 Moscow time.

On days which are public holidays/rest days (non-business days) for the Depository but business days for any organizer of trade (the day on which the trade is held), the Depository may provide some services at its discretion. In doing so, the Depository shall notify the Depositors on the website of its intention to provide services.

The Depositor agrees not to raise any property or not property related claims against the Depository if failure to perform and improper performance by the Depository of its obligations under the Agreement is caused by inaction of any counterparties, Stock Exchanges, credit, depository, settlement organizations, registrars, issuers and their payment agents, providers of communication services, and other third parties, and admits that all rights and obligations, resulting from the Agreement, which arose and/or which maturity fell on such non-working (holiday) day, shall be legally binding for the Depositor.

**Securities Subaccount** – shall mean an account book containing an array of Sub-ledger Accounts operations with which are regulated by single document. It is allowed to open **subsections** within the sub-account of the securities account - in accordance with the hierarchy and structure of the governing document.

**Decision on issue of securities** – shall mean the document containing details sufficient to establish the scope of rights entitled by a security.

**Duty assignment** – shall mean an administrative document, initiated by an official of the Depository.

**A “Depository’s Account”** – shall mean Nominee holder personal account in the shares register or the nominee holder’s securities account opened with another Depository, or an account of a person acting in other persons’ interests in the Foreign Depository providing account of rights for securities.

**Securities account** – shall mean a set of entries (having a common feature) made in Depository’s books of records and intended for the purpose of record keeping of rights and transfer of rights to securities and ensuring the unity and completeness of representation of all depository operations for the purpose of recording and fixing rights to securities.

**An “owner securities account”** – shall mean a securities account which is intended to record securities owned by the Depositor basing on property title or any other material right.

**Trust manager’s Securities Account** – shall mean a securities account opened for Trust manager (a professional participant of the securities market) who manages securities deposited thereto by the founder of management in the interests of the founder or any third party stated by the founder basing on the relevant license of a professional participant of the securities market.

**Nominee Account** – shall mean a securities account intended for keeping records of securities deposited for safe keeping in the Depository by the Depository with a Deposit Account (such account is for record of the rights of securities with relation to which the Depository as Depositor (Nominee holder) has no ownership rights but keeps records thereof in the name and for the benefit of its De-



positors), as well as a securities account opened for the Depository by external depository or registrar for similar purposes (such account is for record of the rights which are not owned by the Depository but record of which the latter keeps in the name and for the benefit of its Depositors on their securities accounts opened in the Depository).

**Foreign Nominee Account** – shall mean securities account of such kind can be opened in the name of a foreign company that is operating for the account or benefit of any third parties if such company apart from the documents stated in p. 2.1. of the Regulations provided documents confirming that the place of incorporation of the said company is the state complying one of the requirements as follows:

– a state is a member of Organization for Economic Cooperation and Development (OECD), a member or an observer of Financial Action Task Force on Money Laundering (FATF) and/or members of Committee of Experts on the Evaluation of Anti-Money Laundering Measures and the Financing of Terrorism (Moneyval);

– the state with relevant authorities (relevant organizations) of which the Bank of Russia has concluded an agreement regulating their interaction and provided that such organization submitted declaration that according to its personal law it has the right to perform record and transfer of the rights authorized by signature of designated official of such organization. The said declaration may be in the form of a separate document, included in the depositor's account or in another document submitted to the depository.

**Depository receipts programs securities account** – shall mean securities account opened in the Depository intended for recording and fixing the title to securities of Russian issuer, to place and (or) to organize circulation of which outside of the Russian Federation is performed by placing in accordance with foreign law for securities of foreign issuers evidencing rights to securities issued by Russian issuers.

**Securities accounts of Individual investment accounts** – shall mean securities account opened in the Depository intended for recording and fixing the title to securities owned by Depositor-individual according the title or other proprietary

right which a Depository opens for a Depositor

subject to Depository agreement by concluding which a Depositor notified a Depository of conclusion of Individual Investment Account Agreement.

**Place of safekeeping account** – shall mean an active account for recording the rights to securities by place of safekeeping.

**Unidentified Persons Account** – shall mean an account intended for recording securities of unidentified owners. This account may not be used to

record rights to securities and which depositories and registrars can open.

**Trading Securities Account** – shall mean securities account opened in accordance with Federal Law “On Clearing, Clearing Activities and Central Counterparty” No. 7-FZ dated 07 February 2011 (hereinafter referred to as “Clearing law”).

**Conditional instruction** – shall mean the instruction submitted by the Depositor at the time of conclusion or amendment of the relevant Agreement and contained in the text of the Regulations or in the Annex P-01 to the Regulations. The Depository shall execute conditional instruction only in case of fulfillment of all the conditions provided for in such conditional instruction. A conditional instruction is both an instruction to write off securities from the securities account and an instruction to credit securities to the Depositor's securities account in the cases (conditions) provided for by the conditional instruction.

**Securities with limited transferability** – shall mean securities intended to be used by qualified investors as well as foreign securities which are not allowed for the public offering and (or) public trading in the Russian Federation.

A depository shall carry out registration, transfer of rights and operations with securities with limited transferability in the manner provided for by the current legislation of the Russian Federation, including the set limits.

**The Central Depository** – shall mean is a depository which is a non-banking credit institution and which is assigned a status of the Central Depository in accordance with this Federal Law.

**Issuer** – shall mean legal entity, executive government agency, local authority, which on their own behalf or on behalf of a public legal entity, have obligations to holders of securities to exercise the rights secured by these securities.

**Bearer Issue Securities** – shall mean the securities assignment or exercise of rights secured of which

do not require identification of their owners.

**Issue Security** – shall mean any security, including uncertificated one, which possesses the following properties all at once:

- it secures the whole bundle of proprietary and non-proprietary rights that are subject to certification, assignment or unconditional exercise pursuant to the forms and procedures set forth in the securities market federal law no. 39-FZ effective from 22.04.1996;
- it is being placed within a securities issue;
- maturity terms and scope of rights secured by it are equal to those secured by other securities within the same issue regardless of the security purchase date.

### **1.3. Objects of the Depository Services**

1.3.1 Securities listed below and account of the rights attached to which shall make an object of the Depository Services:

- registered securities issued by the Russian Issuers (granted by the Russian legal entities and Russian citizens) account of the rights to which the depositories may keep on securities accounts in compliance with the applicable federal laws;
- Issue Bearer Securities subject to mandatory centralized custody;
- foreign financial instruments qualified as securities in the manner prescribed by Bank of Russia Ordinance of October 3, 2017 N 4561-U “On the Procedure for Qualifying Foreign Financial Instruments as Securities” registered by the Ministry of Justice of the Russian Federation on April 3, 2018 N 50596, October 9, 2018 N 52367 (hereinafter - Bank of Russia Ordinance No. 4561-U), and rights which, according to the personal law of the person obligated under the said financial instruments, may be recorded on the accounts opened with the relevant companies engaged in recordkeeping of securities (hereinafter – foreign securities).

1.3.2 The Depository may provide services for the storage of immobilized documentary securities subject to the provision of services for accounting and transfer of rights to them, and in cases provided for by federal laws, for the accounting of digital rights.

### **1.4. Principles of custodian accounting**

1.4.1. Depository activity of the Company shall include:

- provision of services related to accounting and certification of the rights to securities;
- provision of services related to in transfer of securities and/or effecting transfer of rights to securities including cases of encumbrance of securities with obligations;
- provide services facilitating the exercise by Depositors of rights to the securities .

1.4.2. Depository operations on the securities accounts of the Depositor shall be carried out

on the basis of instructions executed in accordance with the requirements set forth by the Regulations, unless otherwise provided by federal laws or the Regulations. The instructions shall be submitted to the Depository in one of the ways set out in paragraph 3.2. of the Regulations.

1.4.3. Segregated main and trading securities accounts shall be opened in the Depository for the Depositor intended to record rights to securities belonging to the Depositor, the Depositor’s clients of the third party (pledger). To arrange securities accounting sub-accounts are opened within securities accounts – its constituent parts in which entries regarding securities are grouped based on a certain criterion, and separate securities accounts shall be opened within the boundaries of securities subaccount.

1.4.4. Types of securities accounts and other accounts that may be opened:

1.4.4.1. The Depository may open the securities accounts (passive securities accounts) as follows:

- owner securities account;
- trust manager securities account;

- nominee holder securities account;
- foreign nominee holder securities account;
- depository receipts programs securities account;
- deposit securities account;
- Treasury securities account of an Issuer;
- trading securities accounts in accordance with article 15 of Federal Law No. 7-FZ dated 07 February 2011 “On Clearing, Clearing Activities and Central Counterparty” which shall include Owner trading securities account, trading trust manager securities account, Nominee Holder trading securities account, Foreign Nominee Holder trading securities account, trading Treasury securities account of an Issuer (person liable under securities).

1.4.4.2. The Depository shall open for the Depositor the foreign nominee holder securities account on the basis of the Foreign Nominee Holder Securities Account.

1.4.4.3. The Depository may open the accounts not intended for record of the rights under securities as follows:

- unidentified persons account;
- broker account, intended for record of issue grade securities during their issue (hereinafter - broker account);
- depositors securities accounts;
- collateral account of depositors’ securities;
- an account intended for accounting transferred to the depository for immobilization of documentary securities, with the exception of documentary securities with mandatory centralized storage (hereinafter - the documentary securities account).

1.4.5. Securities balances on the securities accounts are fixed by the Depository at the end of each business day. These balances are final, cannot be modified and serve as the basis for the balance sheet of the securities accounts and other forms of reporting, unless otherwise provided by the normative legal acts of the Russian Federation.

1.4.6. Record of securities on securities accounts and other accounts opened by the Depository is performed in terms of units. For securities, the conditions of issue of which provide for the issue of securities of various par values, the unit shall be deemed as the smallest par value of circulating securities, unless otherwise determined by the conditions of issue and circulation of securities or by the normative legal acts of the Russian Federation.

1.4.7. Where, in the cases provided for by the federal laws and other normative legal acts of Russian Federation fractional securities are created the Depository shall keep record of such fractional shares of securities.

Fractional securities may be created or their number may increase or decrease upon their debiting exclusively on nominee securities accounts or foreign nominee securities accounts, and on other accounts provided for by federal laws, inter alia, in cases when the number of securities on the nominee account or on the personal nominee account in the register of security owners, on the nominee securities account with another depository or on the account of a person acting in the interests of third parties opened with the Foreign organization effecting record keeping of the rights to securities has changed.

Upon crediting securities to a securities account, their fractions shall be summed up.

A fractional security may only be debited from a securities account or any other account provided that there is no whole number of securities is available save for the cases where the debiting of fractional foreign securities and also cases provided for by the Russian Federation laws including inter alia the cases of redemption of securities beyond the will of their owner.

The accounting of fractions of investment units of mutual investment funds and mortgage securities is carried out by depositories is executed in decimal fractions with decimal places, indicated in the rules of asset management of mutual investment funds (rules of asset management of the mortgage pool), but not less than 5 decimal places.

If pursuant to federal laws securities are recorded on securities sub-accounts opened for the security account the rules of crediting and debiting of fractional securities are applicable only to securities sub-accounts.

1.4.8. The Depository would not allow occurrence of negative balance of securities on securi-

ties account (sub-account) or any other account opened by the Depository.

1.4.9. The Depository provides accounting of the rights to securities of Russian issuers (persons obliged under the securities) issued in the territory of the Russian Federation without engaging a foreign company in which the nominee is opened for them.

1.4.10. The Depository shall not be entitled to stipulate the conclusion of a deposit agreement with the depositor by the refusal of the latter from at least one of the rights secured by securities.

1.4.11. Recording for rights to securities is carried out by the depository on the basis of a deposit agreement subject to one of the following conditions:

- the depository shall carry out storage of immobilized documentary securities or, on the basis of federal law, the storage of an electronic document in which the rights to an uncertificated security are secured;

- depository is a nominal holder of securities;

- the depository, on the basis of an agreement with the issuer, provides services for centralized accounting of rights to securities.

## **1.5. Acceptance of Issue of Securities for servicing and removal from servicing.**

1.5.1. The Depository shall perform acceptance of Issue of Securities subject there is Instruction for Crediting the Securities.

Each accepted issue of securities shall be assigned a unique code in the accounting ledger of the Depository.

The procedure whereby a securities issue is accepted for custody may be initiated by:

– the Depositor

– the Depository;

– the issuer of the securities or its authorized representative;

– the Registrar;

– a Depository of a place of safekeeping with which this Depository has a nominee securities account (superior depository).

1.5.2. Cause for acceptance of the securities issue (additional issue) for servicing in the Depository may be one of the documents listed below submitted to the Depository or received by the Depository in process of execution of this procedure and containing information sufficient to identify the securities issue (additional issue) and the Issuer:

a) One of the documents listed in this paragraph submitted to the Depository or received by the Depository and containing information sufficient to identify the securities issue (additional issue) and the Issuer:

– questionnaire of the issue of securities filled by the initiator of the procedure of acceptance of the issue of securities for custody servicing;

– instruction for crediting the securities;

– a copy of the registered decision on the issuance of securities and/or a copy of the securities offering prospectus (if its registration is required), or a copy of any other document required for the purposes of registration of such type of securities;

– a copy of a registration authority's notice confirming registration of the securities issuance (additional issuance) report;

– a register keeper's / another depository's statement (notice, report) confirming that the relevant securities have been credited to the Depository's nominee account with the register keeper or the Depository's nominee securities account with the other depository;

b) Information contained in the decision to issue securities and/or securities prospect or the document required for the registration of securities of this type, obtained by the Depository from the Issuer, the Registrar, the Superior Depository or from the mass media and the Depository has as well the right to use information contained in the databases intended for disclosure of information on Issuers and their securities issues and maintained by the regulatory authority or a self-regulated organization; provided by other depositories, international clearing agencies, international or Russian information agencies and financial institutions.

Based on available or provided information on the securities issue (additional issue) accepted for servicing the decision as to whether to accept securities for custody shall be taken by the Depository.

In case the issue of securities is accepted for servicing in non-banking financial company National settlement depository JSC, the Depository shall accept this issue for servicing in the Depository on basis of the Questionnaire of the issue of non-banking financial company National settlement depository JSC.

1.5.3. For a securities issue to be accepted for custody at the Depository a Securities Issue Questionnaire must be completed containing information sufficient to arrange for the recording of the securities of that issue. The Securities Issue Questionnaire shall be completed in advance or at the time that the securities of that issue are first accepted for safekeeping or recording. The date of acceptance of securities for custody shall be the date of completion of the questionnaire for the relevant securities issue. The issue questionnaire shall be completed electronically.

1.5.4. The Depository may not accept a securities issue for custody service if:

- the securities issue has not been registered in accordance with the laws of the Russian Federation (except where the securities are not subject to registration or in other circumstances defined by the laws of the Russian Federation);

- the period of circulation of the securities has expired or a notice has been received from the registration authority to the effect that the issuance of the securities and operations in them have been suspended;

- the acceptance of the securities for custody is prohibited by the rules of circulation applicable to the securities issue;

- the acceptance of the securities for custody is prohibited by the applicable regulatory acts;

- the higher authority Depository denies acceptance of the securities issue for custody service.

1.5.5. The Depository may deny acceptance of a securities issue for custody service to the person having initiated the acceptance procedure without giving any reason of denial.

1.5.6. A securities issue is removed from custody service at the Depository in the event that:

- the securities are redeemed;

- the registration authority adopts a decision to recognize the securities issue as abortive or to cancel such securities issue, to combine additional securities issues or to cancel the unique identification number of the relevant additional securities issue;

- a court order becomes effective declaring the securities issue invalid;

- the securities' issuer is wound up;

- services are discontinued by a decision of the Depository.

1.5.7. The Depository may not by its own decision, discontinue custody services in respect of a securities issue if securities of that issue are recorded in the Depositor's securities account.

1.5.8. In case of withdrawal of a securities issue from custody service depository operations for cancellation of securities are performed on Depositor's securities accounts.

1.5.9. Discontinuation of custody services in respect of a securities issue shall be effected in accordance with the Depository's duty instruction.

1.5.10. On the basis of a decision to discontinue services in respect of a securities issue or for other reasons as provided by the laws and regulations of the Russian Federation, the Depository shall make an entry in the Securities Issue Questionnaire stating the date of termination of services for such securities issue and shall delete such securities issue from the list of securities issues held in custody by the Depository.

## **2. GENERAL PROCEDURE OF COOPERATING OF DEPOSITORY WITH DEPOSITORS, THEIR AUTHORIZED REPRESENTATIVES, OTHER DEPOSITORIES, REGISTRARS**

### **2.1. Provision of documents with the purpose of concluding the Depository agreement.**

2.1.1. In case of opening of the main or trade securities accounts the Depositor before the date of conclusion of the Depository Agreement shall provide the Client's Questionnaire (Annexes P-34, P-35, P-36) and the documents specified in Annex P-27 to the Regulations. In case of opening the trade securities account (client – is an individual) through the Personal Cabinet, the Depositor shall simultaneously sign with an electronic signature the Client's Questionnaire (Annex P-35), the Application for Accession (Annex P-02a, P-02b) and the instruction for opening the securities account (Annex P-03, P-04).

2.1.2. The documents shall be provided by the Depositor personally to the Company's office for the subsequent submission to the Depository, as well as submitted to the Company's office by post/courier service or provided to the Depository through the Representative (except in cases of remote conclusion of the Agreement). In case of obtaining the documents by Depository that are required for signing of the agreement and opening of securities accounts personally from the Depositor/representative, the latter is obliged to present to the Depository the original of the document, necessary for identification of the Depositor/Representative, proving his identity valid as on the date of its presentation.

In case of remote conclusion of the Agreement through the Personal Cabinet the Depositor (individual) is obliged to submit to the Depository its personal details verified through the simplified customer identification or received through the USIA from the portal "Gosuslugi" in Internet (<http://www.gosuslugi.ru/>).

Individual's questionnaire shall be signed by the Depositor/his legal Representative (in case of court judgement of the Depositor's disability)/the Representative acting on basis of power of attorney in the personal presence of the Depository's employee. If the Depository receives the documents required for opening the securities accounts signed by specified persons not in personal presence of the Depository's employee by post/courier service the latter may at its discretion request from the Depositor the notary witnessing of signature on such documents and refuse the Depositor to open the securities accounts in case of its failure to comply with such request. If an individual's questionnaire is signed by the Representative acting on a power of attorney and the Representative did not present the original of the passport, the Depository shall have the right to refuse to conclude the respective Agreement. The questionnaire contains the signature of the Depositor/its Representative which serves as a sample for comparison by the Depository of signatures of the Depositor/Representative on other documents sent to the Depository.

2.1.3. In case of remote conclusion of the Agreement through the Personal Cabinet the individual's questionnaire shall be signed by the Depositor by simple electronic signature and provided in the form of electronic document.

The Depositor/Representative shall at any time have the right to submit application for transfer of income and other payments (in form of Annex P-28) to other accounts apart from the account specified by him in the questionnaire. This application shall be attached to the questionnaire of an individual or legal entity questionnaire.

2.1.4. Legal entity's questionnaire shall be signed by the person having the right to act on behalf of the legal entity without power of attorney or by manager /person having the right to act on behalf of management company (in case of delegation of powers of single executive body to manager / management company) or by a person acting on behalf of the Client - legal entity on the basis of the power of attorney and affixed with an impress of seal of the Client - legal entity and management company.

2.1.5. The Depository shall verify the details specified by the Depositor in the questionnaire with the details of documents allowing to identify the Depositor provided to it for conclusion of the Agreement. The Depository shall verify the said documents and in case of a positive result of the inspection conclude the respective Agreement with the Depositor, open the securities accounts specified in the application for accession to the Agreement and send to the Client's e-mail address the reports on the performed custody transactions on the Depositor's securities accounts.

2.1.6. For conclusion of the Agreement and opening of securities accounts for an individual, an individual-nonresident, a legal entity-resident, a legal entity-nonresident it is necessary to provide to the Depository the documents specified in Annex P-27 to the Regulations as well as the power of attorney and the original of the document, certifying the identity if the interests of the legal entity are represented by the authorized representative rather than by sole executive body.

2.1.7. The Depository has the right to request documents that constitute the grounds for the Depositor to have beneficiary and beneficial owner. Upon receipt of such request the Depositor shall present to the Depository the documents within ten (10) business days from the date of receipt of the request. The beneficiary's and/or non-beneficial owner's questionnaire is signed by the Depositor.

2.1.8. The Depository has the right together with other subdivisions to use the documents provided by Depositors for opening the securities account, as well as the documents provided to these subdivisions by persons who are both depositors of the Depository and clients of other subdivisions.

## **2.2. Depositor's authorized representatives acting with the authority of law or power of attorney.**

2.2.1. All actions provided for in the Agreement and the Regulations may be performed by the Depositor's Authorized representatives acting on the basis of the law (legal Representatives) or power of attorney (Annexes P-24, P-25, P-26).

– the right to act without power of attorney in capacity of Authorized representatives of the Depositor - legal entity have the head officers of the legal entity within the powers provided to them by constituent documents of the legal entity;

– powers of lawful Representatives - parents, adoptive parents, trustees, guardians shall be confirmed by respective documents according as statutorily required in the Russian Federation;

– the power of attorney on behalf of a Depositor- individual has to be authenticated by a notary (in this case the questionnaire of the Depositor's Representative is filled out);

– the power of attorney on behalf of the Depositor - individual registered in capacity of entrepreneur without the formation of a legal entity can be executed in a simple written form, has to include details on its registration and can be certified by the entrepreneur's seal;

– the power of attorney on behalf of a Depositor - legal entity has to be issued under signature of its head officer or the other person authorized thereto according to the law and constituent documents.

Also in the cases provided by the current legislation of the Russian Federation, the Depository considers officials of the authorized state bodies operating in limits of their office powers as the persons authorized to initiate carrying out transactions on the Depositor's securities accounts.

The powers of the Representative of the Depositor of the Securities account owner shall be certified by power of attorney.

2.2.2. From the moment of appointment of the Depositor's Authorized representative the Depositor does not lose the right to independently submit to the Depository Instructions relating to securities which are safe kept and/or the rights whereon are registered by the Depository.

2.2.3. The powers of the Authorized Representative of the Depositor may be terminated on the grounds, provided for by the legislation of the Russian Federation.

2.2.4. Power of Attorney, which does not specify the date of its execution is null and void.

2.2.5. Other requirements Power of Attorney are set out in chapter 10, "Representation. Power of Attorney" of the Civil Code of the Russian Federation.

2.2.6. Depositor of the Depository who simultaneously concluded a broker agreement with LLC "IC "FINPROINVEST" shall be entitled to submit Instructions for transactions with securities, which will be considered equivalent to Instructions to the Depository (conditional instruction).

2.2.7. The Depository shall not be liable to the Depositor for the actions of the Authorized Representative of the Depositor committed within the limits of the authorities received from the Depositor.

## **2.3. Procedure and methods of interaction of the parties at presentation of messages, reporting documents, instructions and information**

2.3.1. Submission of any Documents (Instructions) by the Depositor and the Depository to each other shall be effected in accordance with the following general rules:

– Submission is carried out by method (methods) provided for by this article of the Regulations (if not otherwise set forth in the Regulations or the Agreement).

– Submission is carried out only by the persons having necessary authorities and who confirmed them according procedure set forth by the Agreement).

– Documents can be sent only to the address (details) provided by the Regulations or coordinated by both Parties by signing of the additional understanding to the Agreement.

– The Depositor's documents have to include all necessary details for unambiguous identification of the Depositor and their appropriate execution. Otherwise, the Depository shall have the right not to accept the documents for execution.

– The Depositor's documents have to be formalized only in the forms established for such documents by the Depository which constitute Annexes to Regulations. If document in a paper format is provided in the form other than that approved by the Depository the latter shall be entitled to refuse acceptance of such Instruction.

– Unless specifically provided otherwise exchange of Messages between the Depository and the Depositor can be carried out by any of the ways specified hereunder:

– by presentation in a paper format;

– by email with enhanced qualified digital signature;

– by Personal Cabinet;

– by sms-messages;

– by electronic document workflow;

– by special section of the Depository's website and Internet.

2.3.2. The Depository shall have the right unilaterally to impose any restrictions on the methods of submission of documents for the Depository.

2.3.3. The Parties to the Agreement agree that the documents sent by means of e-mail, Personal Cabinet and a special section of the Web site are equally valid and binding as hard copies (i.e. provided in paper form) signed by authorized persons of the Party specified in the relevant document. In the event of a dispute regarding execution of the Agreement and the Regulations, the concerned Party shall be entitled to submit to the relevant authorities, as the best evidence, the documents, received by the means listed above, certified by the Party.

2.3.4. All notices of general nature that apply to all Depositors shall relate to amendments of the Agreements, the Regulations or annexes thereto, explanations as to completion of forms, Questionnaires and so forth shall be posted on the Website.

2.3.5. The Depository may use SMS-messages as a way of exchanging communications with the Depository only subject to provision to the Depository of the original of the Questionnaire, which will include the following:

– Depositor's main mobile phone. In this case under the main mobile phone only the number of the Russian mobile phone operator can be specified;

– Depositor's email address.

The right to use special section of the Website and Internet for submission of documents to the Depository is granted exclusively to the Depositors-individuals, citizens of the Russian Federation who have reached the age of 18, in full legal capacity, permanently registered in the territory of the Russian Federation, and also have the possibility of authorization on their behalf in USIA (Unified system of identification and authentication) through the portal "State Services" (unified portal for State and municipal services) in the Internet (<http://www.gosuslugi.ru/>), or – whose personal data passed the check through the UPRID (clients simplified identification system) and who confirmed receipt to their mobile phone number of the information ensuring passing of simplified identification.

By means of a special section of the Website and the Internet, the Depository may send any communications (including but not limited to information, trade recommendations, investment ideas, etc.) to the Depositor. Such communications posted on the Website, of course, are considered for the Depositor unconditionally originating from the Depository.

Any email documents addressed to the Depository and originating from the Depositor sent by means of a special section of the Website and Internet shall be signed by a simple electronic signature. The use of a simple electronic signature is governed by a separate agreement between the Parties.

2.3.6. The Depository shall provide to the Depositor reporting documents on the results of



carrying out custody operations, reporting documents on status of securities accounts of the Depositor and information materials on the Issuer's corporate actions.

2.3.7. The grounds for submission of the reporting documents shall be carrying out by the Depository of the custody operation, the instruction for provision of the securities account statement (Annex P-16) as well as the requests of the authorized authorities. The grounds for provision of information materials is the Issuer's corporate actions concerning the securities of the Depositors and their rights with respect to the securities owned by them.

2.3.8. The Depository shall provide to the Depositor the report on the executed transaction (transactions) on the securities account, containing information on the number of securities not later than the business day following the day of the specified transaction (transactions).

2.3.9. Reports on the results of custody transactions shall be provided to the Depositor in electronic form. In certain cases, if it is not possible for the Depositor to receive reports through means of electronic transmission, they may be sent to the Depositor (its Representative) in person at the office of the Depository in the paper form, or sent by mail to the address specified in the questionnaire.

2.3.10. Reports on execution of custody transactions shall be sent to the Depositor at the e-mail address specified in the Client's questionnaire or by means of electronic document workflow on the morning of the business day following the day of the transaction on the Depositor's securities account. For the purpose of submitting of reports on custody transactions by the Depository, the Depositor should provide information about the e-mail address in the questionnaire or to accede to the electronic document workflow regulations.

2.3.11. Reports on custody transactions shall be duplicated to the Depositors-professional participants of the securities market in paper form in case this form is required by the latter for purposes of internal accounting during the business day following the day of carrying out transactions on the Depositor's securities account.

2.3.12. If the custody transaction is initiated by an authorized public authority, reports on the custody transactions shall be provided to the latter in paper form by means of mail communication at the address of the relevant public authority known to the Depository.

2.3.13. The basis for the one-time-only provision of reporting documents is the information request signed by the initiator of the custody transaction.

2.3.14. Reporting documents on information requests shall be provided by the Depository in accordance with paragraph 3.18 of the Regulations.

2.3.15. Reporting documents on information requests can be provided personally at office of the Depository, by e-mail, by post or courier service to the addresses specified in the questionnaire of the Depositor.

2.3.16. Reporting documents or information sent by the Depository by e-mail shall be deemed to have been received on the date of sending the communication.

2.3.17. Reporting documents in paper form are issued to the Depositor personally on business days within the period from 9:00 to 18:00 (Moscow time) at the Depository's office located at the Company's registered address.

2.3.18. Reporting documents shall be transmitted by mail or courier service no later than 1 (one) business day following the day of receipt of the request.

Reporting documents sent by registered post with a confirmation receipt shall be deemed to be delivered to the Depositor on the date specified by the postal organization. A message sent by registered post with a confirmation receipt shall be deemed to have been received on the date specified on the postal website of the Russian Post <https://www.pochta.ru/tracking>.

Reporting documents sent by courier service shall be deemed to have been received on the receipt date entered in the courier's postal waybill (receipt).

Reporting documents sent by simple letter shall be deemed to have been received by the Depositor after 10 (ten) calendar days from the date of dispatch unless the Depositor confirms an earlier receipt.

#### **2.4. PROCEDURE of interaction of depository with Depositors, depositaries, registrars when performing reconciliation of balances on securities accounts**

2.4.1. With the purpose to carry out the Reconciliation of the matching of the quantities of the securities by the depository and the registrar the registrar while maintaining personal accounts of

nominee holders shall provide to the Depository the statement of transactions in its personal account (hereinafter referred to as the Statement) without the Depository 's request on provision of the Statement.

The statement shall be provided by sending an electronic document signed by a qualified electronic signature through information and telecommunication networks, unless other type of electronic signature is provided for by the agreement between the participants of the electronic interaction.

The statement is provided no later than the day following the day of the transaction (transactions) of debiting and (or) crediting of securities through the Depository's personal account of the, and shall include information on the quantity of securities recorded on such account as of the end of the business day of carrying out the relevant transaction (transactions), as well as indication in the registered person's direction on the basis of which the operation was carried out of the requisites of the Depository 's contracts with its clients (in case of performing the operation on the basis of the direction containing the relevant requisites).

2.4.2. The Depository shall regularly reconcile the quantity of securities recorded on the accounts opened in the Depository with the quantity of the securities of the same kind recorded on the securities accounts of the nominee holder opened for the Depository and on the accounts opened to it by a foreign organization maintaining record of the rights to securities as to an entity acting for the benefit of other persons.

The Depository shall conduct Reconciliation basing on the information of the quantity of securities recorded by it on securities accounts and on the unidentified persons' account as well as on the information contained in the following documents:

– in case of the Reconciliation procedure between the depository and registrar – in the latest Statement provided to it and if the latest document containing information on changing the quantity of securities on his personal account shall be the statement – in the latest statement provided to it;

– in case of the Reconciliation procedure between the Depository and other depository – in the latest statement of its nominee securities account provided to it and if the latest document on the above-mentioned securities account is the report on performed operation (operations) containing information on quantity of securities on such a securities account – the latest report provided to it on performed operation (operations) containing information on the quantity of securities on the nominee securities account;

– in case of the Reconciliation procedure between the Depository and foreign organization which accounts rights for securities – in the latest document provided to the Depository containing information on operations and quantity of securities on the account of the person acting in the interests of other persons opened to such a Depository in the said foreign organization.

An employee of the Depository shall make calculation of the number of securities separately for each issuer and issue of securities.

Reconciliation with the accounts of places of safekeeping shall be performed after each operation not later than the next working day after receipt of the reporting document from the registrar or the superior depository.

Reconciliation with preparation of written reconciliation report is performed for all safekeeping places of securities on a monthly basis. Reconciliation with nonbanking credit organization NSD JSC shall be carried out on daily basis, the written reconciliation report shall be drawn up if discrepancy will be revealed.

In the event that a mismatch is identified between the specified number of securities the Depository shall, no later than the business day next to the day when such violation was or should have been discovered, give notice thereof to the Bank of Russia and remedy such violation in the manner provided for by requirements set forth by applicable RF regulatory enactments.

### **3. CUSTODY OPERATIONS AND PROCEDURE OF THEIR CONDUCT.**

#### **3.1. General provisions.**

3.1.1. The Depository shall perform the following types of operations:

- Custody operations
- Information operations

3.1.2. Custody operations include:

- crediting securities to securities accounts and other accounts;
  - withdrawing securities from recording;
  - transferring securities;
  - moving securities (changing the Place of Safekeeping);
  - opening a securities account;
  - closing a securities account;
  - opening the sub-account of the Securities account;
  - closing the sub-account of the Securities account;
  - changing information contained in questionnaires;
  - appointment of a Representative;
  - revoking authorization of a Representative;
  - appointment of a Securities Account Trustee;
  - termination of authorization of a Securities Account Trustee;
  - cancelling the Instruction;
  - restrictions/ lifting of restrictions on disposal of securities;
  - 
  - encumbrances of securities;
  - clearance of encumbrances of securities;
  - conversion of securities;
  - cancellation (redemption) of securities;
  - division or consolidation of securities;
  - consolidation of several additional securities issues;
  - cancellation of unique numbers (codes) assigned to additional securities issues and consolidation of several additional securities issues with securities of the issue with relation to which they are additional;
  - payment of income in the form of securities.
- 3.1.3. Information operations include:
- Generating Reporting documents as of the date or over the period;
  - Preparing information on securities Owners – the Depository’s Depositors.

### **3.2. General procedure of conducting operations.**

3.2.1. Operations on Depositor’s securities accounts shall be conducted on the basis of an instructions and documents properly executed according to established form set forth by the Annex to the Regulations unless otherwise stipulated by the federal laws or the Regulations and shall be completed by forming and transmitting not later than the working day following the date of completion of the depository operation, a report on the depository operation to the initiator of the depository operation and other persons specified in the regulations.

3.2.2. The Depositor may send Instructions and other documents to the Depository 24 hours a day. All documents received by the Depository shall be recorded in the accepted documents log on the date of their receipt. The date of receipt of the Instruction shall be considered the current working day if the instruction is received by the Depository before 17:00 Moscow time or the next business day if an instruction arrived in the Depository after 17:00 Moscow time.

3.2.3. According to the general rule, documents confirming the right to carry out the actions (operations) specified in the Instruction shall be submitted to the Depository during submission of the Instructions, unless otherwise specified in the Regulations.

3.2.4. Depending on who an operation initiator is, the following types of instructions exist:

- client instructions – where the Depositor, Representative or Securities Account Trustee;
- duty (administrative) instructions – where the Depository is such initiator;
- official instructions – where authorized government agencies are initiating the operation;
- global instructions – where as a rule, either the issuer, superior depository or the Registrar as directed by the Issuer is the operation initiator.

3.2.5. Where required by federal laws and other regulatory documents, the Depository shall

execute duly completed resolutions of authorized governmental bodies: courts, agencies of inquiry and agencies of preliminary investigation, bailiff and executor of justice and other persons. Written resolutions of authorized governmental bodies shall be accompanied by attachment of relevant documents (court orders, writs of agencies of inquiry and agencies of preliminary investigation and other documents pursuant to applicable RF legislation).

3.2.6. An Instruction to carry out a depository operation shall be executed following procedures specified by the laws of the Russian Federation and these Regulations in paper or electronic format. The form of the instruction can be completed both manually and electronically, as well as by combined method. No corrections, clean-ups and overruns are allowed in the instruction. Introduction of amendments and additions in the instruction is not allowed.

3.2.7. Instructions submitted to the Depository in paper document form shall be signed by Depositor's/its authorized representative's handwritten signature and affixed by Depositor's impress of a seal, if any (for a legal entity).

Instructions submitted to the Depository via email shall be signed by enhanced encrypted and certified digital signature. The terms and procedure of electronic document exchange with use of enhanced encrypted and certified digital signature are determined by a separate agreement between the parties.

Instructions submitted to the Depository by means of the Personal Cabinet shall be signed by simple electronic signature. The terms and procedure of electronic document exchange using a simple electronic signature shall be set forth in the Agreement on the use of Electronic Document exchange signed between the Depositor and the Depository.

3.2.8. The Representative may submit Instructions to the Depository by means of a remote access system in the event of a separate agreement between them (or the Depositor) and the Depository.

3.2.9. Upon the request of the initiator a copy of the Instruction bearing a mark of accept made by Depository shall be returned to the initiator (if the instruction was submitted by means of delivery in paper form).

3.2.10. The basis for carrying out a depository operation to credit and write off securities through the Depositor's trade account as a result of clearing may be the report of the clearing organization on the results of clearing.

3.2.11. For certain types of instructions, the Regulations may establish a more restricted list of methods of submission thereof to the Depository. Submission of instructions with the use of the Personal Cabinet is possible only for operations defined by the Regulations. Submission of instructions using the Personal Cabinet is only possible with respect to the securities accepted for service by the Depository as at the time of submission of such Instruction.

3.2.12. The Depository shall use as a basis for execution of Depository operations documents (including Instructions) received by the Depository from the Depositor in connection with the provision of brokerage services to the Depository.

3.2.13. Acceptance/rejection of acceptance and execution/ refusal of execution of the Instruction shall be performed in the following sequence:

- submission of the Instruction to the Depository;
- registering of the Instruction;
- reconciling the Instruction against the details in the account books;
- acceptance/rejection of acceptance of the Instruction (in doing so the Depository should accept the Instruction or refuse to accept it not later than 5 Business Days following the day of its receipt in the Depository);
- execution/rejection of execution of the Instruction;
- issuing of Reporting documents;
- submission of documents to archive for storage.

3.2.14. The Depository shall establish the following grounds for refusal of execution of the Instruction:

- the information contained in the instruction does not comply with the information contained in the accounting registers of the Depository;
- the securities specified in the instruction cannot be accepted for servicing in the Depository;
- quantity of securities on the Securities Account (Securities Subaccount) during validity of

the Instruction is insufficient to carry out the Custody operation;

- the securities being the subject of the instruction are encumbered by liabilities registered and (or) disposal whereof is restricted within the Instruction validity and execution of the instruction will result in a breach of such liabilities (restrictions);

- the Depository has significant and reasonable doubts as to the authenticity of the Instruction including authenticity of the signature and/or an impress of a seal and/or their matching to the specimen/signature and/or specimen of an impress of the seal of the Depositor/Representative in the questionnaire/specimen signature card;

- identifying characteristic of the securities specified in an assignment do not correspond to identifying characteristic of the securities which are on the securities account of the Depositor;

- execution of the instruction requires execution of the operation which is not provided by the Regulations and also by the resolution on issue of securities, or other document regulating the circulation of the respective securities or will entail violation of the current RF legislation /normative legal enactments Russian Federation;

- in case of refusal of the registrar or depository of the place of storage to execute operations for re-registration of securities. In this case, the Depository shall provide the initiator with a copy of the received refusal. If the refusal was due to erroneous actions of the initiator or incorrect (incomplete) information provided, as well as for other reasons caused by the initiator, the latter shall reimburse the Depository for the execution of such Instruction;

- the form and/or requisites of the Instruction do not correspond to the forms of the Instruction established by annexes to the Regulations and/or contain the details which are not corresponding to details of the questionnaire of the initiator;

- the Instruction does not contain all necessary details for its execution in compliance with requirements of the present Regulations and annexes thereto and/or the documents which constitute the grounds for execution of depository operation in compliance with the current legislation of the Russian Federation, including normative enactments of the Bank of Russia, the Basic standard or requirements of the Regulations are not submitted;

- the Instruction is delivered to the Depository in a manner inconsistent with the Regulations, the Agreement or other understanding concluded by the Company with the initiator;

- it has come to the Depository's knowledge about change of biographical particulars of the Depositor or other initiator;

- the Instruction is presented to Depository for custody operation which is not carried out on the respective e type of securities account;

- the Instruction is prepared with corrections and contains erasures and/or strikethroughs;

- the Instruction is signed and/or submitted by the person without appropriate authority;

- period of validity of powers of the Representative of the account's owner expired;

- the Instruction for transfer between securities accounts of different Depositors is signed by the same person from both parties and/or necessary documents are not provided. In this case, the Depository shall have the right to request presentation of the agreement (other document on the basis of which the Instruction is initiated) and shall also have the right to request the Instruction signed by the Depositor itself (the Depositors);

- for execution of the Instruction in compliance with the requirements of legislative or other normative legal acts of the Russian Federation and/or for implementation of functions of the agent of currency control by Depository at execution of depository operation according to the Instruction given there is not enough information and/or documents submitted by the Depositor, and/or such documents are processed in an inadequate way;

- the Depositor has arrears in payment of Depository's services or compensation for Depository's expenses;

- not receipt/nonpayment of money (advance payment) for the remuneration and reimbursement of Depository's expenses;

- there is no consent given by the Account Fiduciary for execution of custody operation if the instruction for execution of custody operation is given by the Depositor/Representative directly to the Depository and Fiduciary agreement is concluded between the Depositor, the Depository and Account Fiduciary;

- the instruction is given with relation to the securities against which the Company may in-

stitute recovery proceedings according the Broker service agreement concluded between the Company and the Client (Depositor);

- the instruction is given with relation to the securities which are encumbered by Depositor's obligations (subject to be debited by the Depository in accordance with a conditional instruction) for the purpose of making settlements under a suspended delivery of securities previously entered into by the Company as part of broker activities in accordance with the Broker Agreement/Agreement on maintenance of individual investment account;

- there is information or documents evidencing that the Depositor failed to perform in part or in whole the obligations, the requirements of regulations of the Russian Federation, acts of Bank of Russia, the decision, the instruction and other documents of authorized bodies of the Russian Federation set forth by the Agreement and the additional agreement thereto (provided that the Depository avails of the relevant information and/or documents);

- there are reasons to presume that Depositor's actions are directed to violation of the compliance to anti-money laundering and counter-terrorism financing law;

- confirmation by phone of earlier given Instruction will give rise to the Depository's doubts whether the instruction was given by the Depositor himself;

- the Depository failed to confirm the instruction earlier submitted by the Depositor to Depository by phone (the telephone call failed);

- restrictions according to the legislation of the Russian Federation are imposed on the securities account;

- in other cases provided for by current legislation of the Russian Federation and these Regulations.

3.2.15. The Depository shall offer the Depositor a motivated rejection on the latter's request to execute the Instruction within 3 (three) business days of the Instruction acceptance or not later than 3 (three) business days of receipt of a written rejection of operation needed to execute the relevant Instruction, from a Registrar or Storage Place Depository. The said period can be extended provided receipt of necessary documents from third parties is expected.

3.2.16 The Instruction is valid within 10 (Ten) business days from the date of its signing by the Authorized Person (with the inclusion of the conditional Instruction, which is valid during the term of the respective Agreement).

3.2.17. The Depository shall be entitled to request the Depositor to provide additional documents apart from those stated in these Regulations. In the event of non-submission of documents, the Depositor shall be obliged to inform the Depository about the reason basing on which provision of the required documents is not possible.

3.2.18. The Depositor may submit to the Depository a Conditional instruction execution of which depends on the occurrence of the event defined in the instruction.

3.2.19. The Depositor's written claims in respect of the executed operations shall be accepted within 7 (Seven) Business Days after the operation. Absence of a written claim after the expiry of the specified time limit shall mean ultimate and unconditional acceptance by the Depositor of the operations performed by the Depository.

3.2.20. Reporting documents relating to execution of operations shall be issued by the Depository and shall be sent to Depositor on Business Days in accordance with the procedure and terms set out in the Regulations and annexes thereto.

3.2.21. Any Instruction (Custody operation) submitted to the Depository may be cancelled by the Depositor at his discretion before the Depository would start its execution except where cancellation is possible at a later stage of execution.

3.2.22. Cancellation of Instruction submitted to the Depository earlier is performed basing on the Instruction for cancellation of Instruction (Annex P-09).

3.2.23. The Depository shall accept the instruction for cancellation of the Instruction only in the following cases:

- securities are not debited from/credited to the Depositor's securities account /securities subaccount;

- securities are not debited from/credited to the Depositor's account in the register of owners of personal securities or depository-correspondent;

- the service regulations of a register holder / depository-correspondent allow to cancel earli-

er sent Instructions of Depository.

3.2.24. If an instruction previously submitted by the Depositor was sent to the relevant registrar/depository-correspondent the Depository shall inform the Depositor of the stage of execution of this Instruction and shall take all possible actions to execute the operation of cancellation of the Instruction.

3.2.25. The Depository shall submit the documents necessary to carry out the procedure for cancelling the previously submitted Instruction to the relevant registrar/depository-correspondent. The set of documents for submission shall be formed by the Depository on the day of acceptance of the instruction for cancellation of the Instruction for execution.

3.2.26. In case of receipt of the refusal of the registrar/depository-correspondent to execute the instruction for cancellation of the Instruction, the Depository shall, on the same business day, inform the Depositor of the impossibility of execution of the instruction for cancellation of the Instruction.

3.2.27. Executed Instructions of Depositors shall be cancelled on the basis of the Instruction for crediting the securities submitted by the Depositor (in case of cancellation of the custody transaction on crediting the securities) or the Instruction for debiting of Securities (in case of cancellation of the custody transaction on crediting of securities). Execution of the said instructions is performed in accordance with p.p. 3.8. and 3.9. of the Regulations.

3.2.28. The Depositor should reimburse the Depository for all expenses arising in execution of the instruction for cancellation of the Instruction.

### **3.3. Opening securities account (securities subaccount).**

3.3.1. On the basis of application for accession to the relevant Agreement, a questionnaire, as well as other documents necessary for conclusion of the Agreement, provided by the Depositor for opening of securities accounts referred to in paragraph 2.1 of the Regulations, the Depository shall open the securities accounts according following procedure:

– in case of conclusion by the Depositor with the Company of the broker agreement and specifying in the application for accession of the standard investment account, the Depository shall open security accounts of two types - the main and trade for record of securities under the terms of servicing under such agreement;

–in case of conclusion by the Depositor with the Company of the broker agreement and specifying in the application for accession of the investment account, the Depository shall open only Main security account for record of securities under the terms of servicing under such agreement;

– in case of conclusion with the Company of the Agreement for maintaining the individual investment account the Depository shall additionally open securities accounts of two types - main and trading account for NCC for recording securities under the terms of servicing under such agreement;.

Opening of the securities account shall be performed on the basis of the Instruction for Opening the Account (Annex P-03, P-04).

3.3.2. The number of securities accounts opened for one depositor based on one depository agreement, including the number of securities accounts of one type, is not limited.

3.3.3. Trading securities account may be opened by the Depository to ensure the clearing for each clearing organization.

3.3.4. The type of the security account (owner securities account, trust manager securities account, nominee holder securities account, treasury Issuer securities account, deposit securities account, securities account of foreign nominee, securities account of foreign chartered holder, securities account of depository receipts programs opened for the Depositor shall be specified in the instruction for opening the securities account;

3.3.5. For opening each new security account the Depositor shall provide to the Depository the relevant instruction.

3.3.6. A security account may be opened on the basis of the Internal instruction of the Depository if so required by federal laws and other regulatory legal acts of the Russian Federation, as well as acts of the Bank of Russia.

3.3.7. The Depository shall notify the Depositor of opening of the securities account at least one business day following the opening day.

3.3.8. Within the Securities account the Depository shall open the necessary number of securi-

ties subaccounts in view of each place of safekeeping and the mode of safekeeping which provide convenience of conducting depository record. The Depository shall determine the number of Securities subaccounts individually.

3.3.9. Securities subaccount shall be opened within the frame of the main or trading securities accounts. The document that initiates opening of the securities subaccount may be:

- relevant Agreement between the Depository and the Depositor;
- the agreement between the Depositor and third party, certified by the Depository;
- internal instruction of the Depository;
- Depositor's instruction.

3.3.10. Within the Securities account the Depository shall open the necessary number of securities subaccounts in view of places of safekeeping and modes of safekeeping which provide convenience of conducting depository record. The Depository shall determine the number of Securities subaccounts individually.

3.3.11. All securities accounts opened within the frame of the Agreement shall be registered in the registration log of securities accounts.

3.3.12. When a Securities Account / Securities Subaccount is opened a unique code is assigned to it by the Depository. The rules for Securities Accounts / Securities Subaccounts encoding are defined by the Depository.

3.3.13. Opening of the securities account shall not necessarily be accompanied by immediate deposit of securities into such account.

3.3.14. Incoming documents:

- application on accession to the Depository agreement;
- instruction for opening the securities account;
- the questionnaire;
- the document provided for by p.2.1. of the Regulations in case the securities account are opened for the first time.

3.3.15. Outgoing documents:

- notice of opening the securities account (Annex P-18a);
- notice of the conclusion of the Depository Agreement (Annex P-186);
- the report on execution of the custody operation on the securities account (Annex p-22).

### **3.4. Securities Account Closing**

3.4.1. The securities account (the securities sub-account) showing a zero balance closing shall be performed in the following cases:

- following Depositor's instruction
- upon termination of the Depository Agreement;
- upon expiry or revocation from the Depository of the license of the professional securities market participant for the right to carry out depository activity;
- upon expiry or revocation from the Depository as Depositor or the trust manager of license of the professional securities market participant on the right of implementation of depository activity or for the right of implementation of activities for management of securities respectively;
- upon winding up of the Depository;
- upon winding up of the Depository – legal entity, decease of a depositor-individual (based on Depository's Internal instruction) after debiting the securities according the Regulations;
- on Depository's initiative (by right of Depository's Internal instruction) in the event that no operations have been effected through such account for one year after running the last custody operation no custody operations have been run through the securities account: in which case the Depository shall notify the Depositor on prospective closing of the account and termination of the relevant Agreement at least than 30 (thirty) calendar days before its closing date;
- in case of cancellation with the Depositor of the Agreement for maintaining Individual investment account for which service the Depository opened additional Securities accounts.

3.4.2. The Securities Account may not be closed with securities recorded thereon or under which the Depositor has arrears in payment of the services of the Depository and/or in reimbursement of the expenses and/or in provision of the missing documents to the Depository. Before closing the securities account, the securities remaining on it shall be withdrawn from the custody service or



transferred to another securities account/ securities account in another depository/to the Register of Owners of Registered Securities, and all the indebtedness of the Depositor to the Depository should be repaid, all missing documents provided.

3.4.3. A previously closed Securities Account cannot be re-opened. The number of a closed securities account may not be reused.

3.4.4. A Securities Account shall be closed based on the Depositor's Instruction to close the securities account (in form of Annex to the Regulations) or Notice of cancellation of Agreement (in form of Annex 5 to the Agreement). In this case, the term of validity of such Instruction shall be 90 calendar days from the date of acceptance by the Depository. An Instruction for closing the securities account shall be deemed to be cancelled after the expiry of the specified period if the Depositor's obligations on the submission of Instructions for debiting the securities from the Securities Account has not been executed.

The agreement on cancellation (termination) of the Agreement signed between the Depository and the Depositor constitutes at the same time the Instruction for closing the securities account.

3.4.5. In case of termination of the relevant Agreement at the Depository's initiative, the latter shall close the Depositor's securities accounts on the basis of the Depository's Internal Instruction within the time period stipulated by the Regulations.

3.4.6. All the securities accounts that are to be closed shall be registered in the registration log of securities accounts.

3.4.7. The Securities Subaccount shall be closed upon fulfilment of the relevant terms and conditions set forth in the Depository's Internal Regulations.

3.4.8. Incoming documents:

– Instruction for closing the securities account (Annex P-05a, P-05b) or Depository's internal instruction

3.4.9. Outgoing documents:

– A securities account closing report to the Depositor, or  
– notification of the Depository sent to the Depositor within 5 (Five) business days from closing date of the securities account pursuant to office instruction of Depository (Annex P-30),  
– termination of a securities account agreement (Annex P-31).

### **3.5. Changes to the Details and Information contained in the Depositor's and Representative's Questionnaires.**

3.5.1. Introducing amendments into the individual's/Client's Representative's questionnaire shall be made on the basis of the Instruction for amendment of questionnaire information (Annex P-06), the respective new questionnaire containing the amended questionnaire details, signed by the Authorized persons and submitted to the Depository. Amendments are also introduced into the Application for Payment of Income and Other Payments, if the introduced amendments relate to the details specified therein.

3.5.2. Introducing amendments into the questionnaire of a Client-legal entity shall be made on the basis of the Instruction for amendment of questionnaire information (Annex P-06), the respective new questionnaire containing the amended questionnaire details, signed by the Authorized persons and submitted to the Depository.

3.5.3. Irrespective of the method of introduction of amendments into the questionnaire amendment of the questionnaire details, with the exception of details on means of communication, postal address and banking details are also made on the basis of documents confirming the respective details.

3.5.4. Any information contained in the Questionnaire shall be included in the Questionnaire Details. The Depository maintains not only the actual Questionnaire Details, but also the historical record that are included as part of the Questionnaire records. The Depository shall include the information contained in the Questionnaire in the depository recording documents.

3.5.5. The new questionnaire shall be submitted to the Depository in the form of a document with a signature certified by a notary, or by means of the Personal Cabinet in the form of an electronic document, or signed in a written form witnessed by the presence of an official of the Company.

3.5.6. The Depositor shall have the right to make changes in the Questionnaire Details relating to the funds and/or postal address using the Personal Cabinet. If the Questionnaire is submitted through the Personal Cabinet, the Depository may request to provide the original of the Questionnaire

and/or other document.

3.5.7. The Depository employee shall cross check the details specified in the new individual's/Client's Representative's questionnaire with the details of the Client's /Representative's / beneficiary's personal identification document, as well as with other documents provided by the Depositor for confirmation of the relevant questionnaire details.

Copies of documents shall be presented to the Depository in accordance with the requirements set forth by the Regulations for presentation of documents when concluding the Depository Agreement.

3.5.8. The Depositor should immediately notify the Depository of the change of details specified in the Client's questionnaire and the Client's Representative's questionnaire, by carrying out the actions specified in this part of the Regulations. In the event that the Depository becomes aware of the change in the questionnaire details of the Depositor or his Representative, the Depository has the right not to accept Instructions from such persons/not to execute the accepted Instructions/to suspend execution of accepted instructions until they provide new questionnaires and documents confirming the change of the relevant questionnaire details. The Depository shall not be held liable for the consequences related to failure to submit or late submission of new questionnaires by said persons.

3.5.9. If several Depositors appoint one Representative, amendments to the Client's Representative's questionnaire shall be made by submission to the Depository of one copy of the new Client's Representative's questionnaire, independently of a number of Depositors whose interests are represented by the Representative.

3.5.10. In the event that the sample of the signature specified in the questionnaire does not match the real signature of the Depositor/Representative, such persons shall immediately submit to the Depository the updated questionnaire containing the new sample of the signature.

3.5.11. The Depositor shall have the right at any time to change the questionnaire details of the bank account details into which the Depository deposits income and other payments on securities by submitting to the Depository the client's application for depositing income and other payments (Annex P-28) with specification of the bank account details. In case of absence of Broker Agreement/ Agreement for maintenance of Individual Investment Account concluded by the Depositor with the Company, as well as in the event of termination of the said agreements, the Depositor shall be obliged upon conclusion of the Agreement (in case of termination of broker Agreement/ Agreement for maintenance of Individual Investment Account respectively) provide to the Depository application for depositing income and other payments (Annex P-28) with specification of the bank account details for transfer of funds.

3.5.12 Incoming documents:

- instruction for making alteration of questionnaire details (Annex P-06);
- questionnaire;
- documents, specified in p. 3.5.3. of the Regulations.

3.5.13. Outgoing documents:

- report of completion of the custody operation on securities account (Annex P-22).

### **3.6. Appointment of a Representative/Termination of powers of a Representative**

3.6.1. The Depositor may appoint a Representative.

3.6.2. The Representative shall be appointed on the basis of the following documents:

- Representative's questionnaire including information on the Representative;
- Instruction of appointment of a Representative, signed by the Depositor (Annex P-07);
- other documents specified in p. 2.1.6 of the Regulations.

3.6.3. The representative's questionnaire shall be signed in the personal presence of an employee of the Company. It is not necessary to provide representative's questionnaire if the Depositor's Representative is a valid Client of the Company, except in cases where the Depository finds the fact that existing data in the questionnaire of such Representative has been changed.

3.6.4. The Representative shall act within the powers specified in the power of attorney issued by the Depositor or specified in the law/deed of the authorized public body/deed of the authorized body of local self-government.

The power of attorney issued by the Depositor should be notarially certified. It is also allowed to provide such power of attorney in simple writing form if such power of attorney is issued by the ap-

point or to the appointee in the presence of the authorized employee of the Company; the power of attorney issued by the Depositor-legal entity shall be signed by a person entitled to act on behalf of the Depositor without power of attorney, by affixing an impress of the seal of the legal entity (if any). The requirements set out in paragraph 2.2 of the Regulations shall apply to the power of attorney issued by the Depositor - Non-resident.

3.6.5. The Depository shall not be liable to the Depositor for Representative's actions performed within its powers.

3.6.6. The Depository shall have the right to submit a report on execution of the custody operation on appointment of the relevant Representative together with the report on the executed transactions.

3.6.7. The Depository may at own discretion request from the Depositor other documents alongside with those specified in p. 2.1.6 of the Regulations, necessary for appointment of the Depositor's Authorized Person. Documents for appointment of the Depositor's Authorized Person shall be deemed to be provided to the Depository from the date of their receipt by the Depository. The Depository shall verify the documents provided and, in the event of a positive result of the verification, shall execute the instruction on appointment of the Representative.

3.6.8. The authority of the Representative shall be terminated in the following cases:

– in case of receipt in Depository of the Instruction for cancellation of powers (Annex P-08): in this case the power of attorney issued by the Depositor to the Representative is considered automatically cancelled by the Depositor;

– in case of expiration of the power of attorney issued by the Depositor to the Representative provided absence in Depository as at 17:00 of the last Business day of validity of the power of attorney which validity expires of the new power of attorney in the name of the specified person valid at the time of expiration of the previous power of attorney or from the date following the last day of the latter's validity;

–in case of receipt in Depository of the other document certifying termination of powers of the Representative in accordance with the current RF laws;

– in case of cancellation (termination) of the Depository agreement.

3.6.9. On the basis of documents confirming termination of the Representative 's powers, the Depository shall form the relevant Internal Instruction. In case of termination of powers /or revocation of the Representative in connection with cancellation (termination) of the Depository agreement, the operation provided by the present article shall not be carried out.

3.6.10. The Depository shall have the right to submit the report on execution of the custody operation on the revocation of powers or the Representative together with the report on execution of the operation.

3.6.11. Instructions submitted to the Depository by the Representative before termination of his powers shall be executed in accordance with the procedure provided for by the Regulations.

3.6.12. Incoming documents:

– documents specified in this paragraph of the Regulations.

3.6.13. Outgoing documents:

– report on execution of custody operation on the securities account (Annex P-22).

### **3.7. Appointment of Securities Account Fiduciary / termination of powers of the Account fiduciary**

3.7.1. The Depositor may delegate his powers to deal with, and exercise any rights attached to, any securities the rights to which are recorded by the Depository on the Depositor's securities account to a third party who will act as an Account Fiduciary.

3.7.2. It shall not be allowed to designate more than one Account Fiduciary for the same securities account.

3.7.3. Mutual rights and obligations of the Depository, Depositor and Account fiduciary shall be governed by Fiduciary agreement entered into between them.

3.7.4. The Account Fiduciary shall not certify rights to securities, but the entries made by the Account Fiduciary may be used as evidence of rights to the securities.

3.7.5. In case Fiduciary agreement is entered into between the Depository, Depositor and Account fiduciary the Depositor may independently sign and submit Instructions to the Depository in

respect to the securities rights to which are recorded on the Depositor's Securities accounts in the Depository, only provided there is written consent of the Account fiduciary prepared in accordance with the Fiduciary Agreement. The Depositor shall independently ensure submission by the Account fiduciary of such consent. The consent of the Account fiduciary to carry out the Custody Transaction shall contain an indication of the Custody Operation or duplicate its parameters otherwise the Depository shall have the right not to execute the Instruction of the Depository.

3.7.6 The consent of the Account fiduciary to carry out Custody Transactions on the Depositor's securities Accounts is not required if such transactions are carried out on the basis of the Conditional Instruction provided for by the Fiduciary Agreement and the annex thereto.

3.7.7 The appointment of the Account fiduciary by the Depositor shall be effected by entering into a tripartite Fiduciary Agreement between the Depositor, the Depository and the Account fiduciary. Procedure for conclusion of the said Fiduciary Agreement shall be governed by such agreement independently.

3.7.8 The powers of the Account fiduciary with relation to disposal of the securities and exercising the rights under securities, the rights to which are recorded on the Depositor's securities account in the Depository, are provided for by the power of attorney, the content of which is a constituent part of the Fiduciary Agreement.

3.7.9 Conclusion of the Fiduciary Agreement between the Depository, the Depositor and the Account fiduciary constitutes the respective Depositor's instruction to the Depository for provision of information on the balance of securities recorded on the Securities Accounts, to the internal accounting department or to the department carrying out the broker activity. In this case, it is not required to send to the Depository the Depositor's additional (direct) written consent or instruction of whatsoever for provision of information on securities balances to such structural provisions of the Company.

3.7.10. The powers of the Account fiduciary shall be terminated in the event that:

- the Notice received by the Depository on expiration of power of attorney (according the form of the Annex to the Regulations);

- termination of the Fiduciary Agreement that includes power of attorney as provided for by such agreement;

- in case of receipt by the Depository of other document confirming termination of powers of the Account fiduciary in compliance with the legislation of the Russian Federation;

- in case the Depository Agreement is cancelled (terminated).

3.7.11 On the basis of the documents confirming termination of powers of the Account fiduciary the Depository shall form the respective Internal instruction for the termination of powers save in the event of termination of the Agreement.

3.7.12 The Depository shall have the right to submit a report on the execution of the transaction to revoke the powers of the Account fiduciary or the Representative together with the report on the transactions performed.

3.7.13 Instructions submitted to the Depository by the Account fiduciary prior to the termination of his powers are subject to execution in accordance with the procedure provided for in the Regulations.

3.7.14. When the Account fiduciary's powers are terminated the invoices for payment of Depository's services shall be paid by the Depositor until appointment of a new Account fiduciary.

3.7.15 Incoming documents:

- the documents specified in this paragraph of the Regulations.

3.7.16 Outgoing documents:

- the report on execution of the custody operation on the securities account (Annex P-22).

### **3.8. Crediting securities on securities accounts and other accounts.**

3.8.1 The basis for crediting the securities to the securities account shall be the instruction for crediting the securities signed by the initiator (Annex P-10), and if the instruction includes the due date and/or condition of its execution - also the maturity of the respective due date and/or the terms. The basis for crediting the securities to the securities depot account may constitute the transactions described in p.p. 3.14.2, 3.14.4, other corporate actions of the Issuer, as well as in case of crediting additional issues of securities on decision of the Issuer.

The basis for carrying out the Custody transaction for crediting securities through the Depositor's Trading Account as result of the clearing may be the report of the Clearing Organization on the re-

sults of the clearing.

3.8.2. The Depositor shall prior to submission of the Instruction for crediting the Securities (Annex P-10) from the personal account in the shares register should submit instrument of transfer for re-registration of securities to the account of the central depository or the account of the other nominee to the registrar that maintains this register of owners of registered securities. The Depositor should submit to the Depository an instruction to credit the securities within 10 (ten) business days from the date of submission of the instrument of transfer for reregistration of the securities to the account of the central depository or other nominee in the register of owners of the registered securities. In case of crediting from the securities account opened in the central depository or Depository-correspondent the Depositor should submit instruction for crediting the securities within 10 (ten) business days from the date of submission of the Instruction for debiting in the central law or depository-correspondent.

3.8.3. The Depository shall not open the nominee accounts and shall not credit to the nominee accounts the securities on the Depositors Instructions in the register of holders of registered securities in case when the account of nominee of the central depository is opened in the register.

3.8.4. Crediting of the Securities from the personal account in the register of shareholders, where the account of the central Depository is opened, to the securities account in the Depository, is effected without transfer of ownership rights, provided that the owner of the personal account in the register and the owner of the securities account in the Depository – is one and the same person.

3.8.5. Under a separate agreement with the Depositor and/or pursuant to a power of attorney issued by the Depositor to the Depository/Depository's employee for the right to carry out actions related to writing off the securities from the personal account of the person registered in the register of owners of registered securities/Depositor's securities account in another depository, properly executed by the Depository, the Depository may provide re-registration services with the registrar/other Depository of Depositor's securities to the nominee account of the central depository or, if the account of the central depository is not opened in the register to the nominee account of the Depository.

3.8.6 In case the securities are credited from the securities account opened in the Central Depository or the Superior Depository the Depository should submit the Instruction for crediting the securities within 10 (ten) Business days from the date of submission of the instruction for debiting to the Central Depository or the Superior Depository.

3.8.7. Crediting securities restricted in circulation is performed with account taken of specific features and restrictions set forth by applicable RF statutory and regulatory enactments.

3.8.8. The Depository may only credit securities intended for qualified investors as well as securities that are subject to the requirements or restrictions set forth by the Russian Federation laws in relation to dealing with securities intended for qualified investors ("securities intended for qualified investors"), to owner securities accounts held by Depositors regarded as qualified investors, or Depositors who are not qualified investors, but who acquired such securities as a result of universal succession of the title or conversion, including in connection with reorganization, distribution of a legal entity's assets upon its liquidation, or in any other cases determined by the Bank of Russia.

3.8.9. The Depositor shall submit to the Depository either the original or a notarized copy of a document certifying that the Depositor is either a qualified investor by virtue of law, or is recognized to be a qualified investor by an asset management company, brokerage firm or any other entity provided for by federal laws.

3.8.10. If the Depository has been provided with information regarding the securities that are credited to the depot account (Registration) rights of pledge to credited securities, then these price securities are credited to the account of the securities owner's depot, the account of the trustee's depot is allowed under condition of simultaneous fixation (Registration) by the Depository, the right of pledge in respect of the credited valuable persons on the terms and conditions contained in the information on the right of pledge transmitted to it.

3.8.11. In the event of a transaction through the Depository Account, the Depository shall credit the securities to the Depositor's securities account upon receipt of the notice of the register keeper of the executed transaction of crediting the securities to the personal nominee account of the Depository or the report of the performed transaction on the nominee securities account of the Depository in another Depository.

3.8.12 With the purpose to ensure the Depositor's rights on the Securities the date on which the Depositor's securities were credited to the Depository's account as a nominee in the cen-

tral depository shall be considered as the date of receipt of the registered securities for accounting. With the purpose of depository accounting, the date of receipt of securities for accounting shall be determined by the date of carrying out the custody transaction through the Depositor's securities account.

3.8.13 The Depository may not credit securities if:

- with relation to the issue of securities or a part thereof an order (a notice) was received to the effect that custody operations were suspended;
- acceptance of the securities for accounting is prohibited by applicable RF normative regulatory acts, order of the court or deed of competent government agency or resolutions of self-regulatory organizations of which the Depository or Depositor are participants;
- the instruction for crediting is given from personal account of the owner in the register of shareholders to the nominee account of the Central depository for crediting to the depositor's account in the Depository with transfer of the rights for securities.

3.8.14 For crediting securities within the Non-Bank Credit Institution Joint Stock Company "National Settlement Depository," the Instruction for crediting the securities within NSD shall be submitted to the Depository (Annex P-10).

3.8.15 In case of conclusion by the Depositor with "IC "FINPROINVEST" LLC of the broker agreement or the Agreement for maintenance of individual investment account, crediting the securities through the Depositor's securities Account as a result of execution (in the process of providing broker services) of transactions with securities, as well as carrying out other actions for the purposes of effecting settlements under concluded transactions, shall be carried out on the basis of the Depositor's Conditional Instruction provided for in Annex 1 to the Regulations and/or settlement instructions on the results of concluded transactions formed by the internal accounting department. The procedure for submission of settlement instructions to the Depository, the format of such instructions and their structure are determined in the document governing the relations between the said structural subdivision and the Depository.

3.8.16 In absence of grounds for crediting securities to the securities account, the Depository shall credit them to the account of unidentified persons.

3.8.17 Incoming documents:

- instruction for crediting/debiting securities or instruction for crediting/debiting securities within NSD (Annex P-10);
- notice of the registrar or other depository of crediting securities to Depository's account as a nominee;
- copy of the contract or other document confirming the fact of effecting of the transaction of a civil law character in cases when crediting of securities is accompanied by transfer of the property rights and (or) change of the place of safekeeping at transfer of Depositor's securities from nominal share holding of the other depository - in cases where the Depository has no opportunity unambiguously to establish access appurtenance of crediting the Depositor's securities to the Depository's account as a nominee;
- other necessary documents.

3.8.18 Outgoing documents:

- report on completion of custody operation through the securities account (Annex P-21).

### **3.9. Securities Debiting from recording.**

3.9.1. Securities are debited from recording on the securities account in the following cases: changing of the place of safekeeping of Depositor's securities when transferring Depositor's securities for servicing to other depository; changing of the place of safekeeping of Depositor's securities when transferring Depositor's securities to own personal account of registered person in the register of owners of registered securities; transfer of Depositor's securities to the counteragent who not Depositor of Depository as a result of alienation according transactions of a civil right nature; in other cases provided for by the Regulations (including in case of implementation by the Depository of certain Depository operations specified in p.p. 3.14.3.2., 3.14.7 - 3.14.8. of the Regulations ) and normative laws and regulations of the Russian Federation.

3.9.2. The ground for the securities removal from recording on securities accounts shall be in-

instruction for crediting/debiting securities (Annex P-10) signed by the initiator and where such instruction contains deadlines and/or conditions of its execution – such deadline and/or condition occurrence or the documents specified in p. 3.14.7 of the Regulations. To submit the Instruction within the frame of this custody transaction, the initiator shall have the right to use the Personal Cabinet and the electronic document exchange.

3.9.3. The ground for conducting Custody operation for debiting securities through the Depositor's trading securities account as result of clearing can be the report of a Clearing company on results of clearing.

3.9.4. At receipt in Depository of the Instruction for crediting/debiting of securities the Depository shall prepare to the address of registry holder or Superior depository an instruction for debiting of securities from the account of Depository as nominee to Depositor's or Depositor's counter-agent's personal account / securities account opened in the Registrar / Superior depository. In this case, if an account of the Central Depository is opened in the Registrar the debiting is possible only to the Depositor's personal account in the register of shareholders, that is, without transfer of rights to securities to other persons.

3.9.5. Following the claims of certain Registrars/Superior Depositories and the terms and conditions of circulation of the securities, the Depository shall be entitled to request, and the Depositor obliged to provide additional documents necessary for carrying out the custody transaction for securities removal from accounting.

3.9.6. When carrying out the Custody Operation for debiting securities from the Securities Account, the Depository shall, upon receipt of the Instruction for debiting securities, shall debit the securities to the Securities Subaccounts Securities-in-Transit, and upon receipt of notice from the Registrar or another depository of securities debiting from the Depositor's personal account/ securities account of Depository as nominal holder shall complete the custody transaction.

3.9.7. Securities in respect of which a pledge has been recorded (registered) may be debited from securities account based on request (Instruction) of the pledgee or notary that execute a non-judicial foreclosure on such securities pursuant to the legislation of the Russian Federation.

3.9.8. In case of exclusion of the Issuer who terminated its activities from the Unified State Register of Legal Entities or winding up the Issuer debiting securities off the securities accounts shall be performed by the Depository as of the date of introduction into the Unified State Register of Legal Entities of the entry on the Issuer 's exclusion from the Unified State Register of Legal Entities.

3.9.9. In case of winding up of the Depositor – the legal entity to whom the owner's securities account has been opened, provided there are securities recorded on the said securities account, the Depository may debit the securities to the account of unidentified persons opened by the Registrar or the Central Depository on the basis of the Internal instruction.

3.9.10. Securities are subject to debiting from the account of unidentified persons in case of return of securities, provided by paragraph 5 of article 8.5 of Federal law No. 39-FZ of 22.04.1996 "On the securities market", on the basis of the report of the place of safekeeping, containing data on inaccuracy of the entry for crediting such securities or securities into which they were converted, on the said account.

The Depository shall send to the registrar or Depository of the place of safekeeping the Instruction to debit an equal amount of the same securities from the nominee account opened to it. The Instruction must include indication to the effect that debiting is performed due to return of the securities or the securities into which they were converted to the personal account or securities account from which they were debited.

Securities shall also be debited from the account of unidentified persons after expiring of one month from the date of crediting to the said account of such securities or securities which have been converted into them. In this case the quantity of the securities recorded by the Depository on the securities accounts and the account of unidentified entities shall be equal to the number of securities of the same kind recorded in the accounts of this Depository at the place of safekeeping.

In case of the Depository's Instruction (directive) to debit the securities recorded by it on the account of unidentified persons from the nominee account opened for it such instruction should explicitly specify that debiting is carried out in connection with return of securities.

Securities can be debited by the Depository from the account of unidentified entities in case the registrar in which the personal nominee account is opened for the Depository submits to it the direction to debit the securities from such account and credit them to the personal securities owner

account or the personal trust manager account opened to the registered person who notified the registrar that the direction submitted thereto on the basis of which the securities were previously debited from its personal account and credited to the nominee personal account was erroneous.

Debiting securities from the securities account and unidentified persons account shall be executed not later than the business day following the day of receipt by the Depository of a document evidencing that such securities have been debited from the nominee personal account or the securities account of the Depository as nominee in the Depository of place of safekeeping.

3.9.11. Debiting the securities towards which the right of pledge has been recorded (registered) may be performed if this is provided by the depository agreement. In this case, the instruction for debiting the securities should also be signed by the pledge holder, unless otherwise provided by federal laws or depository agreement.

3.9.12. In case of conclusion by the Depositor with "IC"FINPROINVEST" LLC of the broker agreement or the Agreement on maintenance of individual investment account, debiting the securities through the Depositor's securities account as a result of execution (in process of provision of broker services) of the transactions with securities, as well as implementation of other actions for the purpose of making settlements on concluded transactions, shall be carried out on the basis of the Depositor's Conditional Instruction provided for by Annex 1 to the Regulations and/or settlement instructions on the results of concluded transactions drawn by the internal accounting department. Procedure of submission of settlement instructions to the Depository, the format of such instructions and their structure shall be defined in the document that governs the relations between the said structural subdivision and the Depository.

3.9.13. Incoming documents:

- instruction for crediting/debiting the securities or internal instruction of the Depository (Annex P-10);

-notice of the registrar or other depository of debiting the securities from the Depositor's personal account/Depository's account as nominee;

-the copy of the agreement or other document confirming the fact of commission of the transaction of civil legal nature in cases when debiting the securities is accompanied by transfer of ownership;

-the copy of the agreement or other document confirming the cause for acquisition of securities by the Depositor in cases of debiting the securities restricted in circulation in accordance with the current RF legislation.

3.9.14. Outgoing documents:

-Report on execution of custody operation on the securities account (Annex P-21).

### **3.10. Transfer of securities**

3.10.1. The custody transaction for the transfer of securities shall be carried out by the Depository exclusively on the Passive accounts opened in the Depository.

3.10.2. Securities transfer transaction (debiting from one securities account/securities subaccount and crediting to another securities account/securities subaccount within the depository) is effected in connection with a civil law transaction (sale/purchase, gift, succession etc.) and when there is a change in the owner of securities in accordance with applicable law of the Russian Federation or when there is no change in the owner of securities, by a court order.

3.10.3. Transfer between securities accounts opened under different agreements, transfer of securities between securities accounts/ securities subaccounts of one securities account under one contract shall be carried out in the following cases:

– transfers of the Depositor's securities to the counteragent who is the Depositor of the Depository, into the latter's securities account opened in the Depository;

– transfer of the Depositor's securities through the securities accounts/securities subaccounts opened within the frames of different Agreements;

– transfer of the Depositor's securities through the securities accounts/securities subaccounts opened within the frames of one Agreement;

3.10.4. The basis for debiting securities from the securities accounts/securities subaccounts account may be:

– the Instruction for transfer between the depositor's securities accounts/securities subac-



counts (according the form of the Annex to the Regulations);

- two Instructions for transfer between the depositors' securities accounts (according the form of the Annex to the Regulations) signed separately by the securities-deliverer and the securities-recipient respectively.

- two Collective Instructions for transfer between the depositors' securities accounts (according the form of the Annex to the Regulations) signed separately by the securities-deliverer and the securities-recipient respectively.

- the execution writ issued by judicial authority, the court order (if transfer of the property right is executed according to the court order);

- the certificate of inheritance right (if transfer of the rights of property results from the right of survivorship);

- the certificate of transfer, division balance sheet (if transfer of property rights results from reorganization of the legal entity).

Basis for Depository transactions on the securities accounts related to the transfer of ownership of securities along with the instruction for transfer of the securities between the Depositors' accounts: can be the following documents:

- the execution writ issued by judicial authority, the court order (if transfer of the property right is executed according to the court order);

- the certificate of inheritance right (if transfer of the rights of property results from the right of survivorship);

- the certificate of transfer, division balance sheet (if transfer of property rights results from reorganization of the legal entity).

3.10.5. When transferring the securities from the nominee securities account along with the instruction for transfer of securities between Depositors' securities, the Depository as depositor, upon the Depository's request shall provide a copy of Instruction of the Client of the Depository as depositor or other document, which constitutes the basis for the Instruction of the Depository as depositor.

3.10.6. The depository has the right to transfer independently securities from/to the securities account/securities subaccount on basis of internal instructions, including, in case of carrying out custody operations. In this case, the Depository shall draw up the relevant internal instruction without the Depositor's consent and provision from him of any additional instructions and other documents.

3.10.7. Incoming documents:

- the instruction for transfer of securities between the securities accounts/securities subaccounts of one security account or the instruction for transfer of securities between the Depositors' securities accounts/securities subaccounts (Annex-10) (from the Depositor/securities-deliverer and the Depositor/securities-recipient) or an internal Instruction. One instruction may be submitted which case it should be signed by both parties to the transaction;

- notarized copy of the document certifying transfer of the ownership rights in case of transfer of the ownership rights resulting from survivorship, basing on the court order, execution writ, as result of reorganization of the legal entity;

- copy of the Depository as depositor's client's Instruction or of the other document that constitute the ground for the Depository as depositor's Instruction in case of transfer of securities from the nominee's securities account.

3.10.8. Outgoing documents:

- report on execution of custody operation on the securities account.

3.10.9. Execution by the Depository of the Instruction basing on the results of transactions on the stock exchange (master order) (Appendix II-17) on the accounts of the securities of different Depositors may be recorded in custody accounting as a transfer between the securities accounts of these Depositors if the following conditions are simultaneously met:

- by results of purchase and sale transactions the securities have to be credited on a securities account of one Depositor;

- by results of purchase and sale transactions the securities have to be debited from a securities account of the other Depositor;

- securities subject to be credited to the securities account of one Depositor and securities subject to be debited from the securities account of another Depositor belong to one and the same Issue of securities;

– quantity of securities subject to be credited to the securities account of one Depositor is equal to quantity of the securities subject to be debited from the securities account of another Depositor;

3.10.10. The Depository shall apply the following procedure for crediting and debiting of inherited securities:

On presentation to the Depository, in due form, of any document certifying the fact of a Depositor's death or upon receipt by the Depository of a document (inquiry, etc.) from a notary containing information of a Depositor's death, securities basing on the Internal Instruction of the Depository shall be blocked on the securities account.

Deblocking of securities shall be effected on the basis of the Internal Instruction of the Depository before Depository carries out a transaction of writing off the securities from the account of the Depositor- testator for the purpose of transfer of rights to them to the inheritor (inheritors). If the transaction of blocking the securities inherited and writing off the securities from the securities account of the Depositor- testator can be carried out at the same day, the Depository shall entitled not to carry out the transaction of blocking.

3.10.10.1. In case the owner securities account is opened for the inheritor by the Depository, operation of the transfer of the securities inherited into the inheritor's securities account is carried out on the basis of the documents specified in p. 3.10.10.4. of this Regulations;

3.10.10.2 The securities for inheritors of which the Depository did not open the owner's securities account and which are referred to in the Certificate of Right to Inheritance and/or the Certificate of Ownership of a share in the common property of the spouses and/or in a court decision that has become effective shall be recorded on the securities account of the testator until submission of all necessary documents or may be removed from safekeeping and/or recording in the Depository for crediting to the inheritor's securities account in another (external) depository or to the inheritor's personal account in the register of holders of registered securities basing on the respective inheritor's application, that includes all necessary details of the securities account / personal account for crediting the securities.

Operation on withdrawal from safekeeping and/or recording of the inherited securities for the purpose of crediting into the inheritor's account in external depository / register of holders of registered securities is executed by the Depository only after payment by the inheritor against the advance invoice made out by the Depository, of all necessary expenses connected with execution of the said operation which the Depository should have incur according to tariffs of external registrars and/or depositories.

3.10.10.3 A security which cannot be divided between inheritors without formation of its fractional parts shall be recorded in the testator's securities account prior to presentation of the original or a notarized or certified copy of the Agreement on the Division of Inherited Property, signed by all inheritors entitled to fractional parts of the said security, according to which the said security shall be due and owing to one of the inheritors.

3.10.10.4 In case of inheritance of securities the following documents shall be p:

– notarized copy or original (for the Depository employee to make a copy thereof) of the Certificate of death or information / statement from the register of civil status of the town or regional Civil Status Registration Office confirming the fact of Depositor's death (if available, the original or the copy certified by the notary / department of register of acts of civil status) - presentation is not obligatory, but the Depository has the right to request provision of said documents;

– notarized copy or original (subject to provision to the Depository of true copy of the original certified by notary) of the Certificate of inheritance and/or the Certificate of Ownership of a share in the common property of the spouses, issued by a notary;

– court ruling recognizing the rights to inheritable property (if available, original or a copy certified by a court);

– agreement on division of inheritable property signed by all inheritors – in case of transfer of inherited security (securities) which cannot be divided between inheritors without formation of fractional parts (if available, original or a copy certified by a court/a notary);

– Instruction for opening securities account provided at least by one of the participants of joint shared ownership for securities or its representative;

– Depositor's questionnaire for each participant of joint shared ownership;

- The Depository agreement.

3.10.11 In case of conclusion by the Depositor with "IC "FINPROINVEST" LLC of the Broker agreement or Agreement for maintenance of individual investment account the grounds for transfer of securities as a result of execution (in process of providing broker services) of transactions with securities, as well as carrying out other actions for the purposes of performance of settlements under concluded transactions, may be a Depositor's Conditional Instruction provided for in Annex 1 to the Regulations (and settlement instructions on the results of concluded transactions generated by the Internal Accounting Department) and Counter-Instruction for transfer between of Depositors securities accounts (according to the form of the Annex to the Regulations) signed by the securities deliverer or the securities recipient, respectively.

Procedure of submission of settlement instructions to the Depository, format of such instructions and their structure shall be determined in the document governing relations between the Depository and the Internal accounting department.

### **3.11 Relocation of securities**

3.11.1. Transaction for relocation of securities shall be carried out by the Depository through Active accounts opened by the Depository in the Superior depository by debiting the securities from one account and crediting them to another account.

3.11.2. Transaction for relocation of securities shall be carried out without change of securities' owner. Implementation of the operation is possible only in case of relocation of securities among the places of safe keeping allowed by the Depository for the given issue of securities. The Depository shall have the right to independently determine the places of safe keeping of securities, unless otherwise provided by the legislation of the Russian Federation, the terms and conditions of issuance and circulation of securities and other documents.

3.11.3. Where there is more than one place of safekeeping approved for particular security with respect to which the Depository provides services, the Depository may, on the basis of a custody Instruction issued by a Depository, relocate securities between such places of safekeeping, both when executing a Depositor's custody Instruction for withdrawal of securities and in any other cases, provided that such relocation is not inconsistent with the Russian Federation laws, the terms and conditions of issuance and circulation of securities of, and these Terms & Conditions.

3.11.4. In case two Depositors of the Depository submit by means of the Private cabinet separately from each other two Instructions according the form of Annex P-10 to the Regulations purpose of which is relocation/transfer of securities from the securities account of one Depositor into the securities account of other Depositor, the Depository accepts the said Instructions for execution of transaction of transfer between securities accounts of depositors in case of matching of the following parameters of both instructions: accounts of counterparties, securities debit/ credit subaccounts, securities issue, number of securities, as well as requisites of the document, which is the basis of transfer of rights to securities.

3.11.5. The Depository has the right to execute operation of relocation of securities on the basis of a Depository's Internal instruction (provided that the Depository has given prior notice to that effect to its Depositors) if the further use of the relevant place of safekeeping is impossible due to:

- winding up of the relevant legal entity registered as a place of safekeeping;
- revocation of the professional securities market participant license for depository operations or register-keeping operations held by the relevant legal entity registered as a place of safekeeping;
- termination of the agreement which constitutes the ground for the use this place of safekeeping;
- loss by the legal entity which is the place of safekeeping of the status of settlement depository;
- for the purpose of bringing its activity in compliance with requirements of laws and regulations due to changes in the legislation;
- receipt into the Depository from structural division of the Company to which functions it is relegated to conduct internal account in the Company or implementation of broker activity, of the relevant instruction with the aim of fulfilment of the Depositor's obligations within the Broker

Agreement / Agreement of maintenance of the individual investment account concluded with the Company;

- change of value of coefficient “ai” established by normative acts of the Bank of Russia to the value different from 0 (Zero) within the entity which is recording the rights for securities (the superior place of safekeeping);

- for the purpose of selling by the depository of securities according p.9.6. of the Regulations.

3.11.6. Incoming documents:

- instruction for relocation of securities (Annex P-10) or internal custody instruction of the Depository.

3.11.7. Outgoing documents:

- report on execution of custody operation on the securities account (Annex P-21).

### **3.12 Restrictions/Lifting restrictions on the right to manage its securities**

3.12.1. Restriction of the right to manage the securities of the Depositor (restriction of the operations) shall be effected in accordance with the Depositor’s will and/or the RF legislation and/or the normative acts of the Bank of Russia and/or other RF normative acts.

3.12.2. Restriction of Depositor’s custody operations with securities (the specified quantity of securities) held on the securities accounts (establishment of blocking) shall be effected on the basis of the following documents:

- Instruction for setting restriction of dealing in securities (according the form of the Annex to the Regulations);

- Information from the Depositors for whom the nominees securities Accounts/Foreign nominees securities Accounts regarding their clients who submitted instructions to participate in corporate actions of the Issuer;

- of the documents of Superior depository on repayment (cancellation) of securities (performance of the Issuer 's obligation in case of violation of repayment terms);

- Instruction for participation in corporate action;

- Internal instruction, as well as the documents which constitute the grounds for restriction of dealing with securities;

- documents confirming implementation of the Issuer’s Corporate action;

- other documents, in compliance with the current legislation of the Russian Federation, including normative enactments of the Bank of Russia.

3.12.3. As a general rule, lifting of the restriction in dealing with securities shall be carried out on the basis of the Instruction for lifting restriction in dealing with securities (according the form of the Annex to the Regulations);

3.12.4. If the restriction in dealing with securities has been set on the basis of the Internal instruction and of the documents that constitute the grounds for restriction in dealing with securities, lifting of such restriction shall be effected on the basis of the of the Internal instruction issued by authorized persons.

3.12.5. For implementation of operation on lifting of restriction in dealing with securities the Depository shall carry out the custody operation on transfer/relocation of the said securities from special securities Subaccount. No additional instruction is required from the Depositor to effect the said custody Transaction.

3.12.6. The instructions for lifting restrictions of dealing in securities submitted to the Depository, the Internal instruction and other documents, also constitute the basis for implementation of the Custody operation of the transfer of securities, the disposal of which has been restricted, between the securities Accounts/securities subaccounts from the special securities Subaccount. No additional instruction is required to effect the said custody Transactions.

3.12.7. Incoming documents:

- Instructions for setting / lifting of restrictions for dealing with securities (Annex P-12);

- internal instruction as well as the documents basing grounds for setting / lifting of restrictions;

3.12.8. Outgoing documents:

- report on execution of custody operation on the securities account (Annex P-21).

### **3.13. Encumbrance of Securities and Termination of Encumbrance of Securities.**

3.13.1. Pledging of securities in the Depository shall be carried out in cases of transfer by the Depositor to the pledge holder (creditor) of the right to obtain satisfaction on the principal debt at the expense of Depositor's securities which are recorded on its main Owner's securities account and in other cases provided for by the RF legislation and normative acts of the Bank of Russia.

3.13.2. The Depositor's securities that are subject to pledging shall be encumbered on a special securities Subaccount (of a pledge holder).

3.13.3. The Depository shall not implement with the Depositor's securities in pledge any Custody Transactions related to subsequent pledge of the encumbered securities or assignment of the rights of the pledge holder in respect of the encumbered securities.

3.13.4. Custody transaction on encumbrance of securities is carried out on the basis of the following documents: Instruction for encumbrance of securities, pledge agreement (original or copy certified by one of the parties), agreement containing obligation secured by pledge (original or copy certified by one of the parties).

3.13.5. Instruction for encumbrance of securities submitted to the Depository shall also constitute the basis for carrying out the custody transaction of transfer of encumbered securities between the securities Accounts /securities Subaccounts. Submission of additional instruction for specified custody transaction is not required.

3.13.6. When implementing transaction on encumbrance of securities where the Depositor with securities account acts as the Initiator, the latter upon the Depository's request is obliged to provide the copy of the instruction of the client of the Depositor with securities account or of the other document which constitutes the basis for implementation of the operation.

3.13.7. Cancellation of encumbrance of securities in the Depository shall be performed in following cases:

- cancellation of obligation secured by pledge;
- extinguishing of the rights attached to the security;
- discharging of the claims of the pledge holder through the Depositor's encumbered securities (due to levy of execution against the pledged securities);
- sales of Depositor's pledged securities at public sales towards discharging of the claims of the pledge holder
- in other cases provided for by the RF law.

3.13.8. The transaction for cancellation of encumbrance of securities without levy of execution against thereof is carried out on the basis of the Instruction to terminate the encumbrance of securities (in the form of the Annex to the Regulations).

3.13.9. Instructions for cancellation of encumbrance of securities submitted to the Depository constitutes also the basis for implementation of Custody operation of transfer of encumbered securities between securities Accounts /securities Subaccounts. Submission of additional instruction for specified custody transaction is not required.

3.13.10. Cancellation of encumbrance of securities due to levy of execution to subject of pledge by legal means by way of sale at public sales is implemented basing on the following documents:

- court decision to levy execution to subject of pledge (original or notarized copy);
- the contract of purchase and sale of the pledged securities concluded basing on results of the sale (the original or notarized copy) – in case the pledge holder retains the pledged securities for himself;

–in case the pledge holder retains the pledged securities for himself the report of the failed repeated sales after holding of which no more than one month passed (the original or notarized copy), resolutions on transfer of the debtor's unsold property to the re-coverer published under the RF statutory procedure on court enforcement proceeding.

3.13.11. Cancellation of encumbrance of securities due to levy of execution to subject of pledge out-of-court by way of sale at public sales is implemented basing on the following documents:

- the contract of purchase and sale of the pledged securities concluded basing on results of the sale (the original or notarized copy);
- the report of the failed sales (in case the sales were recognized as failed);
- agreement on purchase of the property by the pledge holder (in case the sales were recognized as failed) (the original or notarized copy);
- report of failed repeated sales after holding of which no more than one month passed – in case the sales were recognized as failed (the original or notarized copy);
- notice of the pledge holder of the intension to retain subject of pledge for himself submitted to the trade organizer and the pledger /Depository in the absence of information on the location of the pledger within a period not exceeding one month from the date of the announcement of the trades as failed (in case of leaving the pledge holder retains the securities with himself).

3.13.12. Cancellation of encumbrance of securities due to levy of execution to subject of pledge out-of-court by way of sale under commission agreement concluded between the pledge holder and commissioner is implemented basing on the following documents:

- commission agreement concluded between the pledge holder and commissioner (the original or notarized copy);
- the contract of purchase and sale of the pledged securities concluded by the commissioner with the purchaser of securities (the original or notarized copy);

3.13.13. Cancellation of encumbrance of securities due to levy of execution to subject of pledge out-of-court by way of sale to the third party is implemented basing on the following documents:

- Agreement on out-of-court levy of execution to the securities concluded between the pledger and the pledge holder (if available – the original or notarized copy);
- the contract of purchase and sale of the pledged securities concluded between the pledge holder/commissioner and the third party (the original or notarized copy);

3.13.14. Cancellation of encumbrance of securities due to levy of execution to subject of pledge by out-of-court procedure by way of entering of the subject of pledge into possession of the pledge holder upon agreement of the parties to the pledge shall be carried out on the basis of the Agreement on Out-of-Court levy of execution to securities concluded between the pledger and pledge holder (if available – original or notarized copy).

3.13.15. In the cases listed in p.p. 3.13.9 - 3.13.14 of the Regulations, custody operations on introduction of the entry on cancellation of pledge are carried out on basis of the Internal instruction drawn up by the Depository made upon receipt of the documents listed in p.p. 3.13.11 - 3.13.13 of the Regulations. The Depository shall have the right to request additional documents to carry out an operation for cancellation of encumbrance by the pledge.

3.13.16. If it is necessary to carry out the custody transaction on debiting the sold securities from the Depositor's securities account to the account of the Purchaser of securities, this transaction shall be carried out on the basis of the Internal instruction drawn up by the Depository.

3.13.17. Incoming documents:

- documents specified in p.p. 3.13.10- 3.13.14 of the Regulations.

3.13.18. Outgoing documents:

- report on execution of custody operation on the securities account (Annex P-21).

### **3.14. Custody operations during implementation of corporate actions**

3.14.1. Depending on the terms and conditions of particular issue of securities and requirements determined by the Issuers, the Issuer's corporate actions shall be performed both unconditionally and in accordance with the decision taken by the securities owners and shall be divided into:

- mandatory (unconditional) corporate actions – actions obligatory for execution by holders of securities and which are implemented on the Issuer's decision or decision of authorized state authorities;
- non mandatory (voluntary) corporate actions – actions which are implemented on the Issuer's decision and are not obligatory for execution by holders of securities.

In such cases, documents received from the Registrar or the Superior Depository, with which

the Depository has established inter-depository relations, the Issuer, and/or the Instruction submitted by the securities owner for participation in the Issuer's corporate action, shall be the basis for carrying out Custody transactions in the Depository.

The list of corporate actions, according to Federal Law No. 208-FZ dated 26.12.1995 "On Joint-Stock Companies" realization of the rights of owners exclusively through the Depository is provided for Depositors of the Depository:

- Priority right to acquire securities (cl.40 of FZ "On Joint-Stock Companies");
- Acquisition by a company of securities (cl.72 of FZ "On Joint-Stock Companies");
- Purchase of shares by a company at the demand of shareholders (cl.75 of FZ "On Joint-Stock Companies");
- Voluntary offer to acquire shares (cl.84.1. of FZ "On Joint-Stock Companies");
  
- Obligatory offer to acquire the shares (cl.84.2. of FZ "On Joint-Stock Companies");
- Mandatory Repurchase of shares upon request of holder of over 95 % of shares (cl.84.8. of FZ "On Joint-Stock Companies");
- Redemption of securities.

3.14.2. If the securities which participate of the corporate action are recorded on the Depositor's Trading Account the Depositor prior to submission of the Instruction for Participation in the Corporate Action shall submit the Instruction (in the form of the Annex to the Regulations) and transfer the said securities to the securities main account.

3.14.3. The Depository upon receipt of the notice of the forthcoming corporate action from the Superior depository or Registrar shall send to the Depositors entitled to participate in the corporate action information by posting a communication in the Personal cabinet and/or by sending a message to the e-mail address specified in the Depositor's questionnaire and/or post the information on the Site.

3.14.4. If for the purpose to carry out transactions under the Corporate actions, it is necessary to restrict the right to dispose of the securities (if this is provided for by the legislation of the Russian Federation, other regulations thereunder or by the Issuer's decision), such restriction may be carried out by the Depository without additional Depositor's instruction on the relevant main securities Accounts. In cases where for the purpose to participate in Corporate actions the Depositor shall submit Instruction to participate in the corporate action, such Instruction shall be deemed as the directive to limit the right to dispose of the securities.

#### 3.14.5. Securities Conversion

3.14.5.1. Securities conversion custody operation includes activity of the Depository related to exchange (depositing, withdrawal) on Securities Accounts of securities of one Issue for securities of another Issue in accordance with the ratio provided.

- Conversion may be effected:
  - in relation to securities of one Issuer issuing securities subject to further conversion into other securities of the same Issuer;
  - in relation to securities of different issuers, upon reorganization of the issuers (merger, consolidation, etc.).
  - both mandatory and voluntary performed solely in relation to securities whose owners consented to the conversion.

When the entire Issue of securities in circulation is converted, the Depository must perform the conversion operation in respect of all the Depositors possessing securities of that Issue on their Securities Accounts within the terms defined by the Issuer's decision.

If the conversion is performed at the Depositor's request, the Depository shall make the appropriate entries into Securities Accounts only in relation to this particular Depositor either within terms defined by the Issuer's decision, or within 3 (three) business days of obtaining all the required documents from a Registrar or Superior Depository.

#### 3.14.6. Redemption (Invalidation) of securities.

3.14.6.1. Corporate action for redemption (invalidation) of securities including for redemption

of bonds on Owners' request shall mean withdrawal action of the Depository for redemption of securities of a redeemed (invalidated) Issue from Depositors' Securities Accounts.

3.14.6.2. Redemption (invalidation) of securities is performed in the following cases:

- winding up of the Issuer;
- decision taken by the Issuer to invalidate or redeem the securities;
- decision taken by the Bank of Russia to deem the securities Issue void;
- annulment of securities Issue through legal action;
- other instances as provided for in the RF legislation and regulations thereunder.

3.14.6.3. When performing the Corporate action for redemption (cancellation) of securities, the Depository shall restrict the right to dispose of securities through the Depositor's securities account. If the Depository performs the Corporate action at the request of the Owner, the basis for the Corporate action shall be, among other things, the Instruction to participate in the Corporate action submitted by the Depositor to the Depository (in the form of an Annex to the Regulations).

3.14.6.4. Redemption (invalidation) of securities is performed by the Depository upon submission of respective documents received from the Issuer, Registrar or from other official sources

3.14.6.5. Where the issue prospectus provides for the procedure of early redemption of bonds in the amount smaller than the volume of the issue the Depository when performing this transaction shall reflect it as debiting of securities from the Depositor's securities account without performing the issue redemption (invalidation) procedure.

3.14.6.6. The terms of the securities issue, the Issuer's resolution and in other cases, may provide for the need of declaration of the Owner's intent to perform the Corporate action of redemption of securities (bonds):

- by submission of application (request) directly to the Issuer from the Depositor (in this case the Depositor is obliged to submit the application to the Issuer independently, having attached all necessary documents);

- by submission of application (request) through “IC “FINPROINVEST” LLC (within the frame of concluded Agreement for broker service/Agreement for maintenance of individual investment account);

- by submission of application (request) to the Depository (in this case, the Depositor should submit the Instruction or for participation in the corporate action within the period set by the terms and conditions).

3.14.6.7. The Depository shall lift restrictions on dealing in securities through the securities account in following cases:

- in case the entry on transfer of the right of title to the securities is introduced according the procedure set forth by this Regulations;

- on the basis of the Notice submitted by the Owner on cancellation of the instruction (according the form of the Annex to the Regulations) and receiving confirmation of cancellation by the Depository from Superior depository (in this case the Notice about cancellation of the instruction shall also be deemed as Depositor's instruction for lifting restriction on dealing with the securities);

- on the basis of the report, the letter or other similar document of Superior depository for implementation of lifting restrictions on dealing with the securities in case of non-execution by the Issuer or the offer or of its obligations on Corporate actions);

- other cases set forth by the Regulations.

3.14.7. Consolidation and division of securities.

3.14.7.1. Custody operation consisting in dividing or consolidating securities is an operation whereby the Depository decreases (increases) the par value of securities of a certain securities issue. In this case all the securities of that issue are converted based on a set ratio into securities of the same kind of the same Issuer with a new par value.

3.14.7.2. Consolidating or dividing securities shall be implemented in compliance with clause 74 of Federal Law "On Joint-Stock Companies") from 26.12.1995 no. 208-FZ (hereinafter – “JSC Law”);

3.14.7.3. The Depository shall make changes to entries in securities accounts in strict compliance with the division or consolidation decision and the duly registered decision on a new issue of the issuer's securities (issue prospectus) within the time limits defined by Issuer's decision.



### 3.14.8. Pre-emptive right to acquire securities

#### 3.14.8.1. Realization by the Depositor of

the priority right to acquire additional shares and issue securities convertible into shares, floated by public subscription, in proportion to the number of the shares of this category (type) they own shall be effected by the Depository according the procedure established by clauses 40 and 41 of JSC Law.

3.14.8.2. The Depositors (Owners of Securities) who have a pre-emptive right to acquire securities to exercise this right may submit to the Depository an Instruction to participate in the corporate action (in the form of an Annex to the Regulations). The Depositor should submit the said Instruction within a reasonable time necessary for the Depository to perform the required actions.

3.14.8.3. The Depositors to whom the Accounts of nominal holders and Accounts of foreign nominal holders are opened when issuing the Instruction for participation in the corporate action shall indicate in the interests of which of their clients they submit specified Instruction as well as provide data about such clients according to the form of Annex 7 to the Regulations.

3.14.8.4. The Depository in executing the Depositor's Instruction shall submit the information to the Superior Depository or Registrar on the intent of the Securities Owner.

3.14.8.5. In the event that the Issuer satisfied the request of the Depositor, the Depository shall reflect crediting of the securities acquired by the Depositor within the framework of realization of the priority right on the Securities Account.

#### 3.14.9. Repurchase of securities by the Company on request of shareholders.

3.14.9.1. Repurchase of securities by the Company on request of shareholders and realization by the Depositor of the right to request from the company to repurchase the securities are implemented according to clauses 75 and 76 of JSC Law.

3.14.9.2. The Depositors (Owners of Securities) who have a right to request from the company to repurchase the securities to realize this right may submit to the Depository an Instruction to participate in the corporate action (in the form of an Annex to the Regulations). The Depositor should submit the said Instruction within a reasonable time necessary for the Depository to perform the required actions.

3.14.9.3. When executing the Instruction to participate in the corporate action the Depository shall limit the right to dispose of repurchased securities on the Depositor's securities Account.

3.14.9.4. The Depository in executing the Depositor's Instruction shall submit the information to the Superior Depository or Registrar on the intent of the Securities Owner.

3.14.9.5. The Depositors to whom the Accounts of nominal holders and Accounts of foreign nominal holders are opened when issuing the Instruction for participation in the corporate action shall indicate in the interests of which of their clients they submit specified Instruction as well as provide data about such clients.

3.14.9.6. The Depository may deny to the Depositor execution of the Instruction to participate in corporate action in following instances:

- the details in the Instruction to participate in corporate action do not match the details contained in the documents presented to the Depository;
- the number of shares specified in the Instruction to participate in corporate action do not match the details of custody account;
- any encumbrances exist in respect of the shares to be redeemed;
- in other instances provided for by the Regulations.

3.14.9.7. The entry on removing restrictions on disposal of securities that are subject to redemption without the Depositor's order (Instruction) for the securities account whereof such restriction has been imposed shall be made basing on the grounds as provided for in clause 76 of JSC Law.

3.14.9.8. Provided that the Issuer has satisfied the Depositor's request, the Depository shall reflect debiting the securities redeemed by the Issuer within the frame of exercising the preemptive right to demand from the Company redeeming the securities in accordance with Article 75 of JSC Law.

#### 3.14.10. Acquisition by a Company of Issued Stock

3.14.10.1. Acquisition by a Company of Issued Stock shall be implemented according to

clause 72 of JSC Law and shall be effected by the Depository according procedure established by p. 3.14.8. of this clause of the Regulations.

3.14.11. Voluntary offer to acquire over 30 per cent of shares of public joint stock company.

3.14.11. 1. Voluntary offer to acquire over 30 per cent of shares of public joint stock company (hereinafter – “Voluntary offer to acquire shares of public joint stock company”) shall be implemented according to clause 84.1 of JSC Law and shall be effected by the Depository according procedure established by p. 10 of this clause of the Regulations.

3.14.12. Obligatory Offer to Acquire the Stocks of public joint stock company, as Well as Other Issuable Securities Convertible into Stocks of the public joint stock company.

3.14.12.1. Obligatory Offer to Acquire the Stocks of public joint stock company, as Well as Other Issuable Securities Convertible into Stocks of the public joint stock company (hereinafter – “Obligatory Offer to Acquire the Stocks”) shall be implemented according to clause 84.2 of JSC Law and shall be effected by the Depository according procedure established by p. 10 of this clause of the Regulations.

3.14.13. Repurchase of securities of a public joint stock company upon request of a person that has acquired over 95 per cent of the open public joint stock company's stocks

3.14.13.1. Repurchase of securities of a public joint stock company upon request of a person that has acquired over 95 per cent of the open public joint stock company's stocks shall be implemented according to clause 84.8. of JSC Law and shall mean implementation by the Depository of the actions for imposing/removing restrictions on disposal of securities that are subject to redemption on the Securities account as well as implementation of custody transactions of debiting such securities to personal account of a person that has acquired over 95 % of the open public joint stock company's stocks opened in the Register of owners of personal securities or to securities account in the depository.

3.14.13.2. The above-mentioned Custody operations shall be carried out by the Depository upon receipt of the relevant report from the Superior Depository/Registrar (on the execution of the operation).

3.14.13.3. In case of discrepancy of the information in the report of the Superior Depository/Registrar with the information of custody accounting, the Depository shall have the right to suspend the transactions until the discrepancy is eliminated.

3.14.13.4. The entry on removing restrictions on disposal of securities that are subject to redemption without the Depositor's order (Instruction) for the securities account whereof such restriction has been imposed shall be made basing on the grounds as provided for in clause 84.8 of JSC Law.

3.14.13.5. The Depository has the right to request from the Superior Depository/Registrar a certificate (other document) confirming the movement of redeemable securities through the account of the Depository's custody account (nominee holder account). In such case, the period of implementation of the custody operation shall be extended for the period of submitting the requested document from the Superior depository/Registrar.

3.14.14. Consolidation of additionally issued securities

3.14.14.1. Consolidation of additionally issued securities represents actions of the Depository on debiting from securities accounts the securities with cancelled state registration numbers and crediting such securities to securities accounts with unified state registration number.

3.14.14.2. Operation on consolidation of additionally issued securities shall be performed on basis of the notice to the Registrar or the Superior Depository (of the place of safekeeping). The Depository shall perform operations for consolidation of additionally issued securities so as to retain in the custody accounting system and on Depositors' accounts the information on accounting of securities and custody operations in relation thereof prior to consolidation of the issues.

3.14.15. Cancellation of Unique Numbers (Codes) of Additional Issues of Securities.

3.14.15.1. Operation on cancellation of unique numbers (codes) of additional issues of issue—

grade securities represents actions of the Depository on debiting from securities accounts the securities of cancelled issues and crediting such securities to securities account which have the state registration number of the issue in relation to which such issue is additional.

3.14.15.2. The Depository shall ensure that performing the operation on cancellation of the code of an additional issue so that the Company would retain in the custody records system and on Depositors' accounts all records in respect of accounting of the securities of such additional issue and of the custody operations in relation to them that existed prior to the cancellation of the individual numbers (codes) of such additional issues of securities.

3.14.16. Crediting additional securities.

3.14.16.1. Transaction for crediting additional securities represents the Depository's action of crediting in accordance with the Issuer's decision to the securities accounts of the Depositor who has, as of the date specified by the Issuer, the Issuer's securities on the securities accounts, proportionally to which crediting of additional securities of a new issue shall be performed.

3.14.16.2. Performing of the transaction on the Securities account shall be in strict accordance with the Issuer's decision on distribution of additional securities of the new issue, the Issuer's instructions on the procedure and stages of performance of distribution, the statement of the Registrar or other depository.

3.14.16.3. In case of discrepancy of depository accounting data with the actual credited amount of additional securities, the Depository shall not carry out the transaction until the final settlement of the disputable situation.

### **3.15. Crediting and Payment of Income in the form of Securities.**

3.15.1. Custody operation for crediting of income in the form of securities in compliance with the Issuer's decision regarding the payment of income in the form of this or other securities.

3.15.2. The grounds for custody operation for crediting of income in the form of securities are an Issuer's decision of payment of income in the form of securities, a notice by the register keeper of executed operation on the income in the form of securities credited to the personal account (securities account or securities subaccount) of the

Depository as a nominee holder or a report regarding the crediting of income in the form of securities to the Depository's nominee securities account with another depository and in case of crediting of income in the form of securities on foreign securities – Depositor's written direction on such crediting.

3.15.3. If the depositor, in favor of whom the income on securities was received, is a client of LLC "IC "FINPROINVEST" under a brokerage service agreement, the income received in favor of the depositor, expressed in foreign currency, in which LLC "IC "FINPROINVEST" makes settlements on transactions are not subject to conversion into rubles and are transferred to special depository accounts of LLC "IC "FINPROINVEST" for further transfer to special brokerage accounts. If income on securities denominated in foreign currency, in which LLC "IC "FINPROINVEST" does not settle transactions, are subject to conversion into rubles.

3.15.4. Incoming documents:

- Issuer's decision/notice to the registrar/report of other depository on executed operation;
- Depositor's written direction on crediting of income in the form of securities (if crediting of income on foreign securities).

Outgoing documents:

- report on operations on securities account over the period (Annex P-20).

### **3.16. Operations with investment units**

3.16.1. Custody operations with investment units shall be carried out by the Depository on the basis of the Instruction for exchange/redemption of investment units (as provided by the form in Annex to the Regulations);

3.16.2. The custody operation on redemption of investment units of the unit investment fund represents submission of the application for redemption of investment units to the managing company of the respective unit investment fund in the register of shareholders or through the Superior depository (as a general rule the Non-banking financial company NSD JSC). Withdrawal of investment units from the Securities Account is carried out on the basis of the results of carrying out in the Register of Owners of Investment Units of the operation on their redemption.

3.16.3. In case of redemption of investment units through Non-banking financial company NSD JSC when completing of the Instruction for redemption of investment units the Depositor shall indicate the full name of the managing company of the fund and its registration details. Simultaneously with the Instruction for redemption of investment units, the Depositor is obliged to provide the broker report reflecting transactions on acquisition of these units.

3.16.4. A custody operation for exchange of the units of the open (interval) unit investment fund represents submission to the managing company of the respective unit investment fund of a letter of request for exchange of investment units of the open (interval) unit investment fund to investment units of another open (interval) unit investment fund being under trust management of the same managing company. Withdrawal and crediting of investment units shall be carried out on the basis of the results of relevant operations carried out in the Register of Owners of Investment units.

### **3.17. Digital Rights Accounting**

3.17.1. A depository agreement may stipulate the obligation of the depository to record digital rights transferred to him by the depositor or the person indicated by the depositor by crediting such digital rights to the securities account opened with the depositor. In this case, the owner of the digital right is the person whose depot account has been recorded. Unless otherwise provided by federal laws, the depository, at the direction of the depositor, exercises the digital rights of the latter, disposes of them, transfers them to the security deposit or establishes their encumbrance by other means in the information system without contacting a third party.

3.17.2. Digital rights owned by depositors are recorded in the information system separately from digital rights owned by this depository.

3.17.3. To account for digital rights, depositories may open owner custody accounts. On such depot accounts, digital rights cannot be transferred, encumbered and limited in their disposal.

3.17.4. The digital rights of the depositor, which are recorded on his securities account, are confirmed by the statement of the depository.

3.17.5. The digital rights of a depositor, which are recorded on its securities account, cannot be levied on debts of a depository.

3.17.6. At the request of the owner of the digital right, the depository is obliged to provide digital right at his disposal or at the disposal of the person indicated by him in the information system, about which a record should be made on the account of the holder of the digital right. In this case, the depository must debit such digital right from the custody account of the specified depositor.

3.17.7. The number of digital rights recorded by the depository in the custody accounts and the account of unidentified persons must be equal to the number of specified digital rights that the depository has the ability to manage in the information system and which are isolated from digital rights owned by the depository.

3.17.8. Reconciliation of the number of digital rights provided for in clause 8 of this article shall be carried out by the depository every business day.

3.17.9. In the event of the transfer in the information system of digital rights recorded in the custody account, such rights shall be debited from the specified account in accordance with the terms of the depository activity on the day when the depository knew or should have learned about this circumstance. The depository shall be liable for losses incurred by the depositor as a result of the unlawful disposal of his digital right recorded in the custody account. The liability of the depository may be limited by the contract if losses are caused to the depositor due to unlawful actions of third parties.

### **3.18. Information Operations.**

3.18.1. The Depository shall carry out the Information Operations by submitting the Reporting Documents as a result of the execution of the Custody Operations, the Reporting Documents on the status of the Depositor's Securities accounts and the information materials.

3.18.2. The basis for carrying out the Information Operation shall be execution of the Custody Operation, receipt from the Depositor of a Request for provision of documents (as provided by the form in Annex to the Regulations); as well as requests from authorized entities. The basis for providing information to the Depositor (information materials) is the Issuer's Corporate Actions which relate to the Depositors securities and concern their rights in respect of securities.

3.18.3. The time limits for carrying out of the Information operation based on the results of execution of the Custody operations are defined in p. 3.20. of the Regulations.

3.18.4. The Depository shall issue (submit) Reporting Documents as part of the Information Operations according the forms established by the Regulations.

3.18.5. The Depositor shall have the right to change time limits for carrying out of the Information operations (time limits of submission of reports and statements) by submitting to the Depository the Instruction for changing the time limits of receipt of reporting documents (as provided by the form in Annex to the Regulations);

3.18.6. Following the results of execution of the Custody operation for the Securities Account Opening and/or the Restriction of disposal of the securities the Depository may submit (provide) a duplicate of the Reporting Documents on a non-repayable basis.

3.18.7. If the Custody operation is initiated by an authorized governmental body, the Reporting Documents on Custody operation shall be provided to it in hard copy by ordinary post to the address of the government body known to the Depository from external sources or from the request.

3.18.8. The basis for providing information to the Depositor is the Information Request (as provided by the form in Annex to the Regulations);

3.18.9. In execution of the Information Request, the Depository shall provide the following Reporting Documents:

- Statement of securities account ((Annex P-19);
- Report of custody operations performed during a period on the relevant security (Annex P-20);
- Report of custody operations performed during the day (Annex P-21);
- Report of custody operations performed during a period (Annex P-22).

The Reporting Documents shall be provided by the Depository to the Depositors only upon completion of all Custody operations on the Securities Accounts made on the current Operational day.

### **3.19. Corrective entries on securities accounts.**

3.19.1. The records on the securities accounts on which the rights to securities are accounted, shall, from the moment of their entry, be final, that is, may not be changed or cancelled by the Depository, unless such entry is made:

- without Depositor's Instruction (order);
- with violation of the terms included in the Depositor's instruction (order) or other document.

3.19.2. Should an error be identified in an entry that permits correction and provided that a report on the executed operation (Executed Operation Report) containing erroneous data has not been issued to the Depositor, the Depository may make corrective entries on the relevant account (accounts) as needed to eliminate the error basing on the Depository's instruction.

3.19.3. In case of detection of errors in the record, correction of which is permitted, in cases not provided for in p. 3.19.2 of this Regulation the Depository may make any corrective entries to eliminate errors solely with the consent of the Depositor or any other person upon whose Instruction or request corrective entries may be made in compliance with the applicable federal laws or a contract.

3.19.4. In case the number of securities recorded by the Depository in the securities accounts on which the rights to securities are accounted and on the account of unidentified persons turned out to be more than the number of the same securities recorded on the securities accounts of the nominee opened for the Depository and on the accounts opened to it by a foreign organization which carries out accounting of rights to securities as

for a person acting for the benefit of other persons the Depository shall withdraw, on the basis of the Internal instruction from the securities accounts on which the rights to securities are accounted and from the account of the unidentified persons, securities in an amount equal to exceeding of the total number of such securities on its securities nominee accounts and on the accounts opened to it by a foreign organization which carries out accounting of rights to securities as for a person acting for the benefit of other persons within a period not exceeding one working day from the date on which the above-mentioned excess was revealed or should have been detected. In this case entry by the Depository of records on the securities accounts opened with it and the on the account of unidentified persons in respect of securities on which there is an excess, from the date on which the excess of securities was revealed or had to be revealed, until the moment of withdrawal of securities in accordance with this paragraph is not allowed, except for records entered for the purpose of carrying out such withdrawal.

The Depository shall, at its option, ensure that the same securities are credited to the securities accounts and to the account of unidentified persons from which withdrawal of the securities have been performed in accordance with this paragraph in the amount of securities withdrawn from the respective accounts, or shall indemnify the losses caused to the Depositors. In this case the time of such crediting shall be defined by taking into account the requirements of regulations of federal executive authority for securities market.

3.19.5. The Depository shall be relieved of execution of the obligations provided for in the second subparagraph of p. 3.19.4 of this Regulations if the withdrawal of the securities was caused by the actions of another depository (a foreign organization that records the rights to the securities as for a person acting for the benefit of other persons), which Client the Depository has become in accordance with the Depository's written direction.

3.19.6. The basis of the corrective record on the securities accounts constitute the documents provided for by the current legislation and these regulations.

3.19.7. The Depositors are obliged to implement the necessary actions on their part, including to provide the relevant documents on occurrence of reasonable necessity to make correction records.

### **3.20. Time Limits for Execution of custody operations**

Time limits for execution of an operation shall commence on the date when the Depository is provided with all necessary documents required to execute the transaction.

3.20.1. Where an instruction for custody operation accompanied by all necessary documents is submitted to the Depository before 17:00 pm in hard copy, all applicable terms and conditions for the execution of the transaction are complied with, and provided that the then current day is indicated as the date when the order is to be executed, the following operations shall be performed on the same day:

- Registration of / making changes to questionnaires;
- Debiting and crediting securities within the depository (transfer);
- Seizure of securities or release from seizure, provided that a decision issued by a competent authority is available;
- Registration of a pledge over securities;
- Correction of erroneous transactions (unless any reason exists preventing such correction);
- Provision of reports/statements upon an information request;
- Opening a securities sub-account;
- Closing a securities sub-account.

3.20.2. A securities account / an account not intended to keep records of rights to securities shall be opened within two business days following the date when the Depositor submitted all necessary documents required by the Regulations, and provided that both parties have signed the Agreement.

3.20.3. A securities account / an account not intended to record rights to securities shall be closed no later than the business day next to the date when all necessary documents were submitted, subject to compliance with all terms and conditions to be complied with for the purpose of closing a securities account / an account not intended to record rights to securities in accordance with the

Agreement.

3.20.4. Administrative blocking/release shall be performed no later than the business day next to the registration date of the relevant internal instruction issued on the basis of a decision of the Depository's management stating the reason for such blocking/release.

3.20.5. Pending instructions shall be cancelled no later than the business day next to the date when the cancellation Instruction was submitted provided that the cancellation Instruction was submitted before the commencement of execution of the Instruction to be cancelled, or before the execution stage when the Instruction cancellation is possible.

3.20.6. Crediting securities to securities account shall be carried by the Depository within the following time frames:

- crediting securities to securities account or an unidentified party account: no later than the next business day after the receipt by the Depository of a document confirming the crediting of the relevant securities to the depository account opened for Depository;

- crediting securities to securities account of Depositors and Depositors' account of collateral securities shall be carried on the day and as on the date of crediting securities to respective accounts if such crediting is carried in connection with crediting securities to Depository's account;

- when crediting securities to Depository's account due to their withdrawal from the other Depository's account crediting of said securities to securities account of Depositors or to Depositors' account of collateral securities shall be carried out not later than the on the business day following the day of receipt by the Depository of the document confirming crediting securities to Depository's account;

- crediting the deed of pledge to the securities account is carried out by the Depository not later than the business day following the day of the later of the following events: occurrence of the basis for crediting the deed of pledge to the securities account or transfer of the deed of pledge to the Depository for its custody accounting;

If the balance of securities recorded in the account of the Depository remains unchanged, the securities shall be credited to the securities account no later than the business day following the date of occurrence of later of the following events:

- accrual of the grounds for crediting securities to securities account;

- accrual of the grounds for withdrawal of securities to from the other security account or other account opened by the Depository for accounting of securities;

- crediting by the Depository of the deed of pledge withdrawn from the other securities account opened in the Depository.

3.20.7. Operation of withdrawal of securities from the securities account is carried out not later than the business day following the day of receipt of the notice (statement, report) from the holder of the register, other depository, foreign depository or receipt from the Depositor (issue to the Depositor) of documentary securities.

If the balance of securities recorded in the account of the Depository remains unchanged, the securities shall be withdrawn from the securities account no later than the business day following the date of occurrence of later of the following events:

- accrual of the grounds for withdrawal of securities from securities account;

- accrual of the grounds for crediting of securities to the other security account opened by the Depository;

- withdrawal by the Depository from the securities account of the deed of pledge credited to the other securities account opened in the Depository.

Withdrawal of the deed of pledge from the securities custody account at termination of its accounting is carried out not later than the business day following the day date of occurrence of later of the following events:

- accrual of the grounds for withdrawal of the deed of pledge from securities account;

- accrual of the grounds for transfer of the deed of pledge to its owner as a result of termination of its custody accounting by the depository.

Terms of execution of the transaction on withdrawal of securities from the account of unidentified persons are specified in p. 3.9.9. of the Regulations.

3.20.8. The operation of relocation of the securities shall be carried out no later than the busi-

ness day following the day of the receipt (statement, report) from the holder of the securities, other depository, foreign depository or receipt of documentary securities from the Depositor (issue to the Depositor).

3.20.9. Where for the purpose of execution of the Instruction, the Depository or the Depositor need to take any further steps (such as to open a nominee holder account, or enter into a securities account agreement, or receive further information and/or documents, etc.), the Depository may extend the time limits prescribed for execution of the relevant transaction by giving notice to that effect to the Client upon acceptance of the Instruction.

3.20.10. Depository operations related to the following corporate actions shall be executed within the time limits required by the Russian Federation laws or issuance documents, or specified by the issuer (an issuer's authorized representative or a keeper of the register of securities owners), or set forth by an agreement entered into with the issuer (provided that such time limits may be extended if such extension is required due to the nature of the corporate action and/or due to the Depository's need to execute a large number of depository operations):

– drawing up a list of clients/securities owners – no later than the date when the list is provided in accordance with the applicable regulations;

– conversion/swap;

– distribution of additional securities;

– redemption (cancellation) of a securities issue.

In this case such transactions as conversion, distribution of additional securities, or redemption (cancellation) of a securities issue shall only be executed upon the receipt of a register keeper's (another depository's) notice (report or statement) stating that the account of the Depository as a nominee holder has been credited/debited with the necessary number of securities. If, as at the record date, the details recorded by the Depository (regarding the total number of securities of the relevant issue in the active account of certain custody place, as being equal to the sum of securities in the Depositors' passive accounts) does not match the details recorded by the register keeper (other depository) (regarding the balance of securities as per the register keeper's (other depository's) account statement) due to the time gap between execution of the operation by the register keeper (other depository) and by the Depository, such operation shall be executed upon resolving such discrepancies.

Operations of consolidation of additional issues of securities and cancellation of the individual number (code) of an additional securities issue and consolidation of securities of such additional issue with the securities of the issue with relation to which they are considered additional shall be executed within the time limits required by the applicable regulations of the Bank of Russia.

When executing an operation in a register of securities owners through individual account of a nominee of central depository operations in the Depository shall be executed provided that a register keeper's notice is available and reconciliation of the entries by the registrar and the Depository confirmed.

3.20.11. The day of execution of the custody Transaction by the Depository, the basis for which is the report of the registrar/superior depository shall be the operational day specified in the report of the registrar/superior depository.

## **4. ASSISTANCE TO DEPOSITORS TO EXERCISE THE RIGHT ATTACHED TO THE SECURITIES.**

### **4.1. Services providing assistance to Depositors to Exercise the Right Attached to participation in shareholders corporate governance.**

4.1.1. The Depository provides to Depositors assistance in safeguard of the Depositors' rights for participation in shareholder corporate governance including but not limited to the specified below the list as follows:

– possibility of personal participation of a shareholder in the Issuer's shareholders' meeting by means of timely provision to the issuer or the issuer's authorized person of information on Owners of relevant securities;

– promptly informing Depositors on the time schedule of holding shareholders' meeting;

– possibility of delegation of the rights for participation in shareholders' meeting to the



Depository's Representative (on the basis of the power of attorney issued by the Depositor to the Depository's official for participation in shareholders' meeting and as directed by the Depositor on the voting procedure);

- introduction of suggestions on formation of the agenda of shareholders' meeting;
- recommending candidatures in the composition of the Issuer's board of directors and/or the auditing commission of the Issuer;
- obtaining information on the issuer (the Issuer's statutory documents, protocols of meetings of the Issuer's Board of Directors, bookkeeping materials, resolutions of general shareholder meetings and other documents which presentation to a shareholder is stipulated by current legislation of the Russian Federation);
- obtaining the list of persons registered with the Issuer in cases stipulated by the RF current legislation);

4.1.2. The sources of information on shareholders' meetings for the Depository are information from issuers, registrars, depositaries - correspondents, mass media (news of information agencies, etc.), as well as databases of disclosure of information about Issuers.

4.1.3. The Depository shall not be liable to the Depositor for failure to provide information on the shareholders' meeting if the issuer, its Authorized representative, depository- correspondent or registrar, in their turn, failed to provide the above information to the Depository's address.

4.1.4 In cases stipulated by the RF current legislation as of the date specified in the Depository's request, a nominee holder shall submit a list containing details as follows:

- of its depositors subject to be included in the list entitled to exercise rights attached to the securities including information related to founders of trust management, presented by the trust manager in cases stipulated by the legislation of the Russian Federation;
- of persons subject to be included in the list entitled to exercise rights attached to the securities obtained by nominee from its depositors;
- of the quantity of the securities owned by the persons included in the list and of the number of the securities of the foreign Issuer entitled to exercise rights attached to the securities with indication of the states which tax residents are the persons included in the list;
- about existence of reliefs related to taxation of income from securities according to the tax legislation of the Russian Federation and international treaties with indication of the bases for application of the specified reliefs;
- other information according to the requirements established by federal laws and normative legal acts of federal executive authority on securities market.

In addition to the list specified in this paragraph, the nominee shall provide information on the nominees, on foreign nominees who have not provided the information to be included in the list, as well as on securities recorded by the nominees in the accounts of unidentified persons.

4.1.5 Disclosure of information shall be performed by the Depository by means of preparation and submission to the Authorized Persons of information on Owners of securities in the amount and following procedure provided for by the current legislation of the Russian Federation.

4.1.6 Disclosure of information on Owners of securities in accordance with Article 8.6-1 of the Law "On Securities Market" shall be carried out according following procedure:

- in response to received request from the Issuer/Correspondent Depository the Depository shall draw up a list of Depositors on whose securities accounts the Issuer's securities are recorded as on the date established by the issuer;
- The Depository shall submit to depositaries - Depositors request for providing information on Owners of securities, the rights for which are recorded on securities accounts of the nominee. The request shall be sent by means of electronic communication or by electronic document exchange executed under the electronic document exchange Regulations;
- The Depository shall submit request to provide information about the founders of the trust management, if according the trust management agreement the trust manager is not authorized to exercise the right to vote at the general meeting of the owners of securities, including the general meeting of shareholders, the general meeting of the owners of investment units, the general meeting of the owners of hypothecation certificates. The request shall be sent by means of electronic communication or by electronic document exchange if this method of documents exchange is provided for in the agreements signed with the Depositor;

–The Depository shall submit request to the organizations to which the securities accounts of foreign nominee were opened. The request shall be sent by means of electronic communication or by electronic document ex-change if this method of documents exchange is provided for in the agreements signed with the Depositor;

– within two business days from the date of receipt of the request, unless a different date is specified in the request, the depository-Depositor, the Trust manager and the foreign nominee shall submit to the Depository a list of holders of securities, the rights to which are recorded on the securities accounts of the depot of the nominee of the depository-Depositor, in the accounts of the trust manager and on the securities accounts of the of the foreign nominee.

4.1.7 The list of owners of securities, the rights to which are recorded on the securities accounts of nominee of the depository-Depositor, on the accounts of the trust manager and on the securities accounts of the foreign nominee shall be prepared as on the date specified in the request and contain the LEI code, as well as the information on the Owners of Securities specified in the request.

4.1.8 The list of securities owners the rights to which are recorded on the securities accounts of nominee of the depository-Depositor, on the accounts of the trust manager and on the securities accounts of the foreign nominee shall be submitted to the Depository with the signature of the persons specified in the Specimen Signature Card of the of the depository-Depositor, the Trust Manager and the Foreign Organization - the nominee. The list of securities owners the rights to which are recorded on the securities accounts of nominee of the depository-Depositor, on the accounts of the trust manager and on the securities accounts of the foreign nominee in electronic form, compiled in xls format (or in xml format according the form disclosed on the official site of Non-banking financial company NSD JSC), is provided if the specified requirement is contained in the request. The list of owners of securities, if provided in electronic form, must be duplicated (re-submitted) by the nominee, the depository-Depositor, the trust manager and the foreign nominee in paper form within 30 calendar days following the day of submission of the list in electronic form.

4.1.9. Disclosure of information on Owners of securities in accordance with Article 8.7-1 of the Law "On Securities Market" shall be carried out according following procedure:

When disclosing information about Owners of Securities it is necessary to take into account that the date of carrying out the transaction on the depository-Depositor Account as a Nominee Holder, of the Trust manager or on the account of a foreign nominee holder in the register of owners of the registered securities master/ depository-correspondent is considered primary in relation to the date of execution of the Custody Transaction on the nominee securities account of the depository-Depositor, the Trust manager or on the nominee securities account in the Depository.

4.1.10. If as of the date of making a list of securities owners securities were accounted on accounts of the Depository with the securities account as a nominee or on accounts of foreign nominee in the register of owners of registered securities there was account of securities no instruction to credit such securities has been provided from the Depositor's clients – Depository with securities account or foreign nominee by the date of making the list of owners of securities to the Depository with securities account or foreign nominee , the Depository with securities account or foreign nominee shall specify the above mentioned securities in the list of owners to be sent to the Registrar/issuer/correspondent depository as "Securities of unknown owners".

4.1.11. If, by the time of sending by the Depository to the registrar/issuer/ depository-correspondent of the list of securities owners the information on the Owners of securities recorded on the securities accounts of the nominee or on the securities accounts of the foreign nominee from the depository-Depositor or foreign nominee did not arrive, the Depository shall include in the specified list the data on the on the depository-Depositor as on the Issuer's securities nominee or on other nominee.

4.1.12. Upon receipt by the Depository of the information on the Securities owners recorded on the securities accounts of the nominee of the Depository -Depositor or at the securities accounts of the foreign nominee, upon submission of the list of owners of securities of this Issuer has been sent to the registrar/issuer/depository-correspondent, the Depository shall send the received information to the address of said parties within three business days from the moment of their receipt by the Depository.

4.1.13. The Depository shall not be liable for fullness and reliability of the information provided by the Depository-Depositor or the foreign nominee holder on Owners of securities of the nominees accounted on securities accounts of a nominee holder of the Depository-Depositor or securities

accounts of a Foreign nominee holder as well as for its untimely provision to the Depository by the Depository-Depositor or the foreign nominee holder: All liability shall be borne by the Depository - Depositor or a foreign nominee. The Depository shall be held liable only for the timely provision to the registrar/issuer/ depository of information received in a timely manner from the depository-Depositor or the foreign nominee.

4.1.14. Responsibility for breach of the rights of Securities Owners-the clients of the Depository - Depositor or the foreign nominee as a result of provision by the latter of incomplete or unreliable information on Owners of Securities recorded on the securities accounts of the nominee of the Depository-Depositor or at the securities accounts of the foreign nominee, untimely provision of such information as well as failure to provide such information to the Depository shall be borne by the Depository-Depositor or the foreign nominee.

4.1.15. The Depositor shall have the right to submit to the Depository a completed voting bulletin for voting at the shareholders meeting within the period stipulated by the issuer for processing of the ballots sent with the use of the electronic document exchange.

The specified bulletin constitutes is an instruction (direction) for electronic voting for the Depository at shareholders meeting through means of the Depository on behalf of the Depositor or the Person Authorized by the depositor.

The bulletin shall be accepted by the Depository only in the original form (in written form or in hard copy).

#### **4.2. Services providing assistance to depositors to Exercise the Right Attached to Receipt of Income on Securities**

4.2.1. The Depository shall ensure payment of income on securities held on the securities accounts in the Depository by means of crediting and payment of income to the Depositor in the manner specified in these Regulations (with taxes deduction provided for in the current tax legislation of the RF). The Depository is not a withholding agent of the state for purpose of payment of taxes in respect of foreign securities and income received on foreign securities.

In case the Depositor's securities are accounted in the foreign Superior depository (place of safekeeping) with which the Depository has established inter-depository relations, the Depository shall not provide to the Depositor the services related to receipt of income on securities and other payments due to the Owners of Securities, except in cases when the said securities are admitted to public offering and/or public circulation in the Russian Federation.

4.2.2. The depository shall ensure income receipt and distribution in accordance with the procedure and terms defined by the current legislation of the Russian Federation and other by-laws.

4.2.3. Not later than 2 business days from the date of receipt of the relevant request from the Depository unless otherwise specified in the request, the Depositor shall submit to the Depository the list of its clients as well as other information and documents necessary for the Depository to disclose information about the Owners of Securities.

4.2.4. Should the Depositor fail to provide the list of its clients, other information and necessary documents within the period specified in part 3 of this clause of the Regulations, the Depository when forming the list of Depositors for payment of income on securities shall note that the securities recorded in the name of the Depositor are in the latter's nominal holding.

4.2.5. If the Depository has received information on the planned variations of payment on foreign securities, hereby the Depositor requests the Depository to submit a corresponding instruction to the Superior Depository or to a foreign company that provides services on receipt of this payment in o cash form, unless otherwise provided for by the decision on income distribution. This instruction does not apply to relations with the Depositors, who have submitted to the Depository written directions regarding income distribution.

4.2.6. The Depository shall inform the Depositors of the amount and periods of distribution of income on securities, except for foreign securities, the place of storage whereof is a foreign depository or broker.

The Depository informs the Depositor of the transfer of income on securities by sending an information message to the Depositor's e-mail address indicated in the Client's Questionnaire. The information message contains a summary of the payment parameters, as well as the amount of cash received.

4.2.7. Sources of information on distribution of income on securities for the Depository include the following:

- disclosure of information by the Superior Depository in the form of a communication by publication in an information source provided by one of the information agencies;
- disclosure of information by the Superior Depository on own website in Internet;
- provision of information on transfer of distributions on securities intended for qualified investors in the form of messages;
- a communication from the Issuer, the Registrar, the Depository - correspondent, the Issuer's payment agent, the mass information media, as well as a database of disclosure of information about the Issuers with respect to securities without mandatory centralized storage.

4.2.8. As a general rule payment of distributions of income from securities shall be made by the Depository to the accounts requisites specified by the Depositor in the Questionnaire or the requisites specified in the Application for payment of Income and other payments (in the form of Annex P-28 to the Regulations).

4.2.9. Application for payment of Income and other payments (in the form of Annex P-28 to the Regulations) shall be submitted by the Depositor to the Depository by delivery in paper form in the office of the Depository.

4.2.10. The Depositor has the right to submit the Application for payment of distribution of income and other payments separately for different currencies. In this case, the Depository shall pay the distributions of income to the requisites specified by the Depositor for payment of the income received through the relevant securities account, unless otherwise specified in such Application.

4.2.11. The Depositor has the right to alter the previously specified details by submitting a new Application for payment of Income and other payments set forth by this clause of the Regulations.

4.2.12. If by the time of payment of distributions of income from securities which were accounted on securities accounts the Agreement ceased to have effect (cancelled), the Depository shall report to the Depositor about payment and shall request from the Depositor current requisites in the relevant currency to which the payment should be effected.

4.2.13. If by the time of payment of distributions of income from securities the requisites specified by the Depositor for the purpose of receiving payment turned to be out-of-date (bank account closed, currency of income differs from the currency of bank account or there is no possibility to perform payment to the specified account due to other circumstances), the Depository informs the Depositor of payment and requests from the Depositor the current details in the corresponding currency to which the payment is required to be made.

4.2.14. In case of payment to the Depositor of payment of distributions of income from securities of different issuers by non-recurrent amount the Depository's payment order should indicate a separate amount of income on securities of each Issuer.

4.2.15. If another depository is the Depositor (the Depositor with securities account), the due and payable income of clients of such Depositor shall be transferred to bank requisites of the Depositor's special securities account specified in the Application for payment of Income and other payments.

4.2.16. The Depository shall have the right to request from the Depositor provision of additional documents and information necessary for the Depositor to exercise its property rights assigned by securities.

4.2.17. The Depositor shall not be liable before the Depositor:

- for absence, incomplete details and/or lack of information on income on securities without mandatory centralized storage, if such information was not presented or was misrepresented by the Issuer/ the Issuer's payment agent /register holder/ Depository-correspondent;
- for discrepancy between the received and due and payable amounts of distributions of income on securities without mandatory centralized storage, if this discrepancy is caused by the actions of the Issuer/payment agent/register holder/ Depository-correspondent;
- for non-receipt by the Depositor of the due income in case of absence (delayed provision by the Depositor) of the information on alteration of its bank requisites on any kind of securities.

4.2.18. By entering into a depository agreement, the Depositor hereby gives a written instruction to the Depository to enter into a depository (inter-depository) agreement with the Central depository–Non-banking financial company NSD JSC. In this case it is not necessary to send to the Depository any additional (direct) written consent or instruction of the Depositor for conclusion of the above-mentioned agreement.

4.2.19. The Depository is acting as a with-

holding agent for the payment of income on securities issued by Russian entities, recorded on the holders securities accounts or foreign nominees securities accounts, and for which as at the settlement date the Depository has no notification from the owner of the securities account on acquisition of the rights to receive income under the loan or repurchase agreement.

4.2.20. The Depository shall be recognized as a withholding agent in accordance with the legislation of the Russian Federation for the owners securities accounts and the securities accounts of foreign nominal holders and/or foreign authorized holders with relation to the income of the following types of securities:

- for federal government issue grade securities with any date of registration of their issue;
- for government securities of territorial entities of the Russian Federation;
- for the securities of municipal entities of the Russian Federation;
- for issue grade securities issued by Russian Issuers with mandatory centralized storage, state-registered after 01.01.2012;
- for other issue grade securities issued by Russian Issuers (except for issue grade securities with mandatory centralized storage of issues state-registered after 01.01.2012;

4.2.21. The Depository shall perform calculation (with the application of the methodology and rates established by the Tax Code of the Russian Federation), withholding and transfer of the taxes from payments received by the Depositor in cases established by the current legislation of the Russian Federation. The Depository shall make payment of income from securities with deduction of the amount of tax defined in accordance with the applicable tax legislation of the Russian Federation.

Calculation and withholding of tax by a Depository, acting as a withholding agent, in payment of distributions of the income from securities which are recorded on the owner's securities account of a legal entity and an individual – nontax-residents, shall be carried out taking into account tax reliefs, provided that the Client (Depositor) has submitted documents to the Depository in due time (prior to payment of the income) (originals, and where permitted - copies certified by Authorized Persons) confirming existence of such tax reliefs and their actual right to receive the relevant income as the beneficiary owner's right (information about the beneficiary owners (real holders) of income).

In this case, to enable the correct use of standards of the tax law, a reduced withholding tax rate, provisions of the international agreements on avoidance of double taxation, the Depository has the right to request from the Depositor – the non-resident of the Russian Federation, additional documents, and the Depositor is obliged to provide them in the time established in the request.

As a general rule, the Depository as a tax agent shall apply the reduced withholding tax rate and avoidance of double taxation agreement applicable between the Russian Federation and the state of tax residence of the Depositor - a legal entity (non-resident of the Russian Federation), from the date not later than 3 (three) business days following the date of provision by such Depositor of all documents stipulated by the Agreement and the Regulations and/or requested by the Depository (subject to meeting the requirements for certification and translation into Russian).

In case the Depositor being a legal entity (non-RF resident) fails to fulfill or does not properly fulfill its obligations to provide the Depository with Notices on the status of the actual recipient of income (Annex P-38 ) and/or Sheets of the actual recipients of income on Depositors and/or the documents confirming presence of Depositor's or other actual income recipient's the rights for income, the Depository shall not apply a reduced withholding tax rate and the agreement on avoidance of the double taxation acting between the Russian Federation and the state of tax residence of such Depositor.

If the Depository has sufficient grounds to doubt the Information and the documents required for application of the reduced withholding tax rate by the Depository (according to the agreement on avoidance of the double taxation operating between the Russian Federation and the state of tax residence of such Depositor) provided by the Depositor – the legal entity, the Depository has the right not to consider provisions of such agreement on avoidance of double taxation in calculation, deduction and transfer of taxes from income received by the Depositor. In such case, the Depository shall notify the Depositor of the non-application of the reduced withholding tax rate within 3 (three) business days from the date of acceptance of such decision. The preferential tax rate shall not be applied from the moment of submission of such notice.

4.2.22. The Depository is acting as a withholding agent, in payment of distributions of the income from the securities which are recorded on the foreign nominees securities accounts. The said

functions shall be carried out on the basis of consolidated information on individuals and legal entities exercising the rights under such securities or in whose interests the rights under such securities shall be exercised by a trustee manager. Payment of distributions on income from securities recorded on the foreign nominees' securities accounts shall be carried out by the Depository in accordance with the requirements of the current legislation of the Russian Federation on the basis of the provided information and the documents (duly certified copies of the documents) confirming the beneficiary owner of the due and paid income and its rights to reduced withholding tax. In the event that the consolidated information and/or the information confirming tax relief approval shall not be provided or is not provided in full to the Depository, the income on the relevant number of securities shall be subject to tax withholding at special rates of tax legislation of the Russian Federation.

4.2.23. The Depository shall perform taxes calculation and withholding by taking into account the tax status of the Client (Depositor), which shall be determined in accordance with the information specified in the Client's questionnaire, with consideration of additional documents provided to the Depository by the Client (Depositor) for confirmation of its tax status and the right of the beneficial owner, as well as in accordance with the RF Tax Code.

4.2.24. The Clients (Depositors), in case of change of their tax status during the tax period, shall immediately send to the Depository the Client's questionnaire, as well as documents confirming their rights and tax status. Depositories - non- RF residents are obliged annually, no later than January 30<sup>th</sup> of the year, to provide certificates of tax residency, confirmation of the actual right to income and update information in the questionnaire, as well as in case of changes, to submit confirmation documents. Change of the Client's (Depositor's) tax status in the Depository shall be determined not later than 3 (three) business days after receipt of documents.

4.2.25. The Depository in the process of calculation and withholding of taxes until the moment of submission of documents confirming the change of the Client's (Depositor's, beneficiary's of income) tax status shall be guided by the information on the Client's (Depositor's, beneficiary's of income) status specified in the Client's questionnaire.

4.2.26. In case of absence of information on the Client's tax status in the Client's questionnaire, the Depository shall determine the Client's (Depositor's) tax status in accordance with the documents submitted by the Client (Depositor) at conclusion of the Agreement.

4.2.27. The Depository shall reserve the right to submit additional requirements for provision of documents confirming the Clients' (Depositors') or actual owners' tax status (indicating them in the requests sent to the Client (Depositor) for provision of documents within the specified period). In case due to Client's (Depositor's) late submission of documents the arrears in payment of taxes shall occur, the Depository reserves the right to recalculate the taxable base and deduct tax amounts from any amounts of funds received in favor of the Clients (Depositors) during the tax period.

4.2.28. If it turns impossible to collect taxes from Clients (Depositors), the Depository shall notify the Client (Deponent) and the tax authorities of the Russian Federation of this fact in accordance with the RF Tax Code.

4.2.29. The Depository is not a withholding agent in respect of payments (transfers) to the Clients (Depositors) of amounts received as a result of repayment of the nominal value of securities with mandatory centralized payment.

4.2.30. In order to avoid double taxation, as well as for the purpose of obtaining tax exemptions, the Clients (Depositors) shall provide to the Depository well ahead of time (prior to withholding tax amounts by the Depository) confirming documents (originals or notarized copies), on the basis of which they in accordance with the legislation of the Russian Federation, shall be granted exemption from tax payments or reduced withholding tax preference. In the case where the Depository acts as a withholding tax agent for securities with mandatory centralized storage and Clients (Depositories) have not provided the necessary confirming documents at the time of withholding of taxes by the Depository and in case of excessive withholding of taxes from the Clients (Depositors), due to late provision by the Clients (Deponents) of information confirming their tax status or its change, subsequent actions on return of the amounts of excessively withheld taxes, the Client (Depositor) shall carry out in the tax authorities of the Russian Federation without involvement of the Depository.

4.2.31. Depositors holders of Foreign securities, the issuer of which is registered in the territory of the USA, including depository receipts for Foreign Securities, the issuer of which is registered in the in the territory of the USA (hereinafter for the purposes of this paragraph - Foreign securities of American issuers), should provide to the Depository the following forms of tax declarations:

- Depositors-individuals – Form W-8BEN "Declaration of a foreign beneficiary owner for the purpose of withholding tax and reporting in the USA (Individuals)";

- Depositors-legal entities – Form W-8BEN-E "Declaration of beneficial owner for the purpose of withholding tax and reporting in the USA (Legal entities)" or Form W-8IMY "Certificate of Foreign Intermediary, Foreign flow-through entity, or Certain U.S. Branches for the purpose of withholding tax and re-ported in the USA".

- In the event that the Depositor has not provided the forms of Declarations referred to in this paragraph, the Depository shall reserve the right to refuse to execute the Depositor's obligations to credit foreign securities of American issuers to the securities account.

- The Depositor is hereby notified that in order to obtain a reduced withholding tax rate for payment of income on foreign securities (place of safekeeping of National settlement depository JSC), the issuer of which is a resident of the United States of America, on the day of drawing up the list of persons entitled to receive income under such securities, the Depository shall transfer the specified securities to the National settlement depository JSC.

- The Depositor is hereby notified that the Depository shall not perform the obligations set forth in this clause if the securities subject to transfer to a special section are intended to perform obligations under previously concluded transactions or are to arrive on the securities account as a result of execution of previously concluded transactions.

- The Depositor is hereby notified that if the securities referred to in paragraphs 5 and 6 of this clause on the day of drawing up the list of persons entitled to receive income under such securities are not transferred by the Depository to a special section of the securities account on the basis set forth in this clause the Depositor shall lose the right to apply a reduced withholding tax rate to the income on such securities.

- The Depositor shall independently plan conclusion of transactions and prevent situations in which the Depository, in accordance with paragraph 6 of this clause, will not transfer securities to a special section of the securities account ensuring receipt of tax credit.

- The Depositor is hereby notified that the Depository not being a withholding agent for Foreign securities shall not guarantee application of reduced withholding tax rate to Foreign securities of American issuers referred to in this clause.

#### 4.2.32. Incoming documents:

- Notice to the superior depository of the transfer of income on securities to a special depository account and/or a payment order for the receipt of funds to a special securities account;

- Written instruction of the Depositor on the transfer of income and other payments on the securities to the Depositor's bank details (if any).

#### 4.2.33. Outgoing documents:

- Notice of payment and transfer of cash funds (Annex P-29)

## **5. RELATED SERVICES OF THE DEPOSITORY.**

5.1. Unless otherwise specified in the Depository agreement the Depository shall render to the Depositor the following related services:

- provision of communications received by the Depository from the Issuer, registrar or other depository by posting such communications on the WEB site and/or in personal cabinet;

- informing on the WEB-site and/or through the personal cabinet about corporate actions of the Issuer, information about which became available to the Depository from open sources;

- ordering at the request of the Depositor, notification from the register of the executed transaction (except for instances where receipt of the notification constitutes an integral part of the operation and/or its issuance is mandatory).

5.2. Services for provision to the Depositor of communications and information on Corporate Actions.

- The Depository shall make available to the Depositor the information and documents received by the Depository from Issuers, Registrars or other persons through official communication lines.

- The Depository shall inform about all Corporate actions of the Issuer, which do not depend from the Depositor's decision, information about was received by the Depository, through posting the information on the Website and/or in the Personal cabinet.

- The Depository shall notify about all Corporate actions of the Issuer, which require the

Depositor's decision within 3 (three) Business days of receipt of the relevant communication from the Issuer, Registrar or other person.

5.3. Making order for the notice on the executed transaction from the registry at the request of the Depositor.

– Making order for the notice on the executed transaction is performed by the Depository basing on the Depositor's Instruction. The Depositor shall be obliged to pay the Depository's expenses related to making order to the registry for the notice on the executed transaction.

## **6. THE SPECIFICS OF RECORDING FOREIGN SECURITIES**

6.1. In the event that the Superior depository finds an error in the instruction to perform custody operation for debiting foreign securities (made by the Depositor when submitting to the Depository the Instruction for debiting the securities), performance of custody operation may be refused to the Depositor and the securities debited from the Depositor's Securities Account may be returned.

6.2. In case of submission to the Depository of the Instruction for debiting/crediting of foreign securities for the purposes of settlements under OTC transaction, concluded by the Depositor, the latter on a mandatory basis shall indicate the date of transaction and the date of settlements under the transaction. In this case, the said instruction shall be submitted and accepted by the Depository not later than on the day preceding the settlement date under the transaction. In a reverse situation, the Depository shall have the right to refuse execution of the submitted instruction or not to execute it, for reasons beyond the control of the Depository.

6.3. In case of submission to the Depository of the instruction for performing transaction with foreign securities among other things provided for by these Regulations, the Depositor shall provide to the Depository the contact information of the counter party in the transaction (e-mail address and/or telephone number).

6.4. In the event that several Depositors with equal quantity of securities are entitled to obtain one additional foreign security of the new issue as a result of the Issuer's Corporate Action, the Depository may suggest to one of the Depositors to credit such security to its Securities account with payment to other Depositors of compensation in money proportional to the cost of the portion owned by them. The terms of crediting additional securities referred to in this clause shall be agreed upon by the Depository with all Depositors entitled to get additional security, in any manner provided for in the Procedure for the exchange of documents.

6.5. If the Depository receives Instructions from the Depositor (several Depositors) to carry out custody transactions of debiting and/or crediting of foreign securities of one issue of foreign securities and one counterparty, the Depository with the purpose of execution of such Instructions shall have the right to provide to the Superior depository (foreign organization) one common order (instruction) containing the closing balance under Depositor's (several Depositors') instructions. In this case the ground for crediting and/or debiting of foreign securities to/from the Depositor's securities account shall be acceptance by the Depository of the relevant Depositor's instruction, as well as of the report of the Superior depository (foreign organization) containing the net position on foreign securities.

6.6. The Depository has the right not to submit to Superior depository (foreign organization) the order (instruction) on the account of Depository as nominal holder (depositors' securities account) if net position of one issue of foreign securities under Depositor's (several Depositors') instructions is equal to zero. In this case the ground for crediting and/or debiting of foreign securities to/from the Depositor's securities account shall be acceptance by the Depository of the relevant Depositor's instruction, as well as of the report of the foreign organization acting as a foreign broker (a person who, in accordance with personal law, has the right to carry out the relevant activity on the securities market).

6.7. If the instruction is submitted to the Depository to carry out a transaction with foreign securities due to specifics of performing settlements, among other things, provided for in these Regulations, the Depositor shall be obliged to provide to the Depository the contact information of the counterparty in the transaction (e-mail address and/or telephone number).

6.8. When submitting to the Depository of the Instruction to perform transactions with foreign securities, due to specifics of performing settlements, the Depositor shall specify the date of transaction and the date of settlements under the transaction. In this case, the said instruction shall be submitted and accepted by the Depository not later than the day preceding the date of settlements under



the transaction. Otherwise, the Depository shall have the right to refuse to execute the submitted instruction or not to execute, for reasons beyond the control of the Depository.

6.9. Due to specifics of performing settlements in the event that during execution of the Depositor's instruction for performance of the operation on debiting foreign securities the mismatching will be discovered with the counter documents submitted by the counterparty (for example, due to the error made by a Depositor or a counterparty when submitting the Instruction for debiting the securities) a transaction previously performed by the Depository may be cancelled, and foreign securities debited from the Securities Account, in accordance with the report of the Superior depository, may be returned.

6.10. In case of conclusion by the Depositor with "IC" FINPROINVEST" LLC of the Broker service Agreement and/or the Agreement for Individual Investment account maintenance, as well as conclusions of transactions with foreign securities within frames of said agreements on the day, which is not the Depository's Business day, the custody resulting from such transactions shall be deemed to have been performed on the Operational day, including, for the purposes of this paragraph, the period from the beginning of the non-working day of the Depository and till 12:00 of the following calendar day. If there are several Depository's non-business days in a row on which the transactions with foreign securities have been made the Custody transactions shall be deemed performed on the Operating day corresponding to each nonbusiness day and shall be recorded in the custody accounting before the end of the last Operating day, before the first Depository's Business day. Reporting documents for such Custody transactions shall be sent within the first Depository's Business day following the nonbusiness days.

6.11. In the event that several Depositors with equal quantity of securities are entitled to receive one additional foreign security of the new issue as a result of the Issuer's Corporate action, the Depository may suggest to one of the Depositors to credit such security to its Securities account payment to other Depositors of compensation in money proportional to the cost of the portion owned by them. The terms of crediting additional securities referred to in this clause shall be agreed upon by the Depository with all the Depositors entitled to get additional security, in any manner provided for in the Procedure for the exchange of documents.

6.12. If the Depository receives Instructions from the Depositor (several Depositors) to execute transactions of debiting and/or crediting of foreign securities of one issue of foreign securities and one counterparty, the Depository with the purpose of execution of such Instructions shall have the right to provide to the Superior depository (foreign organization) one common order (instruction) containing the closing balance under Depositor's (several Depositors') instructions. In this case the ground for crediting and/or debiting of foreign securities to/from the Depositor's securities account shall be acceptance by the Depository of the relevant Depositor's instruction, as well as of the report of the Superior depository (foreign organization) containing the net position on foreign securities.

6.13. The Depository has the right not to submit to Superior depository (foreign organization) the order (instruction) on the account of Depository as nominal holder (depositors' securities account) if net position of one issue of foreign securities under Depositor's (Depositors') instructions is equal to zero. In this case the ground for crediting and/or debiting of foreign securities to/from the Depositor's securities account shall be acceptance by the Depository of the relevant Depositor's instruction, as well as of the Settlement directions with attachment of the report of the foreign organization acting as a foreign broker (a person who, in accordance with personal law, has the right to carry out the relevant activity on the securities market).

## **7. SETTLEMENTS PROCEDURE.**

7.1. Procedure of payment by the Depositor for Depository's services.

7.1.1. A Depositor shall pay for the Depository's services according to the Depository's Tariffs that constitute the Annex to the respective Agreement effective at the time when the Depositor /other initiator submits an Instruction involving provision of relevant fee-based service. In case the service of the Depository is provided continuously during the month – according to the Tariffs effective on the last day of the calendar month for which the Depository's remuneration is accrued. The Depositor shall independently review the relevant notifications relating to tariffs on the Depository's website. The responsibility for obtaining this information rests with the Depositor.

7.1.2. The Depositor shall effect payment for the Depository's services as well as expenses borne by the Depository including (but not limited to) expenses on services of registrars, other depos-

itories and transfer-agents, reregistration agents, mailing services, expenses for safekeeping of foreign financial instruments in Nonbanking credit institution “National settlement depository” (NCO CJSC NSD).

7.1.3. If there is a Brokerage Service Agreement/Individual Investment Account Agreement concluded between the Client (Depositor) and the Company in the event of incurrance of liabilities for payment for the services and reimbursement of the costs of the Depository, the payment of such services and reimbursement of expenses shall be made by writing off the respective amounts of funds from the Company's special brokerage account on which the funds of the Client (Depositor), are accounted not later than on the 15 (fifteenth) day of the month following the reporting month in which the relevant services were provided by the Depository (in which case no invoice shall be issued for the services provided by the Depository).

The Depository shall have the right to set off homogeneous counter claims (at their maturity) for payment of the Depository's services, as well as for the expenses of the Depository related to the execution of custody operations, with obligations on returning funds transferred to the Company by the Depositor under other agreements concluded with the Company.

The Depository shall notify the Depositor of the set-off of the homogeneous counter claims related to payment by the Depositor of the Depository's services, as well as of reimbursement for the expenses of the Depository related to the execution of custody operations, by indication thereof in the Broker's Report. Such notification shall be considered by the parties as a duly executed application of the Company for performing the set-off of the homogeneous counter claims within the meaning of article 410 of the Civil Code of the Russian Federation.

7.1.4. If there is no Brokerage Service Agreement/Individual Investment Account maintenance Agreement concluded between the Client (Depositor) and the Company in the event of incurrance of liabilities for payment for the services of the Depository the latter shall issue to the Depositor an invoice and a statement for payment of Depository's services not later than on the 15 (fifteenth) day of the month following the reporting month in which the relevant services were provided by the Depository. The payment shall be made by the Depositor not later than the month following the reporting month in which the relevant services were provided by the Depository. In case of obligations of the Depositor for reimbursement of expenses of Depository, the latter shall issue an invoice to the Depositor for reimbursement of expenses of Depository, the Depository operations related to performance of custody operations not later than 15 (fifteenth) day of the month following the reporting month in which the Depository suffered expenses. Payment shall be made by the Depository not later than ten (10) business days following the date of issuing by the Depository of the relevant invoice to the Depositor.

7.1.5. The Depository shall have the right to draw to the Depositor an invoice for payment of the Depository's services, as well as for reimbursement of the Depository's expenses related to execution of the Custody operations regardless of the availability/absence of the Broker agreement/Agreement on maintenance of individual investment account concluded between the Depositor and the Company. The Depositor shall pay the invoice drawn by the Depository within the period specified in p. 7.1.4 of the Regulations.

7.1.6. In case the Depository's draws the invoice for payment of the respective Depository's services / expenses, the latter has the right to present the invoice to the Depositor.

7.1.7. The Depository, by agreement with the Depositor, shall have the right to make an advance payment in whole or in part of the Depository's services as well as Depository's anticipated costs related to execution of Depositor's instructions.

7.1.8. The Depository has the right to request from the Depositor advance payment of certain services and/or anticipated services of the Depository, and the Depositor shall be obliged to make the required advance payment.

7.1.9. Other services which the Depository may provide to the Depositor under supplementary agreements or understandings between the Parties shall be payable by the Depositor in the amount, procedure and terms established by such agreements or understandings.

7.1.10. In case of Depositor's delay in payment of the invoices drawn by the Depository in accordance with p.p. 7.1.4, 7.1.5 of the Regulations, the Depository shall have the right to subtract payment for the services rendered by it from the Depositor's yield on securities received on Depository's special securities account. In case of Depositor's delay in payment of invoices the Depository has the right to suspend execution of all transactions on Depositor's accounts as well as acceptance

of Depositor's instructions.

7.1.11. P. 6.1. of the Regulations shall also apply after termination of the Depository agreement/Securities account agreement of the foreign authorized holder in accordance with the terms of the Regulations to the extent of complete transfer of the Depositor's securities/foreign financial instruments recorded on the Depositor's accounts in the Depository from the Depository to the Depositor (transfer of Depositor's securities/foreign financial instruments to the account of the other depository/ Registrar and payment of Depository's services/ costs.

7.2. The procedure for payment of the Depository's services by the Securities Account Trustee shall be governed by securities account trustee agreement concluded between the Depositor, the Depository and the Securities Account Trustee.

7.3. The Depository may, on a unilateral basis introduce amendments in the Tariffs for the Depository's services in the manner specified in the respective Agreement.

## **8. CONFIDENTIALITY AND PROCEDURE OF PROVISION OF INFORMATION.**

8.1. The Depository shall keep confidential all information regarding any person for whom a securities account is opened and information regarding such account including operations performed in respect of it.

8.2. The information referred to in p. 8.1 may only be provided to the person for whom a securities account is opened or its Representative as well as to other persons in accordance with federal law. Depositories may, if so directed in writing by the Depositor, disclose to other persons information regarding such Depositor and operations carried out in relation to such Depositor's securities account.

8.3. The Depository may provide the information referred to in p. 8.1 to persons specified in the depository agreement in cases defined in such agreement.

8.4. If the Depository has recorded the fact of securities encumbrance or registered the fact of their encumbrance, including pledge, information mentioned in p. 7.1. of the Regulations can be disclosed to a person in whose favor the encumbrance of securities has been recorded (registered) according to the procedure established by the Bank of Russia.

8.5. The information referred to in p 8.1 of this article may also be disclosed to courts and arbitration courts (judges), Bank of Russia, and in case of availability of the consent of the head of the investigation body-to pretrial investigation agencies on the cases which are within the proceedings, internal affairs agencies in the course of the implementation by them the functions on detection, prevention, and suppression of crimes in the sphere of economy in case of availability of the consent of the head of said bodies as well as in the cases and scope provided for by federal law to election commissions in the course of exercising their function to control the process of forming and spending the amounts of electoral funds, referendum funds, sources and values of assets obtained by political parties, their regional offices and other registered structural subdivisions in the form of citizens' and legal entities' donations, as well as sources of monetary funds and other assets of political parties, their regional offices and other registered structural subdivisions obtained in the result of transactions performed.

8.6. The information relating to the person for whom a securities account is opened and regarding the number of an issuer's securities held in such securities account also can be disclosed to the emitter (person responsible on securities) if it is required for the fulfillment of obligations provided by federal laws and in other cases provided by the federal law.

8.7. The Depository is obliged to receive according to the procedure established by the Bank of Russia and agreed upon with the Central Election Commission of the Russian Federation and to study requests for information received from the Central Election Commission of the Russian Federation and election commissions of the constituent entities of the Russian Federation in respect of securities owned by candidates for deputies or other elective offices, and in the events envisaged by the federal law – in respect of securities owned by spouses and underage children of candidates for deputies or other elective offices; such requests are sent to check reliability of information provided by candidates for deputies or other elective offices in election commissions, within the framework of the electoral legislation of the Russian Federation. If such information is available to the Depository, the Depository is obliged to send it to the Central Election Commission of the Russian Federation or election commissions of the constituent entities of the Russian Federation according to the procedure and within the time established by the Bank of Russia and agreed upon with the Central Election

Commission of the Russian Federation and in the scope envisaged by the electoral legislation of the Russian Federation.

8.8. In the event that the Depository is in breach of the requirements set out in this article, the persons whose rights are infringed may claim damages from the Depository.

8.9. The Depository shall be held liable for any breach of the requirements contained in this article following the procedure established by the laws of the Russian Federation.

## **9. DISCONTINUATION OF THE DEPOSITORY SERVICES**

9.1. The Depository shall discontinue its Depository Services when:

- its license for carrying out the depository activity has been suspended;
- its license for carrying out the depository activity has been revoked;
- a resolution to wind up the Company of which the Depository is a business unit has been adopted.

9.2. Should any of the events listed above take place, the Depository shall:

- cease its Depository Services immediately from the date of adoption of resolution on winding up of the Company or upon receiving a notice of license suspension or revocation. Prohibition for carrying out the depository activity shall not apply to operations related to termination of obligations under the custody services agreement with the Depositor including which relate to return to the Depositor of securities being on the Depositor's securities account (accounts) opened in the Depository;
- provide safe keeping of securities possessed by Depositors as well as integrity and inalterability of records on accounting of rights for securities;
- within three (3) days of receipt of the notice on suspension of the license/ from the date of adoption of resolution on winding up of the Company according to the procedure by the Custody agreement notify its Depositors of suspension, revocation of its depository license for carrying out the depository activity/ winding up of the Company. Should suspension of the license/ revocation of its depository license for carrying out the depository activity arise the Depository within the time limit specified in this paragraph shall as well notify thereof all nominees and registrars of securities owners with which the nominee accounts are opened in its name;
- simultaneously with the above notice (except in the case of suspension of the license), to suggest the Depositors before the time specified in the notice (in case of revocation of the license) or within 30 days from the day of termination of license or taking a decision on the Company liquidation submit instruction on the method of returning of the securities of the depositor (transfer all securities on their securities accounts to current account in the register onto or securities account in other depository;
- subject to the Depositor's instructions to terminate obligations, related to carrying out depository activity and transfer securities owned by him to the Depositor by reregistering them in favor of the Depositor in the register or with another depository specified by the Depositor. In case of absence of the Depositor's instructions on the method of return of the property such returning shall be carried out basing on the Depositor's details possessed by the Depository.

In this case:

- in case of termination of the depository agreement, except where the Depositor-legal entity is wound up, the Depository has the right to perform actions directed to crediting securities of this Depositor to its individual account opened for the latter in the register of securities' owners or to the account of clients of the nominee opened by the depository performing the mandatory centralized storage of securities. By doing so, the Depository is obliged to notify the Depositor of debiting from its account of securities and to report the name of registrar (depository) which opened individual account (the nominee clients' account) whereon the specified securities were credited and the number of this account.
- if there is a positive balance of securities on the owner's securities account opened for the wound up Depositor - legal entity, the Depository shall have the right to carry out actions aimed at crediting the said securities to the account of non-identified persons, opened by the respective register holder of or the depository, respectively, performing mandatory centralized storage of securities.

9.3. The interactions between the Depository and the registrars and other depositories in process of termination of depository activities as well as the Depository's further steps to finalize this

process shall be as defined by the applicable laws of the Russian Federation.

9.4. Upon expiration of the periods prescribed for transferring the securities the Depository shall (except where its license is suspended) cease all operations in the Depositors' securities, save for information operations.

9.9. The Depository shall within 3 (three) days after delivering the lists of Depositors send to each Depositor by registered mail (unless otherwise stipulated by the agreement with the relevant Depositor) a notice stating:

- full firm name and registered address of each Registrar to which personal accounts securities are to be transferred;
- numbers of and issuing dates of licenses issued to professional securities market participant for carrying out activity of registrar services (if any);
- directions whether it is or not required to submit to the registrars named in the notice documents needed to open personal account as required by the current legislation of the Russian Federation.

At the same time with this notice each Depositor shall be furnished with information about the quantity of securities transferred for the recordkeeping to the shareholders registers or another depository.

Having received a notice from a registrar of withdrawal from the Depository's account and deposit of securities to the accounts against the lists of Depositors, the Depository shall cease its depository services in respect of securities issues listed in the said notice.

## **10. CONCLUSION AND TERMINATION OF AGREEMENTS**

10.1. Conclusion of Agreements shall be according to the procedure set forth in p. 2.1.6. of the Regulations.

10.2. Agreement can be terminated upon mutual agreement of the Parties.

10.3. Each of the Parties may terminate respective Agreement unilaterally and without judicial procedures without disclosing the reason subject to the following procedure:

10.3.1. When terminating the Depository agreement at the Depository's initiative the latter should notify the Depositor in writing of termination of respective Agreement no less than 30 (thirty) calendar days before the anticipated date of termination.

The Depository's withdrawal from the Agreement shall result in termination of the rights and obligations hereunder on the date of termination of the Agreement specified in the relevant notice of termination, but not earlier than 31 (thirty-first) day from the day following the date of submission of the notice of termination or on the day following the day of withdrawal of securities from all Depositor's securities accounts whichever date of the dates specified in this paragraph is later.

10.3.2. When terminating the relevant Agreement at the Depositor's initiative the latter should send to the Depository instruction for closing the securities accounts (in doing this the latter should list all the securities accounts) in case the Broker Agreement/Agreement on Maintenance of Individual Investment Account is not concluded with the Depositor, which is recognized by the Parties simultaneously as the proper notification of the Depositor on termination of the respective Agreement, or Notification on withdrawal from the Agreement in case the Broker Agreement/Agreement on Maintenance of Individual Investment Account is concluded with the Depositor. The respective Agreement shall be deemed terminated and Depositors accounts closed on the 2<sup>nd</sup> (Second) Business Day from the day following the date of acceptance by the Depository (provided absence of of the Instruction for closing securities accounts indebtedness due to the Depository on the date of receipt by the Depository of the Instruction for closing securities accounts) or on the 31<sup>st</sup> (thirty-first) day following the date of receipt by the Depository of the Instruction for closing securities accounts (provided absence of indebtedness due to the Depository on the date of receipt by the Depository of the Instruction for closing securities accounts) or on the Business Day of execution by the Depository of the depository operation for withdrawal of the securities from the record off the Depositor's securities accounts - in case of submission of the Instruction for debiting the securities in accordance with the Regulations, whichever date specified in this paragraph of the Regulation is later.

In the event of termination of the Depository Agreement on the Depositor's initiative the Depository shall after closure of all accounts and termination of the respective Agreement send to the

Depositor Notice of Termination of the agreement and closing of securities accounts according to the form of annex to the Regulations (Annex P-30) by e-mail or by postal communication.

10.3.3. The Client's accounts shall not be closed if there are securities recorded on the accounts or if the Depositor has indebtedness to the Depository for payment of the services of the Depository and/or reimbursement of the costs and/or submission to the Depository of outstanding documents. Before closing the accounts, the servicing of the securities remaining on it shall be stopped and securities shall be transferred to the Client's (other persons') account (s) in another depository/register of owners of registered securities, all Depositor's indebtedness to the Depository shall be repaid and all outstanding documents submitted.

10.4 From the day of receipt by the Depository of the Instruction for closing securities accounts or submission to the Depositor of the Notice of Termination of the respective agreement and closing of securities accounts the Depository has the right to reject execution/suspend execution of any Depositor's instructions provided for by the Regulations in case of the Depositor's indebtedness to the Depository for payment of the services of the Depository and/or payment of Depository's expenses related to execution of custody operations and/or indebtedness to the Company under the Broker agreement/Agreement on maintenance of individual investment account for payment of Company's services and/or payment of Company's expenses related to provision by the Company of services to the Depositor until redemption of such indebtedness according to terms of the Regulations and/or according to terms of the Agreement for Broker service/Agreement on maintenance of individual investment account. In the case referred to herein, the Depository shall be entitled to execute solely the Instructions for redemption of such indebtedness until redemption of such indebtedness by the Depositor.

10.5. The Depository has the right upon occurrence of the Depositor's indebtedness to the Depository for payment of the services of the Depository and/or payment of Depository's expenses related to execution of custody operations and/or indebtedness to the Company under the Broker agreement/Agreement on maintenance of individual investment account for payment of Company's services and/or payment of Company's expenses related to provision by the Company of services including the one that occurred during validity of the respective Agreement/ Broker agreement/Agreement on maintenance of individual investment account including after submission by the Depository of the notice on termination of the respective Agreement or upon receipt by the Depository of the Instruction for closing securities accounts hold the securities of the Depositor, the rights to which are registered in the Depository, until the Depositor fulfils its obligations to the Depository under the respective Agreement, until the Depository carries out actions for sale of the securities of the Depository in accordance with the Regulations/until the Company performs actions resulting in redemption of the respective indebtedness of the Client (Depositor) in accordance with the Broker agreement/Agreement on maintenance of individual investment account the Depositor shall have the right to suspend performance of obligations as under the Agreement either in whole or in part in case of failure by the Depository to fulfil its obligations stipulated under the Agreement and/or the Additional Agreement for payment of the services of the Depository and/or payment of Depository's expenses related to execution of custody operations or existence of circumstances expressly evidencing that such execution will not be completed within the prescribed time limit and seek recovery of losses. In the case referred to in this paragraph, the Depository may execute solely the Instructions for redemption of such indebtedness until such indebtedness is repaid by the Depository.

10.6. By entering into the respective Agreement the Depositor agrees that the Depository may in any period following the occurrence of any indebtedness of the Depository for payment of the services of the Depository and/or payment of Depository's expenses related to execution of custody operations and/or indebtedness of the Client (Depositor) to the Company under Agreement on broker service/maintenance of individual investment account to satisfy its claims to the Depositor for payment of the respective indebtedness as set forth in this paragraph of the Regulations, from the value of the Depositor's securities, rights to which are accounted in the Depository (to carry out sale of the securities of the Depositor) without judicial procedures. In case of conclusion by the Client (Depositor) with the Company of the Broker Agreement /Agreement on maintenance of individual investment account sale of the securities may be performed on the basis of the report of the clearing organization on the results of clearing. In case of absence of agreement concluded between Depositor and the Company of Broker agreement/Agreement for maintenance of individual investment account, the Depository has the right to engage third parties carrying out broker activity for sale of Depositor's

securities. In relation to the latter securities' writing off from the Depositor's accounts shall be carried out on the basis of the Depository's duty instruction. In case of conclusion by the Client (Depositor) with the Company of the Broker Agreement /Agreement on maintenance of individual investment account the Company shall perform sale of the securities according procedure specified in the Broker agreement /Agreement for maintenance of individual investment account sale of the securities shall be performed by the third party according procedure specified in the agreement concluded between the Depository and the third party.

10.7 Relations arising out of the respective Agreements shall be deemed discontinued and the respective Agreements terminated provided that there are no securities on the Depositor's accounts. In case of termination of the respective Agreement the Depositor shall be obliged to withdraw the securities from the register or transfer the securities from its securities accounts to another depository/register no later than the date of termination of the respective Agreement. If by the date of termination of the respective Agreement the securities are not transferred from the accounts of the Depositor, the term of termination of the respective Agreement shall be extended until the date specified in p.p. 9.3.1, 9.3.2 of the Regulations.

10.8. Written form of the notice of termination of the respective Agreement submitted by the Depository to the Depositor shall be deemed as adhered to if such notice is sent by registered mail with an enclosure list to the Depositor's mail address and/or by means of courier service and/or handed in to the Depositor in the Depository's Office under signed receipt and/or sent to the Depositor's email address specified in the Client's questionnaire and/or submitted with the use of remote access system. In case of conclusion by the Client (Depositor) with the Company of the Broker Agreement /Agreement on maintenance of individual investment account the Depository, along with the methods of submission of written notice of termination of the respective Agreement specified in the present paragraph of the Regulations can submit such notice by any other means specified by the Depository in the application of accession to the Broker agreement/Agreement on Maintenance of Individual Investment Account as a means of exchange of communications (Instructions, documents).

10.9. In case the Depositor submits Instruction for debiting of securities from securities accounts opened to register the rights to securities acquired by the Depositor under terms of agreement on maintenance of the individual investment account the Depository shall upon execution of the said Instruction notify respective structural division of withdrawal of securities of the Company which functions include carrying out broker activity and/or internal accounting. In doing so, the Depository should terminate respective Agreement unilaterally (except as provided for in the legislation of the Russian Federation).

10.10. The relations arising out of the respective Agreements shall be deemed discontinued and the Agreements terminated in case of liquidation of the Depositor – legal entity from the date of closing the accounts of such Depositors in accordance with these Regulations.

## **11. LIST OF ANNEXES TO THE REGULATIONS**

Условные Поручения (П-01)

Conditional Instructions (P-01)

Заявление о присоединении к Депозитарному договору ООО «ИК «ФИНПРОИНВЕСТ» (П-02а, П-02б)

Application for accession to Depository agreement of "IC "FINPROINVEST" LLC (P-02a, P-02b)

Поручение на открытие счета депо (для физических лиц) (П-03)

Instruction for opening securities account (for individuals) (P-03)

Поручение на открытие счета депо (для юридических лиц) (П-04)

Instruction for opening securities account (for legal entities) (P-04)

Поручение на закрытие счета депо (П-05)

Instruction for closing securities account (P-05)

Поручение на изменение анкетных данных (П-06)

Instruction for amendment of questionnaire information (P-06)

Поручение о назначении Представителя (П-07)

Instruction on appointment of a representative (P-07)  
Заявление о прекращении действия доверенности на представителя Депонента (П-08)  
Statement on cancellation of power of attorney for depositor's representative (P-08)

Поручение на отмену неисполненного Поручения (П-09)  
Instruction for cancellation of Instruction (P-09)

Поручение на зачисление/списание/перевод ценных бумаг (П-10)  
Instruction for crediting/debiting/transfer of securities (P-10)

Поручение на участие в корпоративном действии (П-11)  
Instruction for participation in corporate action (P-11)

Поручение на блокирование ценных бумаг/снятие блокировки ценных бумаг (П-12)  
Instruction for blocking/de-blocking of securities (P-12)

Поручение на передачу ценных бумаг в залог/возврат ценных бумаг из залога (П-13)  
Instruction for pledging/release from pledge of securities (P-13)

Поручение на конвертацию/погашение (аннулирование) ценных бумаг (П-14)  
Instruction for conversion/redemption (cancellation) of securities (P-14)

Поручение на корректировку реквизитов счета депо (П-15)  
Instruction for correction of banking details of securities account (P-15)

Поручение на предоставление выписки по счету депо (П-16)  
Instruction for issuing statement on securities account (P-16)

Сводное поручение на совершение операций с ценными бумагами (П-17)  
Collective instruction for operations with securities (P-17)

Уведомление об открытии счета депо (П-18а)  
Notice of opening securities account (P-18a)

Уведомление о заключении Депозитарного договора (П-18б)  
Notice of the conclusion of the Depository Agreement (P-18b)

Выписка по счету депо (П-19)  
Statement of securities account (P-19)

Отчет об операциях по счету депо за период (П-20)  
Report on operation on securities account over the period (P-20)

Отчет о выполнении депозитарной операции по счету депо (П-21)  
Report on execution of custody operation on securities account (P-21)

Отчет о выполнении депозитарной операции по счету депо (П-22)  
Report on execution of custody operation on securities account (P-22)

Сводный отчет на совершение операций с ценными бумагами за период (П-23)  
Collective report on execution of operations with securities over the period (P-23)

Доверенность (типовая для физических лиц) (П-24)  
Power of attorney (standard for individuals) (P-24)

Доверенность (типовая для юридических лиц) (П-25)  
Power of attorney (standard for legal entities) (P-25)

Доверенность (типовая двуязычная) (П-26)  
Power of attorney (standard bilingual) (P-26)

Перечень документов, необходимых для открытия счета депо (П-27)  
Documents, required for conclusion of depository agreement (P-27)

Заявление о перечислении доходов и иных выплат (П-28)  
Application on transfer of income and other payments (P-28)



Заявление на расторжение депозитарного договора (для физических лиц) (П-29)  
Application for cancellation the depository agreement (for individuals) (P-29)

Уведомление о расторжении депозитарного договора (П-30)  
Notice of withdrawal from depository agreement (P-30)

Соглашение о расторжении депозитарного договора (П-31)  
Agreement on termination of depository agreement (P-31)

Уведомление об отказе от исполнения договора по инициативе Общества (П-32)  
Notice of abandonment of performance under the contract (P-32)

Уведомление об отказе от исполнения договора по инициативе клиента (П-33)  
Notice of abandonment of performance under the contract (P-33)

Анкета (досье) физического лица (П-34)  
Questionnaire (dossier) of individual (P-34)

Анкета юридического лица, иностранной структуры без образования юридического лица (П-35)  
Questionnaire of Legal Entity or Foreign agency without forming a legal entity (P-35)

Анкета (досье) индивидуального предпринимателя, физического лица, занимающегося в установленном законодательством Российской Федерации порядке частной практикой (П-36)  
Questionnaire (dossier) of self-employed entrepreneur, individual engaged in private practice defined by Russian law

Депозитарный договор о междепозитарных отношениях (образец) (П-37)  
Depository Agreement on interdepository relations (P-37)

Уведомление о статусе фактического получателя дохода (П-38)  
Notification on status of an actual income recipient (P-38)

УСЛОВНЫЕ ПОРУЧЕНИЯ	CONDITIONAL INSTRUCTIONS
<p>1.1. Стороны договорились в своих взаимоотношениях использовать Условное поручение Депонента, в соответствии с которым в случае наступления следующих условий:</p>	<p>1.1 The Parties have agreed to use in their relations Depositor's Conditional instruction according which in the event of happening of any of the following conditions:</p>
<ul style="list-style-type: none"> <li>- заключение Депонентом с ООО "ИК "ФИНПРОИНВЕСТ" (далее – «Общество») Договора на брокерское обслуживание, и/или заключение Депонентом с Обществом Договора на ведение индивидуального инвестиционного счета; и/или</li> </ul>	<ul style="list-style-type: none"> <li>- conclusion by the Depositor with "IC "FINPROINVEST" LLC (further – "Company") Broker service Agreement and/or conclusion by the Depositor with the Company of the Individual investment account Maintenance Contract; and/or</li> </ul>
<ul style="list-style-type: none"> <li>- заключение Обществом от своего имени и за счет Депонента или от имени и за счет Депонента сделок с ценными бумагами (в том числе иностранными ценными бумагами) по поручениям Депонента в рамках оказания брокерских услуг; и/или</li> </ul>	<ul style="list-style-type: none"> <li>- conclusion by the Company on its own behalf and on the Depositor's account or on the Depositor's behalf and account of transactions with securities (including foreign securities) on Depositor's instructions within the scope of provision of broker services; and/or</li> </ul>
<ul style="list-style-type: none"> <li>- наступление срока исполнения обязательств по сделкам с ценными бумагами, заключенным Обществом по поручениям Депонента в рамках оказания брокерских услуг; и/или</li> </ul>	<ul style="list-style-type: none"> <li>- maturity of obligations for transactions with securities concluded by the Company under the Depositor's instructions within the scope of provision of broker services; and/or</li> </ul>
<ul style="list-style-type: none"> <li>- наступление условий исполнения Обществом поручений (условных поручений) Депонента, поданных в рамках, заключенных с Обществом Договора на брокерское обслуживание и/или Договора на ведение индивидуального инвестиционного счета,</li> </ul>	<ul style="list-style-type: none"> <li>- occurrence of conditions for execution by the Company of the Depositor's instructions (conditional instructions) submitted within the scope of Broker service Agreement and/or the Individual investment account Maintenance Contract,</li> </ul>
<p>настоящим Депонент дает поручение в Депозитарий осуществлять все необходимые депозитарные операции в соответствии с Договором и Регламентом, в целях исполнения положений Договора на брокерское обслуживание/Договора на ведение индивидуального инвестиционного счета и Регламента обслуживания клиентов ООО "ИК "ФИНПРОИНВЕСТ", в том числе осуществлять в соответствии с инструкциями (или сводными поручениями), переданными в Депозитарий структурными подразделениями Общества, к функциям которых отнесено осуществление брокерской деятельности или ведение внутреннего учета сделок с ценными бумагами, депозитарные операции, необходимые для создания условий исполнения поручений Депонента, поданных в рамках указанных договоров и/или</p>	<p>hereby the Depositor instructs the Depository to carry out all necessary depository operations according to the Agreement and the Regulations to ensure implementation of provisions of the Agreement for broker service / Individual investment account Maintenance Contract and the Clients' service Regulations of "IC "FINPROINVEST" LLC as well as to carry out according to instructions (or collective payment orders) submitted to the Depository by the Company's structural divisions to whose functions is referred implementation of broker activity or conducting internal accounting of transactions with securities, depository operations necessary for creation of conditions for execution of the Depositor's instructions submitted within frames of said agreements and/or depository transactions for the purpose of discharge of obligations under transactions with securities concluded by "IC "FINPRO-</p>

депозитарные операции в целях исполнения обязательств по сделкам с ценными бумагами, заключенным ООО "ИК "ФИНПРОИНВЕСТ" в рамках указанных договоров, а именно:	INVEST” LLC within frames of said agreements, and in particular:
- открывать и закрывать счета депо в случаях, предусмотренных Регламентом;	- open and close securities accounts to the extent stipulated by the Regulations;
- открывать и закрывать разделы счетов депо в случаях, предусмотренных Регламентом;	- open and close subaccounts of securities accounts to the extent stipulated by Regulations;
- осуществлять депозитарные операции по списанию и зачислению ценных бумаг в соответствии с инструкциями (сводными поручениями), поданными в Депозитарий;	- conduct depository operations for withdrawal and depositing of securities according instructions (collective payment orders) submitted to the Depository;
- осуществлять депозитарные операции по переводу/перемещению ценных бумаг в соответствии с инструкциями, поданными в Депозитарий;	- conduct depository operations for withdrawal/movement of securities according instructions (collective payment orders) submitted to the Depository;
- направлять в структурные подразделения Общества выписки со счетов депо, отчеты о проведенных операциях, и иные документы, связанные с обслуживанием счетов депо Депонента;	- submit to Company’s structural subdivisions statements from securities’ accounts, reports on implemented transactions and other documents connected with servicing of Depositor’s securities accounts;
- направлять в структурные подразделения Общества информацию о задолженности Депонента по оплате услуг и расходов Депозитария;	- submit to Company’s structural subdivisions information regarding the Depositor’s indebtedness on payments for the Depository’s services and expenses;
При этом (параметры настоящего Условного поручения):	In this respect (parameters of this Conditional instruction):
- вид депозитарной операции – определяется в соответствии с инструкцией или Регламентом;	- form of depository operation – shall be determined according directions or the Regulations;
- вид, категория (тип), выпуск, идентификатор, ISIN, CFI, иная информация, однозначно идентифицирующая ценную бумагу – определяется в соответствии с инструкцией или Регламентом;	- form, category (type), issue, identifier, ISIN, CFI and other information that explicitly identifies a security – shall be determined according directions or the Regulations;
- количество – определяется в соответствии с инструкцией или Регламентом;	- quantity – shall be determined according directions or the Regulations;
- срок действия условного поручения – в течение срока действия соответствующего Договора;	- term of validity of conditional instruction – shall be within term of validity of a corresponding agreement;
- срок исполнения условного поручения (срок исполнения депозитарной операции) - определяется в соответствии с Регламентом для соответствующей депозитарной операции;	- term of validity of conditional instruction (term of execution of a depository operation) – shall be determined according the Regulations for corresponding depository operation;
- дата и время подачи настоящего условного поручения – дата и время заключения/изменения соответствующего Договора.	- the date and the time for submitting of this conditional instruction – shall be the date and time of conclusion/alteration of a corresponding Agreement.

**ЗАЯВЛЕНИЕ О ПРИСОЕДИНЕНИИ  
(для физического лица)  
APPLICATION FOR ACCESSION  
(for individual)**

Сведения о Депоненте/Information on the Depositor:

Ф.И.О. (полностью)/ surname, first name and patronymic (in full):  
\_\_\_\_\_

Адрес места жительства (регистрации)/ Address of place of residence (registration):  
\_\_\_\_\_

Сведения о документе, удостоверяющем личность/Information regarding identity document:

Вид документа/Type of a document \_\_\_\_\_ Серия/s eries \_\_\_\_\_ Номер/no. \_\_\_\_\_  
орган, выдавший документ/issuing authority: \_\_\_\_\_

дата выдачи /issue date \_\_\_\_\_ код подразделения (при наличии) /code of subdivision (if any) : \_\_\_\_\_

Настоящим Заявлением Депонент в соответствии со статьей 428 Гражданского кодекса РФ полностью и безоговорочно присоединяется к условиям и акцептует/By this application pursuant to article 428 of the RF Civil code the Depositor absolutely and unreservedly accedes to the terms and accepts:

*Депозитарный договор, а также Условия осуществления депозитарной деятельности ООО «ИК «ФИНПРОИНВЕСТ» (далее - Клиентский регламент), условия которых определены ООО «ИК «ФИНПРОИНВЕСТ» (далее - Депозитарий), и просит Депозитарий открыть Депоненту Счет депо в соответствии с Клиентским регламентом./ Depository agreement as well as Terms and conditions of depository activities of “IC “FINPROINVEST” LLC (herein under - Client’s regulations), the terms of which are determined by “IC “FINPROINVEST” LLC (herein under – Depository) and requests the Depository to open for the Depositor the Securities Account according the Client’s regulations.*

- Основной счет депо владельца  
Owner’s main securities account  
 Торговый счет депо владельца  
Owner’s trade securities account

Подписывая настоящее Заявление, Депонент подтверждает, что ознакомлен с Депозитарным договором, Клиентским регламентом и приложениями к нему, Тарифами на услуги Депозитария, а также иными документами, регулирующими порядок и условия предоставления депозитарных услуг, обязуется соблюдать все положения вышеуказанных документов, и подтверждает достоверность данных, указанных в Анкете. Подписывая настоящее Заявление, Депонент подтверждает, что согласен изменить в рамках Депозитарного договора территориальную подсудность на договорную подсудность, предусмотренную в Депозитарном договоре, по месту нахождения ООО «ИК «ФИНПРОИНВЕСТ». После подачи настоящего Заявления Депонент не может ссылаться на то, что он не ознакомился с вышеуказанными документами (полностью или частично) либо не признает их обязательность в договорных отношениях с ООО «ИК «ФИНПРОИНВЕСТ». Настоящим Депонент поставлен в известность, что ООО «ИК «ФИНПРОИНВЕСТ» совмещает депозитарную деятельность с брокерской и дилерской деятельностью на рынке ценных бумаг. Настоящее Заявление является неотъемлемой частью Депозитарного договора.

/ Hereby the undersigned Depositor certifies that he has read and understood the Depository agreement and

Client's regulations and annexes thereto, Tariffs for services of Depository as well as other documents regulating procedure and conditions of providing depository services by Depository, undertakes to observe all provisions of the above-stated documents, and confirms reliability of the data specified in the Questionnaire. Hereby the undersigned Depositor certifies that he agrees to change within the depository contract territorial jurisdiction to contractual jurisdiction, at the place of business of "IC "FINPROINVEST" LLC. After submission of the present Application the Depositor cannot refer to the fact that he has not read and understood the above-stated documents (in whole or in part) or does not recognize their compulsory nature in contractual relations with "IC "FINPROINVEST" LLC. Hereby the Depositor is informed by the Depository, that "IC "FINPROINVEST" LLC combines depository activity with broker and dealer activity in the securities market. The present Application is an integral part of the Depository Agreement.

Дата подписания заявления/

Application Signature date: \_\_\_\_\_

Подпись/Signature: \_\_\_\_\_/\_\_\_\_\_ /

Фамилия, инициалы /Surname, initials:

Основание полномочий Представителя Клиента, подписавшего Заявление от имени Клиента/

Grounds of authority of the Client's representative who signed application on his behalf:

Доверенность/ №/ От/ действует до/  
power of authority no. \_\_\_\_\_ d.d. \_\_\_\_\_ valid till \_\_\_\_\_

Способ заключения договора/Method of conclusion of the agreement:

- Дистанционное заключение договора/Remote conclusion of the agreement  Личное присутствие при заключении договора/Personal attendance at conclusion of the agreement

**СЛУЖЕБНЫЕ ОТМЕТКИ/FOR OFFICE USE ONLY**

Настоящим подтверждаю прием Заявления и заключение с Депонентом/ I hereby confirm acceptance of the Application and conclusion with the Depositor:

Депозитарного договора № \_\_\_\_\_ от \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
of Depository agreement no. \_\_\_\_\_ d.d. \_\_\_\_/\_\_\_\_/\_\_\_\_/

Подпись сотрудника/Employee's signature: \_\_\_\_\_/

М.П./L.S.

**ЗАЯВЛЕНИЕ О ПРИСОЕДИНЕНИИ  
(для юридического лица)**

**APPLICATION FOR ACCESSION  
(for legal entity)**

Сведения о Клиенте/Information on the Client:

Полное наименование на русском языке/Full name in Russian: \_\_\_\_\_

Полное наименование на иностранном языке/Full name in foreign language: \_\_\_\_\_

Адрес местонахождения/  
Address of place of business: \_\_\_\_\_

ОГРН/OGRN: \_\_\_\_\_

ИНН/TIN: \_\_\_\_\_

Настоящим Заявлением Клиент в соответствии со статьей 428 Гражданского кодекса РФ полностью и безоговорочно присоединяется к условиям и акцептует/ By this application pursuant to article 428 of the RF Civil code the Client absolutely and unreservedly accedes to the terms and accepts:

*Депозитарный договор, а также Условия осуществления депозитарной деятельности ООО «ИК «ФИНПРОИНВЕСТ» (далее - Клиентский регламент), условия которых определены ООО «ИК «ФИНПРОИНВЕСТ» (далее - Депозитарий), и просит Депозитарий открыть Депоненту соответствующий Счет депо в соответствии с Клиентским регламентом следующего типа:/Depository agreement as well as Terms of implementation of the depository activity of "IC "FINPROINVEST" LLC (herein under - Client's regulations), the terms of which are determined by "IC "FINPROINVEST" LLC (herein under – Depository) and requests the Depository to open for the Depositor the relevant Account according the Client's regulations of the following type:*

Основной счет депо владельца  
Owner's main account

Торговый счет депо владельца  
Owner's trade securities account

Депозитный счет депо  
Deposit securities account

Казначейский счет депо  
Treasury securities account

Счет депо депозитарных программ  
Depository programs securities account

Счета депо доверительного управляющего  
Trustee securities account

Счета депо номинального держателя  
Nominee Holder securities account

Счета депо иностранного номинального держателя  
Foreign Nominee Holder securities account

Подписывая настоящее Заявление, Депонент подтверждает, что ознакомлен с Депозитарным договором, Условиями осуществления депозитарной деятельности (далее - Клиентским регламентом) и приложениями к нему, Тарифами на услуги Депозитария, а также иными документами, регулирующими порядок и условия предоставления депозитарных услуг Депозитарием, обязуется соблюдать все положения вышеуказанных документов, и подтверждает достоверность данных, указанных в Анкете. Подписывая настоящее Заявление, Депонент подтверждает, что согласен изменить в рамках депозитарного договора территориальную подсудность на договорную подсудность, по месту нахождения ООО «ИК «ФИНПРОИНВЕСТ». После подачи настоящего Заявления Депонент не может ссылаться на то, что он не ознакомился с вышеуказанными документами (полностью или частично) либо не признает их обязательность в договорных отношениях с ООО «ИК «ФИНПРОИНВЕСТ». Настоящим Депонент поставлен в известность Депозитарием, что ООО «ИК «ФИНПРОИНВЕСТ» совмещает депозитарную деятельность с брокерской и дилерской деятельностью на рынке ценных бумаг. Настоящее Заявление является неотъемлемой частью Депозитарного договора.

**Hereby the undersigned Depositor certifies that he has read and understood the Depository agreement and is aware of terms and conditions of implementation of depository activity (further – Client's regulations) and annexes thereto, Tariffs for services of Depository as well as other documents regulating procedure and conditions of providing depository services by Depository, undertakes to observe all provisions of the above-stated documents, and confirms reliability of the data specified in the Questionnaire. Hereby the undersigned Depositor certifies that he agrees to change within the depository contract territorial jurisdiction to contractual jurisdiction, at the place of business of "IC "FINPROINVEST" LLC. After submission of the present Application the Depositor**

cannot refer to the fact that he has not read and understood the above-stated documents (in whole or in part) or does not recognize their compulsory nature in contractual relations with “IC “FINPROINVEST” LLC. Hereby the Depositor is informed by the Depository that “IC “FINPROINVEST” LLC combines depository activity with broker and dealer activity in the securities market. The present Application is an integral part of the Depository Agreement.

Реквизиты специального депозитарного счета Клиента/Banking details of special securities account:

Наименование и ИНН  
получателя/Beneficiary's name and TIN : \_\_\_\_\_

Расчетный счет  
№/Settlement account  
по.: \_\_\_\_\_ в/ln \_\_\_\_\_  
(полное наименование банка получателя/full name of beneficiary's bank)

(местонахождение банка получателя (страна и/или город); ИНН банка получателя/place of business of beneficiary's bank)

Корреспондентский счет  
№/Correspondent account: \_\_\_\_\_ БИК/  
RCBIC: \_\_\_\_\_

Подпись Клиента/Представителя Клиента/Client's /Client's representative's signature:

Дата подписания заявления/Application  
Signature date: \_\_\_\_\_

Подпись/Signature: \_\_\_\_\_  
М.П./L.S. \_\_\_\_\_

Должность, фамилия,  
инициалы/Position,surname,initials: \_\_\_\_\_

Основание полномочий Представителя Клиента, подписавшего заявление от его имени / Grounds of authority of the Client's representative who signed application on his behalf:

№/no. \_\_\_\_\_ От/d.d. \_\_\_\_\_ действует  
до/valid till \_\_\_\_\_  
(наименование документа, его номер, дата и срок действия) /name, number, issue date and validity of the document)

Способ заключения договора/Method of conclusion of the agreement:

Дистанционное заключение договора/Distant conclusion of the agreement  Личное присутствие при заключении договора/Personal attendance at conclusion of the agreement

**СЛУЖЕБНЫЕ ОТМЕТКИ/FOR OFFICE USE ONLY**

Настоящим подтверждаю прием Заявления и заключение с Клиентом/ I hereby confirm acceptance of the Application and conclusion with the Client:

Депозитарного договора № \_\_\_\_ от \_\_\_\_/\_\_\_\_/\_\_\_\_\_/of Depository agreement no. \_\_\_\_d.d. \_\_\_\_/\_\_\_\_/\_\_\_\_\_/

Подпись сотрудника/Employee's signature:	/
	М.П./L.S.

**ДЕПОЗИТАРИЙ / DEPOSITORY**

Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

**ПОРУЧЕНИЕ НА ОТКРЫТИЕ СЧЕТА ДЕПО  
INSTRUCTION FOR OPENING SECURITIES ACCOUNT**

(для физических лиц) / (for individuals)

Я, нижеподписавшийся(ая) the undersigned hereby, \_\_\_\_\_ :

Паспорт Серия / Passport series: \_\_\_\_\_

Паспорт номер / Passport number: \_\_\_\_\_

Дата выдачи / issue date : \_\_\_\_\_

Выдан / issued: \_\_\_\_\_

поручаю открыть в Депозитарии / I request to open in the Depository of ::

на моё имя отдельный счет депо / open in my name separate securities account::

клиринговая организация / Clearing organization::

для учета и/или хранения ценных бумаг на основании договора счета депо / for accounting and/or safekeeping of securities basing on the securities account agreement:

**Основание для операции / Reason for payment:**

Договор счета депо / Securities account no.: \_\_\_\_\_

Анкета клиента / Client profile: \_\_\_\_\_

Подпись Депонента / Depositor's signature

Подпись Уполномоченного представителя / Signature of  
authorized representative

\_\_\_\_\_  
/\_\_\_\_\_  
м. п. / I.s.

\_\_\_\_\_  
/\_\_\_\_\_  
м. п. / I.s.

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order  
was received: \_\_\_\_\_

Обработано в депозитарии / Processed in the Depository: \_\_\_\_\_

Номер поручения / The order number: \_\_\_\_\_

Номер операции / Operation no.: \_\_\_\_\_

Ответственный исполнитель / Responsible executor: \_\_\_\_\_

Ответственный исполнитель / Responsible executor: \_\_\_\_\_

\_\_\_\_\_  
/\_\_\_\_\_  
м. п. / I.s.



**ДЕПОЗИТАРИЙ / DEPOSITORY**

Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

**ПОРУЧЕНИЕ НА ОТКРЫТИЕ СЧЕТА ДЕПО  
INSTRUCTION FOR OPENING SECURITIES ACCOUNT**

(для юридических лиц) / (for legal entities)

Я, нижеподписавшийся(ая) / The undersigned hereby, \_\_\_\_\_, действующий(ая) на основании /  
acting on the basis of \_\_\_\_\_ обладая необходимыми на то полномочиями / having necessary jurisdiction thereof:

поручаю открыть в Депозитарии / instruct to open in the Depository of :

отдельный счет депо на имя / separate securities account in the name of::

тип счета депо / type of securities account:

клиринговая организация / Clearing organization:

для учета и/или хранения ценных бумаг на основании договора счета депо / for accounting and/or safekeeping of securities basing on the  
securities account agreement:

**Основание для операции / Reason for payment:**

Договор счета депо / Securities account no.: \_\_\_\_\_

Анкета клиента / Client profile: \_\_\_\_\_

Подпись Депонента / Depositor's signature

Подпись Уполномоченного представителя / Signature of  
authorized representative

\_\_\_\_\_  
/\_\_\_\_\_  
м. п. / l.s.

\_\_\_\_\_  
/\_\_\_\_\_  
м. п. / l.s.

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order  
was received:

Обработано в депозитарии / Processed in the Depository:

Номер поручения / The order number:

Номер операции / Operation no.:

Ответственный исполнитель / Responsible executor:

Ответственный исполнитель / Responsible executor:

\_\_\_\_\_  
/\_\_\_\_\_  
м. п. / l.s.

<b>ДЕПОЗИТАРИЙ / DEPOSITORY</b>	
<b>Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"</b>	
Лицензия № / License № 014-14060-000100	
Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018	
Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 / Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast	
Тел/факс / Telephone/fax: (4725) 461542	
<b>ПОРУЧЕНИЕ НА ЗАКРЫТИЕ СЧЕТА ДЕПО / INSTRUCTION FOR CLOSING SECURITIES ACCOUNT</b>	
(для физических лиц) / (for individuals)	
Я, нижеподписавшийся(ая) / I, the undersigned(s), _____, настоящим поручаю закрыть счет депо в Депозитарии ООО "ИК "ФИНПРОИНВЕСТ" / I hereby instruct you to close the depot account in the Depository of FINPROINVEST IC LLC".	
Депонент / Depositor: _____	
<b>Счет депо / Securities account</b>	<b>№</b> _____
<b>Основание для операции / Reason for payment:</b>	
Договор счета депо / Securities account no. _____	
<b>Подпись Депонента / Depositor's signature</b>	<b>Подпись Уполномоченного представителя / Signature of authorized representative</b>
/	/
м. п. / I.S.	м. п. / I.S.
<b>ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY</b>	
(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)	
Дата и время приема поручения / Date and time when the order was received:	Обработано в депозитарии / Processed in the Depository:
Номер поручения / The order number:	Номер операции / Operation no.:
Ответственный исполнитель / Responsible executor:	Ответственный исполнитель / Responsible executor:
/	/
	м. п. / I.S.

**ДЕПОЗИТАРИЙ / DEPOSITORY**

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**  
Лицензия № / License № 014-14060-000100  
Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018  
Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /  
Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast  
Тел/факс / Telephone/fax: (4725) 461542

**ПОРУЧЕНИЕ НА ЗАКРЫТИЕ СЧЕТА ДЕПО / INSTRUCTION FOR CLOSING SECURITIES ACCOUNT**

(для юридических лиц) / (for legal entities)

Я, нижеподписавшийся(аяся) / I, the undersigned(s), \_\_\_\_\_ действующий  
на основании/acting on the basis \_\_\_\_\_, обладая необходимыми на то полномочиями, настоящим поручаю закрыть  
счет депо в Депозитарии ООО "ИК "ФИНПРОИНВЕСТ" /having the necessary authority, I hereby instruct you to close the depot account in the Depository  
of FINPROMINVEST IC LLC".

Депонент / Depositor: \_\_\_\_\_

Счет депо / Securities account № \_\_\_\_\_

Основание для операции / Reason for payment: \_\_\_\_\_

Договор счета депо / Securities account no. \_\_\_\_\_

Подпись Депонента / Depositor's signature

Подпись Уполномоченного представителя / Signature of  
authorized representative

м. п. / I.s.

м. п. / I.s.

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order was  
received: \_\_\_\_\_

Обработано в депозитарии / Processed in the Depository: \_\_\_\_\_

Номер поручения / The order number: \_\_\_\_\_

Номер операции / Operation no.: \_\_\_\_\_

Ответственный исполнитель / Responsible executor: \_\_\_\_\_

Ответственный исполнитель / Responsible executor: \_\_\_\_\_

м. п. / I.s.

к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

### ДЕПОЗИТАРИЙ / DEPOSITORY

Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

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Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

### ОТМЕТКИ ДЕПОЗИТАРИЯ / MARK AS ACCEPTED BY DEPOSITORY

Входящий № / Incoming no.:

Дата и время / Date and time:

Номер операции / Operation no.:

Оператор / Operator:

### ПОРУЧЕНИЕ НА ИЗМЕНЕНИЕ АНКЕТНЫХ ДАННЫХ КЛИЕНТА (ДЕПОНЕНТА) / INSTRUCTION FOR CHANGINING CLIENT'S QUESTIONNAIRE INFORMATION

Депонент / Depositor:

Счет депо / Securities account:

№

Основание для операции / Grounds for operation:

Договор счета депо / Securities account: № от

Анкета клиента / Client's questionnaire: № от

Подпись Депонента / Depositor's signature

Подпись Уполномоченного представителя  
Authorized representative's signature

м. п. / l.s.

м. п. / l.s.

### ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order was received:

Номер поручения / The order number:

Ответственный исполнитель / Responsible executor::

Обработано в депозитарии / Processed in the Depository:

Номер операции / Operation no.:

Ответственный исполнитель / Responsible executor::

м. п. / l.s.

к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

### ДЕПОЗИТАРИЙ / DEPOSITORY

#### Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"

Лицензия № / License no. 014-14060-000100

выдана Центральным банком Российской Федерации, дата выдачи 03.05.2018 г.

Issued by the Central Bank of the Russian Federation, issue date: 03.05.2018

Фактический адрес: Белгородская обл., г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Телефон/факс// Telephone /fax:: (4725) 461542

### ПОРУЧЕНИЕ О НАЗНАЧЕНИИ ПРЕДСТАВИТЕЛЯ INSTRUCTION ON APPOINTMENT OF A REPRESENTATIVE

Сведения о Депоненте/ Data on the Depositor:

ФИО/наименование Sur-  
name, first name & patro-  
nymic /name title: \_\_\_\_\_

Должность и ФИО лица, действующего от  
имени Депонента<sup>1</sup>/ Position and first name  
& patronymic acting on behalf of the Client<sup>1</sup>: \_\_\_\_\_

№ и дата Депозитарного договора/no. and date of  
the Depository agreement

Прошу назначить своим Представителем по Счетам депо (отметить тип соответствующих Счетов депо):

*I hereby request to appoint as my Representative on Securities accounts (please tick the type of corresponding Securities accounts):*

- |  |  |
|--|--|
| <input type="checkbox"/> Счета депо владельца<br><i>Owner's securities account</i>   | <input type="checkbox"/> Счета депо номинального держателя<br><i>Nominal holder's securities account</i>   |
| <input type="checkbox"/> Торговый счет депо владельца<br><i>Owner's trading securities account</i>                           | <input type="checkbox"/> Торговый счет депо номинального держателя<br><i>Nominal holder's trading securities account</i>                               |
| <input type="checkbox"/> Депозитный счет депо<br><i>Depository securities account</i>  | <input type="checkbox"/> Счета депо иностранного номинального держателя<br><i>Foreign nominal holder's securities account</i>                          |
| <input type="checkbox"/> Казначейский счет депо<br><i>Treasury securities account</i>  | <input type="checkbox"/> Торговый счет депо иностранного номинального держателя<br><i>Trading securities account of a foreign nominal holder</i>       |
| <input type="checkbox"/> Счет депо депозитарных программ<br><i>Depository account</i>  | <input type="checkbox"/> Счета депо иностранного уполномоченного держателя<br><i>Securities accounts of a foreign authorized holder</i>                |
| <input type="checkbox"/> Счета депо доверительного управляющего<br><i>Trust manager's securities accounts</i>                | <input type="checkbox"/> Торговый счет депо иностранного уполномоченного держателя<br><i>Trading securities account of a foreign authorized holder</i> |
| <input type="checkbox"/> Торговый счет депо доверительного управляющего<br><i>Trust manager's trading securities account</i> |  |

№№/по.по. \_\_\_\_\_

следующее лицо («Представитель») / the below stated person («Representative»):

Ф.И.О. (полностью)/ sur-  
name and first names in  
full: \_\_\_\_\_

Адрес места жительства (регистрации), включая индекс/ the address  
of the place of residence (registration) including index: \_\_\_\_\_

Вид документа, удостоверяющего личность /Form of  
ID document \_\_\_\_\_

Серия/series \_\_\_\_\_

дата  
выдачи/issue  
date \_\_\_\_\_

Номер/number \_\_\_\_\_

<sup>1</sup> Заполняется, если Депонент является юридическим лицом. Для поверенных пункт «должность» не заполняется/ Fill in if the Depositor is a legal entity. Item "Position" shall not be filled for attorneys.

орган, выдавший  
документ/*issuing authority*:  
срок действия/*valid*  
*till*

код подразделения (при наличии)  
*/ subdivision code (if any)*:

Полное наименование/*Full*  
*name*:

Адрес места нахождения (включая индекс)/*Location*  
*address including index*:

ОГРН (для российских организаций) / регистрационный номер и дата  
регистрации (для иностранных организаций)/*OGRN (for Russian com-*  
*panies/registration no. and date (for foreign companies)*:

ИНН (для российских организаций) / регистрационный номер налого-  
плательщика (для иностранных организаций)/*TIN (for Russian compa-*  
*nies/taxpayer's registration number (for foreign companies)*:

**Дата окончания полномочий Представителя (ДД/ММ/ГГ) /Date of expiry of powers**  
**of the Representative (DD/MM/YY)**

Прилагаются документы, подтверждающие полномочия Представителя/*Documents confirming powers of the*  
*Representative attached*:

1. Доверенность (номер и дата) /*Power*  
*of authority (no and date)*
2. Иной документ (номер и дата)/*Other*  
*document (no and date)*

Подпись/*Signature*:

Дата/*Date*: \_\_\_\_\_  
\_\_\_\_\_ **ФИО**  
*/full name*

(заполняется собственноручно<sup>2</sup> Депонен-  
том/Представителем Депонента) / *by Deposi-*  
*tor's /Depositor's representative's own hand*<sup>2</sup>

ОТМЕТКИ ДЕПОЗИТАРИЯ ОБ ИСПОЛНЕНИИ ПОРУЧЕНИЯ MARKED BY THE DEPOSITORY "AS INSTRUCTION EXECUTED"	
Обработано/ <i>Processed</i>	Исполнено/ <i>Executed</i>

<sup>2</sup> В случае предоставления в бумажной форме./if submitted in paper form.

к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

---

**ДЕПОЗИТАРИЙ / DEPOSITORY**

---

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License no. 014-14060-000100

выдана Центральным банком Российской Федерации, дата выдачи 03.05.2018 г.

Issued by the Central Bank of the Russian Federation, issue date: 03.05.2018

Фактический адрес: Белгородская обл., г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Телефон/факс// Telephone /fax:: (4725) 461542

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**ЗАЯВЛЕНИЕ**

**о прекращении действия доверенности на представителя Депонента**

**STATEMENT**

**on cancellation of power of attorney for Depositor's representative**

Сведения о Депоненте: /Information of a Depositor:

ФИО/наименование:

Surname, first name & patronym-  
ic/business name \_\_\_\_\_

№ и дата доверенности на Представителя Депонента

No. and date of power of attorney for Depositor's representative \_\_\_\_\_

Доверенность выдана в рамках Депозитарного договора № и дата:

POA is granted under Depository agreement no. and the date: \_\_\_\_\_

Настоящим Депонент уведомляет ООО «ИК «ФИНПРОИНВЕСТ» о прекращении действия указанной в настоящем Заявлении доверенности, выданной Депонентом своему Представителю:

Hereby the Depositor notifies "IC "FINPROINVEST" on cancellation of power of attorney specified in this statement which was granted by the Depositor to its representative:

(Ф.И.О. Представителя Клиента/the Client's representative's surname, first name & patronymic)

Основание прекращения действия указанной в настоящем Заявлении доверенности:

Grounds for cancellation of the power of attorney specified in this Statement:

- отмена доверенности Депонентом;/cancellation of the power of attorney by the Depositor;
- отказ Представителя от исполнения полномочий по доверенности;/the Representative's refuse to exercise powers under the POA;
- прекращение Депонента - юридического лица, от имени которого выдана доверенность; /winding –up of the Depositor-legal entity on behalf whereof the POA was issued;
- смерть Депонента, выдавшего доверенность;/demise of the Depositor who issued the POA;
- признание Депонента недееспособным, ограниченно дееспособным или безвестно отсутствующим;/ judicial decision on recognition of the Depositor to lack dispositive legal capacity; be of diminished capacity or whose whereabouts are unknown;
- смерть Представителя, которому выдана доверенность; ;/demise of the Representative to whom the POA was issued;
- признание Представителя недееспособным, ограниченно дееспособным или безвестно отсутствующим. ./ judicial decision on recognition of the Representative to lack dispositive legal

capacity; be of diminished capacity or whose whereabouts are unknown;

Настоящим Заявлением Депонент подтверждает, что прекращение действия указанной в настоящем Заявлении доверенности на основании ст.ст. 188, 189 Гражданского кодекса РФ влечет прекращение всех полномочий, переданных Представителю Депонента по такой доверенности.

By this Statement hereby the Depositor confirms that cancellation of the power of attorney specified in this Statement on the basis of Article 188, 189 of the Civil Code of the Russian Federation creates termination of all powers delegated to the Depositor 's Representative under such power of attorney.

Депонент подтверждает, что настоящее Заявление считается полученным ООО «ИК «ФИНПРОИНВЕСТ» и последний считается извещенным о прекращении действия доверенности на Представителя (для ООО «ИК «ФИНПРОИНВЕСТ» действие такой доверенности прекращается) со дня, следующего за днем получения ООО «ИК «ФИНПРОИНВЕСТ» настоящего Заявления лично от Депонента либо по почте, о чем в разделе «Заполняется сотрудником Депозитария» настоящего Заявления делается соответствующая датированная отметка Депозитария и ставится подпись уполномоченного сотрудника Депозитария.

The Depositor confirms that the present Statement is considered as received by “IC “FINPROINVEST” LLC and the latter is considered as to be informed on cancellation of the power of attorney for the Representative (for “IC “FINPROINVEST” LLC validity of such power of attorney is cancelled) from the date following the day of receiving by “IC “FINPROINVEST” LLC of the present Statement personally from the Depositor or by mail whereof under the subtitle "for Depository use only" of the present Statement the relevant Depository's mark bearing the date shall be made and the Depository's authorized employee's signature affixed.

Дата: \_\_\_\_\_ Подпись: \_\_\_\_\_ ФИО: \_\_\_\_\_  
Date \_\_\_\_\_ Signature: \_\_\_\_\_ & patronymic \_\_\_\_\_  
surname, first name

М.П.

**Заполняется сотрудником Депозитария/ for Depository use only**

Дата и время приема/Date and time of receipt	Отв.Исп./ authorized employee
«__» _____ 20__ (__:__:__)	_____ _____



к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

<b>ДЕПОЗИТАРИЙ / DEPOSITORY</b>	
<b>Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"</b>	
Лицензия № / License № 014-14060-000100	
Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018	
Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /	
Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast	
Тел/факс / Telephone/fax: (4725) 461542	
<b>ПОРУЧЕНИЕ НА ОТМЕНУ НЕИСПОЛНЕННОГО ПОРУЧЕНИЯ / INSTRUCTION FOR CANCELLATION OF INSTRUCTION</b>	
Депонент / Depositor:	
<b>Счет депо: / Securities account no</b>	<b>№</b> <input type="text"/>
Настоящим отменяю ранее поступившее/направленное в Депозитарий поручение от _____ / We hereby cancel a previously received/sent to the Depository order from _____	
Номер и/или иная значимая информация по отменяемому поручению / Number and / or other significant information on the canceled order: :	
<b>Подпись Депонента / Depositor's signature</b>	<b>Подпись Контрагента / Counteragent's signature</b>
/	/
м. п. / I.s.	м. п. / I.s.
<b>ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY</b>	
<small>(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)</small>	
Дата и время приема поручения / Date and time when the order was received:	Обработано в депозитарии / Processed in the Depository:
Номер поручения / The order number:	Номер операции / Operation no.:
Ответственный исполнитель / Responsible executor::	Ответственный исполнитель / Responsible executor::
/	/
	м. п. / I.s.

**ДЕПОЗИТАРИЙ / DEPOSITORY****Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /

Actual address: 49A Olympyisky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

**ОТМЕТКИ ДЕПОЗИТАРИЯ / MARK AS ACCEPTED BY DEPOSITORY**

Входящий № / Incoming no.:

Дата и время / Date and time:

Номер операции / Operation no.:

Оператор / Operator:

**ПОРУЧЕНИЕ НА ОПЕРАЦИИ С ЦЕННЫМИ БУМАГАМИ  
INSTRUCTION FOR OPERATIONS WITH SECURITIES****ДЕПОНЕНТ / DEPOSITOR:**

Счет депонента № / Depositor's account no.:

Наименование и номер раздела счета /  
Subaccount name and no.:

Тип счета / Type of account:

Место хранения ЦБ / Place of securities  
safekeeping:

Документ / Document:

Контактное лицо / Contact person:

**КОНТРАГЕНТ / COUNTERAGENT:**

Счет контрагента / The account of the counterparty:

Наименование и номер раздела счета /  
Subaccount name and no.:

Тип счета / Type of account:

Место хранения ЦБ / Place of securities  
safekeeping:

Документ / Document:

Контактное лицо / Contact person:

**Эмитент / Issue**Вид, категория ЦБ / Type, category of  
Securities:Номер гос. регистрации / State registration  
no.:Дата гос. Регистрации /  
State registration date:

Номинал / Fair value:

цифры (прописью) / numbers (in words)

Количество / Quantity:

шт. / pcs.

цифры (прописью) / numbers (in words)

Цена сделки / Transaction price:

RUB

цифры (прописью) / numbers (in words)

Сумма сделки / Transaction amount:

RUB

цифры (прописью) / numbers (in words)

Способ хранения / Method of safekeeping:

 - открытый / open - закрытый / closed - маркированный / marked**Операция / Operation****Основание операции / Ground for operation**Зачисление / Списание / Перевод / Перемещение  
Crediting / Debiting / Transferring securities /  
Transferring Moving Срочное исполнение поручения / Immediate execution of instruction**Подпись Депонента / Depositor's signature****Подпись Контрагента / Counteragent's signature**

м. п. / I.S.

м. п. / I.S.

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order was  
received:

Обработано в депозитарии / Processed in the Depository:

Номер поручения / The order number:

Номер операции / Operation no.:

Ответственный исполнитель / Responsible executor::

Ответственный исполнитель / Responsible executor::

м. п. / I.S.

к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

---

**ДЕПОЗИТАРИЙ / DEPOSITORY**

---

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

Фактический адрес: Белгородская обл., г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Телефон/факс// Telephone /fax:: (4725) 461542

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**ПОРУЧЕНИЕ НА УЧАСТИЕ В КОРПОРАТИВНОМ ДЕЙСТВИИ /  
INSTRUCTION FOR PARTICIPATION IN CORPORATE ACTION**

---

Сведения о Депоненте (клиенте номинального или иностранного номинального держателя) / Data on the Depositor:

ФИО / наименование: Surname, first name & patronymic /name title: \_\_\_\_\_

---

Должность и ФИО лица, действующего от имени Депонента / Position and Surname, first name & patronymic of a person acting on behalf of the Depositor: \_\_\_\_\_

---

Уполномоченное лицо / Authorized person: \_\_\_\_\_

Должность и ФИО лица, действующего от имени Уполномоченного лица / Position and Surname, first name & patronymic of a person acting on behalf of the Authorized person: \_\_\_\_\_

№ и дата Депозитарного договора (Договора о междепозитарных отношениях) / No. and the date of the Depository agreement (Agreement on interdepository relations): \_\_\_\_\_

Номер счета депо/ Securities account no.: \_\_\_\_\_

LEI Код Депозитария (на дату среза) / Legal entity identifier code of the Depository (as at the date of data – slice): \_\_\_\_\_

---

Тип корпоративного действия/Type of a corporate action:

- |   |   |
|---|---|
| <input type="checkbox"/> Преимущественное право /Preemptive right   | <input type="checkbox"/> Добровольное предложение о приобретении акций (ст. 84.1) / Voluntary offer to acquire shares (line 84.1) |
| <input type="checkbox"/> Приобретение (выкуп) ценных бумаг обществом (ст.72) /Acquisition (buyback) of securities by the company (line 72)                        | <input type="checkbox"/> Обязательное предложение о приобретении акции (84.2) / Mandatory offer to acquire shares (line 84.2)     |
| <input type="checkbox"/> Выкуп ценных бумаг обществом по требованию акционеров (ст.75) /Buyback of securities by the company at request of shareholders (line 75) | <input type="checkbox"/> Выкуп облигаций по требованию владельца /Buyback of bonds at request of the owner                        |

Сведения о ценных бумагах, участвующих в корпоративном действии / Data on securities participating in corporate action:

Эмитент/Issuer: \_\_\_\_\_

Вид ЦБ, тип (категория)/Form (type, category) of securities: \_\_\_\_\_

Номер гос. регистрации/ISIN/State registration/ ISIN code/no: \_\_\_\_\_

Количество ЦБ (цифрами / прописью) /Quantity of securities (in numbers/in writing): \_\_\_\_\_

---

Сведения о платеже и банковские реквизиты для возврата денежных средств / Information on payment and bank details for refund:

Номер п/п / No: \_\_\_\_\_

Дата п/п / Date in ascending order: \_\_\_\_\_

Сумма платежа / Payment amount: \_\_\_\_\_

Назначение платежа / purpose of payment: \_\_\_\_\_

Наименование Банка / Bank name: \_\_\_\_\_

Город Банка/Bank location: \_\_\_\_\_

Корреспондентский счет / Correspondent account: \_\_\_\_\_

ИНН/TIN: \_\_\_\_\_

БИК / Bank identifier code: \_\_\_\_\_

Расчетный (текущий) счет / Settlement (current) account: \_\_\_\_\_

Наименование получателя / Beneficiary name: \_\_\_\_\_

Лицевой счет / Client personal account: \_\_\_\_\_

Дата / \_\_\_\_\_ Подпись / Sig- \_\_\_\_\_ ФИО / Sur-  
Date: \_\_\_\_\_ nature: \_\_\_\_\_ name, first

name & pat-  
ronymic \_\_\_\_\_  
заполняется собственноручно  
Депонентом/Представителем Депонента)/(should  
be filled in own handwriting by Depositor/Depositor's  
representative

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**  
(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order was received:	Обработано в депозитарии / Processed in the Depository:
Номер поручения / The order number:	Номер операции / Operation no.:
Ответственный исполнитель / Responsible executor::	Ответственный исполнитель / Responsible executor::
_____ / _____	_____ / _____



**ДЕПОЗИТАРИЙ / DEPOSITORY**

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

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Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

**ОТМЕТКИ ДЕПОЗИТАРИЯ / MARK AS ACCEPTED BY DEPOSITORY**

Входящий № / Incoming no.:

Дата и время / Date and time:

Номер операции / Operation no.:

Оператор / Operator:

**ПОРУЧЕНИЕ НА ОПЕРАЦИИ С ЦЕННЫМИ БУМАГАМИ  
INSTRUCTION FOR OPERATIONS WITH SECURITIES**

**ДЕПОНЕНТ / DEPOSITOR:**

Счет депонента № / Depositor's account no.:

Наименование и номер раздела счета /  
Subaccount name and no.:

Тип счета / Type of account:

Место хранения ЦБ / Place of securities  
safekeeping:

Документ / Document:

Контактное лицо / Contact person:

**КОНТРАГЕНТ / COUNTERAGENT:**

Счет контрагента / The account of the counterparty:

Наименование и номер раздела счета /  
Subaccount name and no.:

Тип счета / Type of account:

Место хранения ЦБ / Place of securities  
safekeeping:

Документ / Document:

Контактное лицо / Contact person:

**Эмитент / Issue**

Вид, категория ЦБ / Type, category of  
Securities:

Номер гос.регистрации / State registration  
no.:

Дата гос. Регистрации /  
State registration date:

Номинал / Fair value:

цифры (прописью) / numbers (in words)

Количество / Quantity:

*шт. / pcs.*

цифры (прописью) / numbers (in words)

Цена сделки / Transaction price:

*RUB*

цифры (прописью) / numbers (in words)

Сумма сделки / Transaction amount:

*RUB*

цифры (прописью) / numbers (in words)

Способ хранения / Method of safekeeping:

- открытый / open     - закрытый / closed     - маркированный / marked

**Операция / Operation**

**Основание операции / Ground for operation**

Блокирование/Снятие блокировки /  
Blocking/Deblocking

Срочное исполнение поручения / Immediate execution of instruction

**Подпись Депонента / Depositor's signature**

**Подпись Контрагента / Counteragent's signature**

/

/

м. п. / I.s.

м. п. / I.s.

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order was received:

Обработано в депозитарии / Processed in the Depository:

Номер поручения / The order number:

Номер операции / Operation no.:

Ответственный исполнитель / Responsible executor:

Ответственный исполнитель / Responsible executor:

/

/

м. п. / I.s.

**ДЕПОЗИТАРИЙ / DEPOSITORY****Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

**ОТМЕТКИ ДЕПОЗИТАРИЯ / MARK AS ACCEPTED BY DEPOSITORY**

Входящий № / Incoming no.:

Дата и время / Date and time:

Номер операции / Operation no.:

Оператор / Operator:

**ПОРУЧЕНИЕ НА ОПЕРАЦИИ С ЦЕННЫМИ БУМАГАМИ  
INSTRUCTION FOR OPERATIONS WITH SECURITIES****ДЕПОНЕНТ / DEPOSITOR:**

Счет депонента № / Depositor's account no.:

Наименование и номер раздела счета /  
Subaccount name and no.:

Тип счета / Type of account:

Место хранения ЦБ / Place of securities  
safekeeping:

Документ / Document:

Контактное лицо / Contact person:

**КОНТРАГЕНТ / COUNTERAGENT:**

Счет контрагента / The account of the counterparty:

Наименование и номер раздела счета /  
Subaccount name and no.:

Тип счета / Type of account:

Место хранения ЦБ / Place of securities  
safekeeping:

Документ / Document:

Контактное лицо / Contact person:

**Эмитент / Issue**Вид, категория ЦБ / Type, category of  
Securities:Номер гос.регистрации / State registration  
no.:Дата гос. Регистрации /  
State registration date:

Номинал / Fair value:

цифры (прописью) / numbers (in words)

Количество / Quantity:

шт. / pcs.

цифры (прописью) / numbers (in words)

Цена сделки / Transaction price:

RUB

цифры (прописью) / numbers (in words)

Сумма сделки / Transaction amount:

RUB

цифры (прописью) / numbers (in words)

Способ хранения / Method of safekeeping:

 - открытый / open - закрытый / closed - маркированный / marked**Операция / Operation****Основание операции / Ground for operation**Передача в залог / Возврат из залога  
Pledge agreement/Release from pledge Срочное исполнение поручения / Immediate execution of instruction**Подпись Депонента / Depositor's signature****Подпись Контрагента / Counteragent's signature**

/

/

м. п. / I.s.

м. п. / I.s.

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order was  
received:

Обработано в депозитарии / Processed in the Depository:

Номер поручения / The order number:

Номер операции / Operation no.:

Ответственный исполнитель / Responsible executor::

Ответственный исполнитель / Responsible executor::

/

/

м. п. / I.s.

**ДЕПОЗИТАРИЙ / DEPOSITORY**

Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

**ОТМЕТКИ ДЕПОЗИТАРИЯ / MARK AS ACCEPTED BY DEPOSITORY**

Входящий № / Incoming no.:

Дата и время / Date and time:

Номер операции / Operation no.:

Оператор / Operator:

**ПОРУЧЕНИЕ НА ОПЕРАЦИИ С ЦЕННЫМИ БУМАГАМИ  
INSTRUCTION FOR OPERATIONS WITH SECURITIES****ДЕПОНЕНТ / DEPOSITOR:**

Счет депонента № / Depositor's account no.:

Наименование и номер раздела счета /  
Subaccount name and no.:

Тип счета / Type of account:

Место хранения ЦБ / Place of securities  
safekeeping:

Документ / Document:

Контактное лицо / Contact person:

**КОНТРАГЕНТ / COUNTERAGENT:**

Счет контрагента / The account of the counterparty:

Наименование и номер раздела счета /  
Subaccount name and no.:

Тип счета / Type of account:

Место хранения ЦБ / Place of securities  
safekeeping:

Документ / Document:

Контактное лицо / Contact person:

**Эмитент / Issue**Вид, категория ЦБ / Type, category of  
Securities:Номер гос.регистрации / State registration  
no.:Дата гос. Регистрации /  
State registration date:

Номинал / Fair value:

цифры (прописью) / numbers (in words)

Количество / Quantity:

шт. / pcs.

цифры (прописью) / numbers (in words)

Цена сделки / Transaction price:

RUB

цифры (прописью) / numbers (in words)

Сумма сделки / Transaction amount:

RUB

цифры (прописью) / numbers (in words)

Способ хранения / Method of safekeeping:

 - открытый / open - закрытый / closed - маркированный / marked**Операция / Operation****Основание операции / Ground for operation**Конвертация / Погашение (аннулирование) ЦБ/  
conversion/redemption (invalidation) of securities Срочное исполнение поручения / Immediate execution of instruction

Подпись Депонента / Depositor's signature

Подпись Контрагента / Counteragent's signature

/

м. п. / I.S.

/

м. п. / I.S.

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order was  
received:

Обработано в депозитарии / Processed in the Depository:

Номер поручения / The order number:

Номер операции / Operation no.:

Ответственный исполнитель / Responsible executor::

Ответственный исполнитель / Responsible executor::

/

м. п. / I.S.



**ДЕПОЗИТАРИЙ / DEPOSITORY**

Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

**ПОРУЧЕНИЕ НА КОРРЕКТИРОВКУ РЕКВИЗИТОВ СЧЕТА ДЕПО /  
INSTRUCTION FOR CORRECTION OF BANKING DETAILS OF SECURITIES ACCOUNT**

Я, нижеподписавш(ийся/аяся) \_\_\_\_\_, обладая необходимыми на то полномочиями, прошу осуществить корректировку реквизитов по счету депо согласно прилагаемой Анкеты Клиента. /  
The undersigned \_\_\_\_\_, hereby having necessary jurisdiction thereof request to do correction of banking details of the securities account according to the Client's questionnaire attached hereunder.

Депонент / Depositor:

Счет депо / Securities account

№ \_\_\_\_\_

Основание для операции / Grounds for operation:

Договор счета депо / Securities account agreement no.:

№ \_\_\_\_\_ от \_\_\_\_\_

Анкета клиента / Client's questionnaire:

№ \_\_\_\_\_ от \_\_\_\_\_

Подпись Депонента / Depositor's signature

Подпись Контрагента / Counteragent's signature

\_\_\_\_\_  
м. п. / I.s.

\_\_\_\_\_  
м. п. / I.s.

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order was received:

Обработано в депозитарии / Processed in the Depository:

Номер поручения / The order number:

Номер операции / Operation no.:

Ответственный исполнитель / Responsible executor::

Ответственный исполнитель / Responsible executor::

\_\_\_\_\_  
м. п. / I.s.

**ДЕПОЗИТАРИЙ / DEPOSITORY**

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

**ПОРУЧЕНИЕ НА ПРЕДОСТАВЛЕНИЕ ВЫПИСКИ ПО СЧЕТУ ДЕПО / ВЫПИСКИ ОБ ОПЕРАЦИЯХ /  
INSTRUCTION FOR ISSUING STATEMENT ON SECURITIES ACCOUNT / STATEMENT OF OPERATIONS**

Депонент / Depositor:

Счет депо / Securities account №

- Выписка об операциях по счету депо за период с \_\_\_\_\_ г. по \_\_\_\_\_ г.;  
Statement on transactions on securities account for the period from \_\_\_\_\_ till \_\_\_\_\_;
- Выписка об операциях по счету депо за период с \_\_\_\_\_ г. по \_\_\_\_\_ г. по месту хранения:  
\_\_\_\_\_, по всем эмитентам;  
Statement on transactions on securities account for the period from \_\_\_\_\_ till \_\_\_\_\_ at the  
safekeeping place: \_\_\_\_\_, for all issuers;
- Выписка об операциях по счету депо за период с \_\_\_\_\_ г. по \_\_\_\_\_ г. по эмитенту:  
\_\_\_\_\_, по всем местам хранения;  
Statement on transactions on securities account for the period from \_\_\_\_\_ till \_\_\_\_\_ to the Issuer:  
\_\_\_\_\_, at all safekeeping places;
- Выписка об операциях по счету депо за период с \_\_\_\_\_ г. по \_\_\_\_\_ г. по эмитенту:  
\_\_\_\_\_ по месту хранения: \_\_\_\_\_;  
Statement on transactions on securities account for the period from \_\_\_\_\_ till \_\_\_\_\_ to the Issuer:  
\_\_\_\_\_, at the safekeeping place: \_\_\_\_\_;
- Выписка по счету депо по состоянию на \_\_\_\_\_ г.;  
Statement from securities account as on \_\_\_\_\_;
- Выписка по счету депо по месту хранения: \_\_\_\_\_, по всем эмитентам по состоянию  
на \_\_\_\_\_ г.;  
Statement from securities account at the place of safekeeping \_\_\_\_\_, on all issuers as on  
\_\_\_\_\_;
- Выписка по счету депо по эмитенту: \_\_\_\_\_, по всем местам хранения по состоянию  
на \_\_\_\_\_ г.;  
Statement from securities account of the issuer \_\_\_\_\_, at all places of safekeeping as on  
\_\_\_\_\_;
- Выписка по счету депо по эмитенту: \_\_\_\_\_, по месту хранения:  
\_\_\_\_\_, по состоянию на \_\_\_\_\_ г.;  
Statement from securities account of the issuer \_\_\_\_\_,  
at the place of safekeeping \_\_\_\_\_, as on \_\_\_\_\_.

Подпись Депонента / Depositor's signature

Подпись Контрагента / Counteragent's signature

м. п. / I.S.

м. п. / I.S.

**ДЛЯ СЛУЖЕБНЫХ ОТМЕТОК ДЕПОЗИТАРИЯ / FOR SERVICE MARKS OF THE DEPOSITORY**

(заполняется сотрудником депозитария) / (filled in by an employee of the Depository)

Дата и время приема поручения / Date and time when the order  
was received:

Обработано в депозитарии / Processed in the Depository:

Номер поручения / The order number:

Номер операции / Operation no.:

Ответственный исполнитель / Responsible executor::

Ответственный исполнитель / Responsible executor::

м. п. / I.S.

Приложение П-17  
к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

Annex P-17  
to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

				<b>ДЕПОЗИТАРИЙ</b> <b>ООО «ИК «ФИНПРОИНВЕСТ»</b> <b>Лицензия № 014-14060-000100</b> <b>от 03.05.2018 г.</b> <b>DEPOSITORY</b> <b>OF "LC "FINPROINVEST"</b> <b>Licence № 014-14060-000100</b> <b>d.d. 03.05.2018</b>		
<b>СВОДНОЕ ПОРУЧЕНИЕ КЛИЕНТА / CLIENT'S COLLECTIVE INSTRUCTION</b> на совершение операций с ценными бумагами / for performance of operations with securities за период с _____.____.____ по _____.____.____ / for the period from _____.____.____ to _____.____.____						
Клиент/Client: _____						
Депозитарный договор №/Depository agreement no. _____						
Номер счета депо (клиента)/(client's) Securities agreement no. _____						
Регистрационный номер поручения / Registration number of the instruction	Дата и время поручения / Date and time of the instruction	Вид операции / Type of the operation	Эмитент, тип, вид, выпуск, регистрационный номер ценной бумаги / Issuer, type, form, issue, registration number of the security	Количество ЦБ шт. / Quantity of the securities pcs.	Место хранения / Place of safekeeping	Состояние / Status
Подпись сотрудника Депозитария / Signature of the Depository employee: _____ / _____			Дата / Date _____			

<b>ДЕПОЗИТАРИЙ / DEPOSITORY</b>											
<b>Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"</b>											
Лицензия № / License no.014-14060-000100											
Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018											
Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 / Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast											
Тел/факс / Telephone/fax: (4725) 461542											
<b>УВЕДОМЛЕНИЕ ОБ ОТКРЫТИИ СЧЕТА ДЕПО / NOTICE OF OPENING SECURITIES ACCOUNT</b>											
Настоящим извещаем, что согласно депозитарному договору (междепозитарный договор) Please be notified hereby that according to Depository agreement (interdepository agreement)											
Договор счета депо / Securities account no.:											
Депоненту / for the Depositor:											
в Депозитарии / in the Depository:											
открыт счет депо / securities account opened:											
Счет депо / securities account: №											
Тип счёта депо / Type of securities account:											
Дата открытия счета депо / Opening date securities accoun:											
№ операции открытия счета / Securities account opening operation no.:											
Исполнитель / Employee's name: /											
м. п. / I. s.											

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**ДЕПОЗИТАРИЙ / DEPOZITORY**

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**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License no. 014-14060-000100

выдана Центральным банком Российской Федерации, дата выдачи 03.05.2018 г.

Issued by the Central Bank of the Russian Federation, issue date: 03.05.2018

Фактический адрес: Белгородская обл., г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Телефон/факс// Telephone /fax:: (4725) 461542

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**УВЕДОМЛЕНИЕ**

о заключении Депозитарного договора

**NOTICE**

of the conclusion of the Depository Agreement

Настоящим ООО «ИК «ФИНПРОИНВЕСТ» уведомляет Депонента \_\_\_\_\_  
\_\_\_\_\_ о заключении Депозитарного договора. Депозитарному договору  
присвоен номер № \_\_\_\_\_ от \_\_\_\_\_ 20\_\_ г.  
/ FINPROINVEST IC LLC hereby notifies the Depositor \_\_\_\_\_  
\_\_\_\_\_ on the conclusion of a Depository agreement. The depository agreement  
has been assigned a number № \_\_\_\_\_ from \_\_\_\_\_ 20\_\_ .  
Депоненту открыт Счет депо: \_\_\_\_\_  
A depot account has been opened for the depositor: \_\_\_\_\_

Генеральный директор \_\_\_\_\_  
General Director \_\_\_\_\_

Уведомление получил: \_\_\_\_\_ / \_\_\_\_\_ /  
I received the notification: \_\_\_\_\_ / \_\_\_\_\_ /

Дата: \_\_\_\_\_ г.

Data: \_\_\_\_\_

Приложение П-19  
к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

Annex P-19  
to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

**ДЕПОЗИТАРИЙ / DEPOSITORY**

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License № 014-14060-000100

Орган, выдавший лицензию: Банк России, дата выдачи: 03.05.2018 г. / Issuing authority: Bank of Russia, date of issue: 03.05.2018

Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 /

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Тел/факс / Telephone/fax: (4725) 461542

**ОТМЕТКИ ДЕПОЗИТАРИЯ / MARK AS ACCEPTED BY DEPOSITORY**

Номер поручения: / the order numbe: \_\_\_\_\_

Дата и время поручения: / Date and time of the order: \_\_\_\_\_

**ВЫПИСКА № \_\_\_\_\_ по счету ДЕПО по состоянию на \_\_\_\_\_ г.  
STATEMENT NO. \_\_\_\_\_ of SECURITIES account Data date \_\_\_\_\_**

**СВЕДЕНИЯ О ДЕПОНЕНТЕ / INFORMATION ON DEPOSITOR**

Наименование владельца счета / Account owner's name \_\_\_\_\_ ИНН / INN \_\_\_\_\_ ОГРН / OGRN \_\_\_\_\_

Счет депонента: / Depositor's account no. № \_\_\_\_\_

Тип счета / Type of account \_\_\_\_\_

V

Выписка по счету депо по состоянию на дату: / Statement of securities account Data date

**СВЕДЕНИЯ О КОЛИЧЕСТВЕ ЦЕННЫХ БУМАГ, УЧИТЫВАЕМЫХ НА СЧЕТЕ ДЕПО  
INFORMATION ON QUANTITY OF SECURITIES ACCOUNTED ON THE ACCOUNT**

Эмитент, Вид, категория ЦБ /Issuer,form,category	Номинал, Форма выпуска /Par value,issue form	Номер, Дата государственной регистрации /State registration number and date	Раздел счета /Subaccount	Место хранения /Custody place	Количество ЦБ (шт.) Quantity of securities (pcs)	Количество ЦБ свободно (шт.) Quantity of securities free

Ответственный исполнитель: / responsible executor: \_\_\_\_\_

м.п. / I.s.

Приложение П-20  
к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

Annex P-20  
to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

ДЕПОЗИТАРИЙ / DEPOSITORY						
<b>Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"</b>						
Лицензия № 014-14060-000100 / License no. 014-14060-000100						
Орган, выдавший лицензию: Банк России / Issuing authority: Bank of Russian						
Дата выдачи: 03.05.2018 / Date of issue: 03.05.2018						
Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1						
Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast						
Тел/факс / Telephone/fax: (4725) 461542						
ОТМЕТКИ ДЕПОЗИТАРИЯ / MARK AS ACCEPTED BY DEPOSITORY						
Номер поручения:	№ _____					
Дата и время поручения:	_____					
ОТЧЕТ № _____ ОБ ОПЕРАЦИЯХ ПО СЧЕТУ ДЕПО REPORT NO. _____ ON OPERATIONS ON SECURITIES ACCOUNT за период с _____ г. по _____ г. for the period from _____ to _____						
СВЕДЕНИЯ О ВЛАДЕЛЬЦЕ СЧЕТА ДЕПО / INFORMATION ON OWNER OF SECURITIES ACCOUNT						
Наименование владельца счета / Name of Account's owner _____						
Счет депонента № / Depositor's account no _____						
Тип счета / Type of account _____						
<input type="checkbox"/> Выписка об операциях по счету депо за период с _____ г. по _____ г., по эмитенту _____, по месту хранения _____						
Statement of operations on the depot account for the period from _____ po _____, by Issuer _____, by storage location _____						
Состояние счета на _____ г. / Account status data date						
Наименование, вид и выпуск ценных бумаг / Securities' name, form and issue	Место хранения ценных бумаг / Custody place of securities	Раздел счета депо / Subaccount of securities account	Количество ценных бумаг / Quantity of securities			
			не обремененных обязательствами / not encumbered by obligations	обремененных обязательствами / encumbered by obligations	учитываемых у залогодержателя / accounted by pledgeholder	по незавершенным операциям / on incomplected operations
Операции за отчетный период: / Operations during accounting period						
Наименование, вид и выпуск ценных бумаг / Securities' name, form and issue	Наименование операции / Transaction name	Основание операции / Ground for operation	Операция / Operation	Оборот по ценным бумагам (шт.) / Turnover on securities, pcs.		Счет контрагента / The account of the counterparty
				Зачислено / Credited	Списано / Written off	
Состояние счета на _____ г. / Account status data date						
Наименование, вид и выпуск ценных бумаг / Securities' name, form and issue	Место хранения ценных бумаг / Custody place of securities	Раздел счета депо / Subaccount of securities account	Количество ценных бумаг / Quantity of securities			
			не обремененных обязательствами / not encumbered by obligations	обремененных обязательствами / encumbered by obligations	учитываемых у залогодержателя / accounted by pledgeholder	по незавершенным операциям / on incomplected operations
Ответственный исполнитель / Responsible executor: _____						
м.п. / I.s.						

Приложение П-21  
к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

Annex P-21  
to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

<b>ДЕПОЗИТАРИЙ</b>					
<b>Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"</b>					
Лицензия № 014-14060-000100 / License no. 014-14060-000100					
Орган, выдавший лицензию: Банк России / Issuing authority: Bank of Russian					
Дата выдачи: 03.05.2018 / Date of issue: 03.05.2018					
Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1					
Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast					
Тел/факс / Telephone/fax: (4725) 461542					
<b>ОТЧЕТ № _____ / REPORT no. _____</b> <b>о выполненной депозитарной операции / on performing depository operation</b> <b>по счету депо № _____ / on securities account no _____</b>					
<b>Депонент / Depositor:</b>					
<b>Статус депонента / Depositor status:</b>					
<b>Тип операции / Type of operation:</b> Депонирование / Снятие с депонирования / Перевод / Перемещение Deposit / Withdrawal from deposit / Transfer / Move-ment					
<b>Наименование операции / Name of</b>					
<b>Эмитент / Issuer:</b>					
<b>Тип ЦБ / Type of Security:</b>					
<b>Код государственной регистрации / State registration code:</b>					
<b>Номинальная стоимость ЦБ / Nominal value of the Security:</b>					
<b>Место хранения / Storage location:</b>					
<b>Номер операции / Operation number</b>	<b>Дата исполнения операции / Date of operation execution</b>	<b>Счет депо по дебету / Debit depot account</b>	<b>Счет депо по кредиту / Deposit account for the loan</b>	<b>Количество ЦБ (шт.) / Number of securities (pcs.)</b>	<b>Основания для операции / Reasons for the operation</b>
<b>Исполнитель / Executor:</b>				<b>Дата выдачи / Date of issue:</b>	
м. п. / l. s.					



Приложение П-22  
к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

Annex P-22  
to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

<b>ДЕПОЗИТАРИЙ</b>					
<b>Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"</b>					
Лицензия № 014-14060-000100 / License no. 014-14060-000100					
Орган, выдавший лицензию: Банк России / Issuing authority: Bank of Russian					
Дата выдачи: 03.05.2018 / Date of issue: 03.05.2018					
Фактический адрес: Белгородская область, город Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1					
Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast					
Тел/факс / Telephone/fax: (4725) 461542					
<b>ОТЧЕТ № _____ / REPORT no. _____</b> <b>о выполненной депозитарной операции / on performing depository operation</b> <b>по счету депо № _____ / on securities account no _____</b>					
<b>Депонент / Depositor:</b>					
<b>Статус депонента / Depositor status:</b>					
<b>Тип операции / Type of operation:</b> Зачисление / Списание / Перевод / Перемещение / Crediting / Debiting / Transferring securities / Transferring Moving					
<b>Наименование операции / Name of</b>					
<b>Эмитент / Issuer:</b>					
<b>Тип ЦБ / Type of Security:</b>					
<b>Код государственной регистрации / State registration code:</b>					
<b>Номинальная стоимость ЦБ / Nominal value of the Security:</b>					
<b>Место хранения / Storage location:</b>					
<b>Номер операции / Operation number</b>	<b>Дата исполнения операции / Date of operation execution</b>	<b>Счет депо по дебету / Debit depot account</b>	<b>Счет депо по кредиту / Deposit account for the loan</b>	<b>Количество ЦБ (шт.) / Number of securities (pcs.)</b>	<b>Основания для операции / Reasons for the operation</b>
Исполнитель / Executor:				Дата выдачи / Date of issue:	
м. п. / I. s.					

**ДЕПОЗИТАРИЙ / DEPOSITORY**  
**ООО «ИК «ФИНПРОИНВЕСТ» / OF "LC "FINPROINVEST"**  
**Лицензия № 014-14060-000100 / Licence № 014-14060-000100**  
**от 03.05.2018 г. / d.d. 03.05.2018**

**СВОДНЫЙ ОТЧЕТ КЛИЕНТА / CLIENT'S COLLECTIVE REPORT**  
на совершение операций с ценными бумагами / for performance of operations with securities  
за период с \_\_\_\_ . \_\_\_\_ . \_\_\_\_ по \_\_\_\_ . \_\_\_\_ . \_\_\_\_ / for the period from \_\_\_\_ . \_\_\_\_ . \_\_\_\_ to \_\_\_\_ . \_\_\_\_ . \_\_\_\_

Клиент / Client: \_\_\_\_\_  
Депозитарный договор № / Depository agreement no. \_\_\_\_\_  
Номер счета депо (клиента) / (Client's) Securities agreement no. \_\_\_\_\_

№ операции / Operation no.	Дата и время операции / Date and time of operation	Вид операции / Form of operation	Эмитент, тип, вид, выпуск, регистрационный номер ценной бумаги / Issuer, type, form, issue, registration no. of a security	Количество ЦБ шт. / Quantity of securities	Основание операции / Ground for operation	Место хранения / Place of safekeeping	Счет депо места хранения / Securities account at the place of safekeep- ing	Раздел счета депо места хранения / Sub account of securities account at the place of safekeep- ing	Состояние / Condition

Подпись сотрудника Депозитария / Signature of the Depository employee: \_\_\_\_\_ / \_\_\_\_\_

Дата / Date \_\_\_\_\_

Приложение П-24  
к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

Annex P-24  
to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

ДОВЕРЕННОСТЬ № \_\_\_\_\_ /POWER OF ATTORNEY No. \_\_\_\_\_

Город \_\_\_\_\_, \_\_\_\_\_ The city of \_\_\_\_\_,  
\_\_\_\_\_ (дата \_\_\_\_\_) \_\_\_\_\_ (date in  
прописью). \_\_\_\_\_ words )

Я, гр.

I,

\_\_\_\_\_ (ФИО), « \_\_\_\_\_ »  
\_\_\_\_\_ года рождения, паспорт серии \_\_\_\_\_ №  
\_\_\_\_\_, выдан

\_\_\_\_\_ (full name), born on « \_\_\_\_\_ »  
passport series \_\_\_\_\_ No. \_\_\_\_\_, issued on  
« \_\_\_\_\_ », issuing authority

(орган выдачи паспорта) « \_\_\_\_\_ » \_\_\_\_\_ г. (дата  
выдачи), код подразделения \_\_\_\_\_, зарегистриро-  
ванный по адресу: \_\_\_\_\_,

\_\_\_\_\_, code of subdivision \_\_\_\_\_, regis-  
tered at:

настоящей доверенностью уполномочиваю  
гр. \_\_\_\_\_ (ФИО),  
« \_\_\_\_\_ » \_\_\_\_\_ года рождения, паспорт се-  
рии \_\_\_\_\_ № \_\_\_\_\_, выдан  
« \_\_\_\_\_ »

hereby authorize \_\_\_\_\_  
(full name), born on « \_\_\_\_\_ », passport  
series \_\_\_\_\_ No. \_\_\_\_\_, issued on  
« \_\_\_\_\_ », issuing authority and issue  
date \_\_\_\_\_

\_\_\_\_\_ г. (орган и дата выдачи паспорта), код под-  
разделения \_\_\_\_\_, зарегистрированного по адресу:  
\_\_\_\_\_,

\_\_\_\_\_, code of subdivision  
\_\_\_\_\_, registered at:

быть моим представителем перед ООО «ИК «ФИН-  
ПРОИНВЕСТ» и совершать от моего имени в рамках:

to act as my representative to "IC "FINPROINVEST" LLC  
and for the purpose of:

депозитарного договора № \_\_\_\_\_ от « \_\_\_\_\_ »  
\_\_\_\_\_ г. (далее – Депозитарный договор), следующие  
действия:

Depository agreement no. \_\_\_\_\_ dated « \_\_\_\_\_ »  
\_\_\_\_\_ (hereinafter – Depository agreement), take following  
actions on my behalf:

<input type="checkbox"/>	1.	заключать, в том числе подписывать Депозитарный договор, любые приложения к нему, а также иные необходимые для его исполнения договоры и иные соглашения; conclude and inter alia to sign Depository agreement, any annexes thereto and other contracts necessary for its execution and other arrangements;
<input type="checkbox"/>	2.	заключать и подписывать любые дополнительные соглашения к Депозитарному договору; conclude and sign any supplementary agreements to the Depository agreement;
<input type="checkbox"/>	3.	заключать и подписывать соглашения и уведомления о расторжении Депозитарного договора; conclude and sign agreements and notifications regarding termination of the Depository agreement;
<input type="checkbox"/>	4.	просматривать/обновлять/подтверждать корректность анкетных данных, в том числе посредством личного кабинета; review/update/confirm accuracy of data in questionnaire and inter alia by means of personal cabinet;
<input type="checkbox"/>	5.	подавать и подписывать поручения на совершение любых депозитарных операций в рамках Депозитарного договора; submit and sign orders for execution of any depository operations for the purpose of Depository agreement;
<input type="checkbox"/>	6.	подавать и подписывать сводные поручения в рамках Депозитарного договора; submit and sign consolidated orders for the purpose of Depository agreement;
<input type="checkbox"/>	7.	получать выписки, отчеты, уведомления и другие документы в рамках Депозитарного договора;

	receive statements, reports, notifications and other documents for the purpose of Depository agreement;
<input type="checkbox"/>	8. получать, подписывать и подавать любые запросы, справки, заявления, уведомления и другие документы, расписываться от имени Доверителя в рамках Депозитарного договора. receive, sign and submit any requests, certificates, applications, notifications and other documents, to sign on behalf of the Grantor for the purpose of Depository agreement;

Доверяю давать от моего имени согласие на обработку моих персональных данных, указанных в анкете Клиента, а также в подписанных с ООО «ИК «ФИНПРОИНВЕСТ» документах.

Я проинформирован, что под обработкой персональных данных понимается любое действие (операция) или совокупность действий (операций), определенных в Федеральном законе № 152-ФЗ от 27.07.2006 «О персональных данных», совершаемых с использованием средств автоматизации или без использования таких средств с персональными данными, включая сбор, запись, систематизацию, накопление, хранение, уточнение (обновление, изменение), извлечение, использование, передачу (распространение, предоставление доступа), обезличивание, блокирование, удаление, уничтожение персональных данных.

Настоящая доверенность выдана без права/с правом передоверия сроком по «\_\_» \_\_ 20\_\_ г. включительно.

I authorize to give on my behalf consent to processing of my personal data specified in the questionnaire of the Client and also in documents signed with "IC "FINPROINVEST" LLC.

I am notified that processing of personal data means any action (operation) or cumulative actions (operations) determined in the Federal Law of July 27, 2006 No. 152-FZ "About Personal Data", taken with the use of automation facilities and/or without using such means, with personal data including collection, recording, systematization, accumulation, storage, clarification (updating, modification), extraction, use, transfer (dissemination, granting access), depersonalization, blocking, removal, destruction of personal data.

This power of attorney is granted with a right of substitution/without right of substitution and shall be valid for period till «\_\_» \_\_ 20\_\_ inclusively.

Образец подписи  
удостоверяю.

Specimen of signature is hereby  
certified and attested by me.

\_\_\_\_\_  
(ФИО, подпись представителя)  
(Full name and signature of a representative)

\_\_\_\_\_  
(ФИО и подпись доверителя)  
(Full name and signature of a grantor)

Город \_\_\_\_\_, Российской Федерации,  
\_\_\_\_\_ (дата прописью).

The city \_\_\_\_\_, of the Russian Federation,  
\_\_\_\_\_ (date in words)

Настоящая доверенность удостоверена мною,  
\_\_\_\_\_ (ФИО нотариуса), нотариусом  
города \_\_\_\_\_.

This power of attorney is certified by me, (a full name of the  
notary) \_\_\_\_\_ the Notary of the city  
\_\_\_\_\_.

Доверенность подписана  
гр. \_\_\_\_\_  
\_\_\_\_\_ (ФИО) в моем присутствии. Личность его  
(ее) установлена, дееспособность проверена.

The power of attorney is signed by  
\_\_\_\_\_  
\_\_\_\_\_ (full name) who personally appeared before me, his  
(her) identity has been established and his (her) competence  
has been verified.

М.П. Зарегистрировано в реестре  
за № \_\_\_\_\_.  
Взыскано по тарифу \_\_\_\_\_ руб.  
Нотариус \_\_\_\_\_

L.S. Registered I the register under  
No. \_\_\_\_\_.  
Collected as per tariff \_\_\_\_\_ Rub.  
Notary \_\_\_\_\_

**ДОВЕРЕННОСТЬ № \_\_\_\_\_**

**POWER OF ATTORNEY No. \_\_\_\_\_**

Город \_\_\_\_\_,

The city of \_\_\_\_\_,

\_\_\_\_\_ (дата прописью)

\_\_\_\_\_ (date in words)

(наименование организации-доверителя, для российских организаций – ИНН, ОГРН / для иностранных организаций – регистрационный номер и дата регистрации, регистрационный номер налогоплательщика),  
адрес местонахождения:

(name of a company-grantor, for Russian companies – TIN, OGRN / for foreign companies – registration number and date of registration, registration number of a taxpayer),  
address of location:

\_\_\_\_\_, далее именуемое Доверитель, в лице

\_\_\_\_\_, hereinafter referred to as Grantor, represented by

\_\_\_\_\_, действующего на основании \_\_\_\_\_

\_\_\_\_\_, acting on the basis of

настоящей доверенностью уполномочивает \_\_\_\_\_ (должность) \_\_\_\_\_ (ФИО), паспорт серии \_\_\_\_\_ № \_\_\_\_\_, выдан \_\_\_\_\_

by this Power of Attorney authorizes \_\_\_\_\_ (duty position) \_\_\_\_\_ (full name), passport series \_\_\_\_\_ no. \_\_\_\_\_, issued \_\_\_\_\_

«\_\_» \_\_\_\_\_ г. (орган и дата выдачи паспорта), код подразделения \_\_\_\_\_, зарегистрированного по адресу:

«\_\_» \_\_\_\_\_ (authority and passport issue date), subdivision code \_\_\_\_\_, registered at the address:

представлять интересы Доверителя перед ООО «ИК «ФИНПРОИНВЕСТ» и совершать от имени Доверителя в рамках депозитарного договора № \_\_\_\_ от «\_\_» \_\_\_\_\_ г. (далее – Депозитарный договор) следующие действия:

represent the interests of the Grantor to "IC "FINPROINVEST" LLC and take following actions on the Grantor's behalf for the purpose of Depository agreement no. \_\_\_\_\_ dated «\_\_» \_\_\_\_\_ (hereinafter – Depository agreement),

- 1. заключать, в том числе подписывать Депозитарный договор, любые приложения к нему, а также иные необходимые для его исполнения договоры и иные соглашения;  
conclude and inter alia to sign Depository agreement, any annexes thereto and other contracts necessary for its execution and other arrangements;
- 2. заключать и подписывать любые дополнительные соглашения к Депозитарному договору;  
conclude and sign any supplementary agreements to the Depository agreement;
- 3. заключать и подписывать соглашения и уведомления о расторжении Депозитарного договора;  
conclude and sign agreements and notifications regarding termination of the Depository agreement;
- 4. подавать и подписывать поручения на совершение любых депозитарных операций в рамках Депозитарного договора;  
submit and sign orders for execution of any depository operations for the purpose of Depository agreement;
- 5. подавать и подписывать сводные поручения в рамках Депозитарного договора;  
submit and sign consolidated orders for the purpose of Depository agreement;
- 6. получать выписки, отчеты, уведомления и другие документы в рамках Депозитарного договора;  
receive statements, reports, notifications and other documents for the purpose of Depository agreement;

- 7. получать, подписывать и подавать любые запросы, справки, заявления, уведомления и другие документы, расписываться от имени Доверителя в рамках Депозитарного договора;  
receive, sign and submit any requests, certificates, applications, notifications and other documents, to sign on behalf of the Grantor for the purpose of Depository agreement;
- 8. получать PIN-конверты содержащие пароли простой электронной подписи.  
receive PIN envelopes containing passwords of simple digital signature.

Настоящая доверенность подпадает под юрисдикцию Российской Федерации и регулируется действующим гражданским законодательством Российской Федерации.  
Настоящая доверенность выдана без права/с правом передоверия сроком по «\_\_» \_\_\_\_ 20\_\_ г. включительно.

This power of attorney falls within the jurisdiction of the Russian Federation and is governed by the effective civil legislation of the Russian Federation.  
This power of attorney is granted without right /with a right of substitution and shall be valid for period till «\_\_» \_\_\_\_ 20\_\_ inclusively.

Образец подписи  
*Specimen of signature*

удостоверяю.  
*is hereby certified and attested by me.*

\_\_\_\_\_  
(ФИО, подпись представителя)  
(Full name and signature of a representative)

\_\_\_\_\_  
(должность)/ **(duty position)**  
М.П./**L.S.**

/

\_\_\_\_\_  
(подпись)/**(signature)**

\_\_\_\_\_  
(ФИО)/**(full name)**

**ДОВЕРЕННОСТЬ № \_\_\_\_\_**

**POWER OF ATTORNEY No. \_\_\_\_\_**

Город \_\_\_\_\_,

The city of \_\_\_\_\_,

\_\_\_\_\_ (дата прописью)

\_\_\_\_\_ (date in words)

(наименование организации-доверителя, для российских организаций – ИНН, ОГРН / для иностранных организаций – регистрационный номер и дата регистрации, регистрационный номер налогоплательщика), адрес местонахождения:

(name of a company-grantor, for Russian companies – TIN, OGRN / for foreign companies – registration number and date of registration, registration number of a taxpayer), address of location:

\_\_\_\_\_, далее именуемое Доверитель, в лице

\_\_\_\_\_, hereinafter referred to as Grantor, represented by

\_\_\_\_\_, действующего на основании \_\_\_\_\_

\_\_\_\_\_, acting on the basis of

настоящей доверенностью уполномочивает

by this Power of Attorney authorizes \_\_\_\_\_ (duty position) \_\_\_\_\_ (full name), passport series \_\_\_\_\_ no. \_\_\_\_\_, issued

\_\_\_\_\_ (должность) \_\_\_\_\_ (ФИО), паспорт серии \_\_\_\_\_ № \_\_\_\_\_, выдан

\_\_\_\_\_ (authority and passport issue date), subdivision code \_\_\_\_\_, registered at the address:

«\_\_» \_\_\_\_\_ г. (орган и дата выдачи паспорта), код подразделения \_\_\_\_\_, зарегистрированного по адресу:

\_\_\_\_\_ представлять интересы Доверителя перед ООО «ИК «ФИНПРОИНВЕСТ» и совершать от имени Доверителя в рамках депозитарного договора № \_\_\_\_\_ от «\_\_» \_\_\_\_\_ г. (далее – Депозитарный договор) следующие действия:

\_\_\_\_\_ represent the interests of the Grantor to "IC "FINPROINVEST" LLC and take following actions on the Grantor's behalf for the purpose of Depository agreement no. \_\_\_\_\_ dated «\_\_» \_\_\_\_\_ (hereinafter – Depository agreement),

1. заключать, в том числе подписывать Депозитарный договор, любые приложения к договору;  
to conclude in particular to sign the Depository contract, any annexes thereto;
2. заключать и подписывать любые дополнительные соглашения к Депозитарному договору;  
to conclude and sign any supplementary agreements the Depository contract;
3. заключать и подписывать соглашения и уведомления о расторжении Депозитарного договора;  
to conclude and sign agreements and notifications regarding termination of the Depository contract;
4. получать пароль и логин для доступа в Личный кабинет Доверителя на Интернет-сайте ООО «ИК «ФИНПРОИНВЕСТ»;  
to get the password and login for the access to the Personal Office of the Principal on the website of "IC "FINPROINVEST" LLC;
5. подавать и подписывать Поручения на совершение любых депозитарных операций в рамках Депозитарного договора, предусмотренных Условиями осуществления депозитарной деятельности ООО «ИК «ФИНПРОИНВЕСТ»;  
to submit and sign orders for execution of any depository operations under the Depository contract provided for by Terms of carrying out of depository activities of "IC "FINPROINVEST" LLC;
6. подавать и подписывать сводные Поручения в рамках Депозитарного договора, предусмотренные Условиями осуществления депозитарной деятельности ООО «ИК «ФИНПРОИНВЕСТ»;  
to submit and sign consolidated orders under the Depository contract provided for by Terms of carrying out of depository activities of "IC "FINPROINVEST" LLC ";

7. получать выписки, отчеты, уведомления и другие документы в рамках Депозитарного договора, предусмотренных Условиями осуществления депозитарной деятельности ООО «ИК «ФИНПРОИНВЕСТ»;  
to receive statements, reports, notifications and other documents under the Depository contract provided for by Terms of carrying out of depository activities of "IC "FINPROINVEST" LLC;
8. получать, подписывать и подавать любые запросы, справки, заявления, уведомления и другие документы, расписываться от имени Доверителя и совершать иные действия, связанные с выполнением настоящего Поручения;  
to receive, sign and submit any requests, certificates, applications, notifications and other documents, to sign on behalf of the Principal and to perform other acts related to the execution of this order;
9. получать PIN-конверты, содержащие пароли простой электронной подписи.  
to receive PIN envelopes containing passwords of the simple digital signature.

Настоящая доверенность подпадает под юрисдикцию Российской Федерации и регулируется действующим гражданским законодательством Российской Федерации.

This power of attorney falls within the jurisdiction of the Russian Federation and is governed by the effective civil legislation of the Russian Federation.

Настоящая доверенность выдана без права/с правом передоверия сроком на \_\_\_\_\_ года.

This power of attorney is issued with/ without the right of substitution for a term of \_\_\_\_ year (s).

В случае расхождения в толковании текстов в русском и английском варианте, приоритетным является текст на русском языке.

In the event of any discrepancies in interpretation of the text Russian and English versions, the text in the Russian language shall prevail.

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(должность)  
(position)

М.П.Л.С.

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(подпись)  
(signature)

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(ФИО)  
(full name)



**ДОКУМЕНТЫ, необходимые для заключения депозитарного договора**  
**DOCUMENTS, required for conclusion of depository agreement**

Депонент обязан до момента заключения Депозитарного договора предоставить Депозитарию документы, а именно:

Список документов, предоставляемых физическим лицом – резидентом РФ

Depositor should before the moment of conclusion of Depository agreement present to the Depository the documents as follows:

List of documents provided by an individual resident of the Russian Federation

№	Наименование документа Name of the document	Форма предоставления Form of presentation
1	Паспорт либо иной документ, удостоверяющий личность клиента в соответствии с действующим законодательством РФ Passport or other identification document of the client in accordance with the current legislation of the Russian Federation	Оригинал либо нотариально удостоверенная копия Original or notarized copy
2	Свидетельство о постановке на учет физического лица в налоговом органе (ИНН) Certificate of registration of an individual with a tax authority (TIN)	Оригинал либо нотариально удостоверенная копия Original or notarized copy
3	Страховое свидетельство государственного пенсионного страхования (СНИЛС) State Pension Insurance Certificate (SNILS)	Оригинал либо нотариально удостоверенная копия Original or notarized copy
4	Документ, подтверждающий адрес места пребывания в случае, если адрес места пребывания отличен от адреса места регистрации A document confirming the address of the place of stay in case the address of the place of stay is different from the address of the place of registration	Оригинал либо нотариально удостоверенная копия Original or notarized copy
5	Доверенность, если от имени Клиента действует представитель* Power of attorney, if a representative * acts on behalf of the Client.	Оригинал либо нотариально удостоверенная копия Original or notarized copy
6	Паспорт либо иной документ, удостоверяющий личность в соответствии с действующим законодательством РФ представителя клиента*, выгодоприобретателя**, бенефициарного (ых) владельца (ев)*** Passport or other identification document of the representative of the client *, beneficiary **, beneficial owner (s) owner (s) *** (if any).	Оригинал либо нотариально удостоверенная копия Original or notarized copy
7	Анкета Клиента - физического лица Questionnaire of the Client - individual	Оригинал по форме Организации Original Organization Form
8	Анкета представителя Клиента* (при наличии) Questionnaire of Client's representative* (if any)	
9	Анкета выгодоприобретателя Клиента** (при наличии) Questionnaire beneficiary's (if any)	
10	Анкета бенефициарного (ых) владельца (ев)*** Клиента (при наличии) The beneficiary owner's (owners') questionnaire*** (if any)	

Все документы должны быть действительны на дату их предоставления.

All documents must be valid at the date of submission.

\* Представитель клиента - лицо, при совершении операции действующее от имени и в интересах или за счет клиента, полномочия которого основаны на доверенности, договоре, акте уполномоченного государственного органа или органа местного самоуправления, законе, а также единоличный исполнительный орган юридического лица.

\* client's representative - a person acting on behalf of and in the interests of or at the expense of a client, whose powers are based on a power of attorney, an agreement, an act of an authorized state body or local government, law, as well as an executive body of a legal entity (head).

\*\* Выгодоприобретатель – лицо, к выгоде которого действует клиент, в том числе на основании агентского договора, договоров поручения, комиссии и доверительного управления, при проведении операций с денежными средствами и иным имуществом.

\*\*beneficiary - a person who is not a direct participant in the transaction, for whose benefit the client acts, including on the basis of an Agency agreement, assignment agreements, Commission and trust management, when conducting operations with cash and other property.

\*\*\*Бенефициарный владелец – лицо, которое в конечном счете прямо или косвенно (через третьих лиц) владеет (имеет преобладающее участие более 25 процентов в капитале) клиентом – юридическим лицом либо имеет возможность контролировать действия клиента. Бенефициарным владельцем клиента-физического лица считается это лицо, за исключением случаев, если имеются основания полагать, что бенефициарным владельцем является иное физическое лицо.

\*\*\*Beneficiary owners are persons who directly or indirectly (through third parties) own (have predominant participation of more than 25 interest in the company's equity) or have the ability to control the actions of a legal entity-nonresident. The beneficial owner of an individual customer is that person, unless there is reason to believe that the beneficial owner is another individual.

При предоставлении оригинала документа сотрудник ООО «ИК «ФИНПРОИНВЕСТ» удостоверяет копию предъявленного документа.

When providing the original document, an employee of LLC IC FINPROINVEST certifies a copy of the submitted document.

Документы, составленные полностью или в какой-либо их части на иностранном языке (за исключением документов, удостоверяющих личности физических лиц, выданных компетентными органами иностранных государств, составленных на нескольких языках, включая русский язык), представляются с надлежащим образом заверенным переводом на русский язык.

Documents drawn up in full or in any part thereof in a foreign language (with the exception of documents proving the identities of individuals issued by the competent authorities of foreign states, drawn up in several languages, including Russian), shall be submitted with a duly certified translation into Russian.

Требование о представлении документов с надлежащим образом заверенным переводом на русский язык не распространяется на документы, выданные компетентными органами иностранных государств, удостоверяющие личности физических лиц, при условии наличия у физического лица документа, подтверждающего право законного пребывания на территории Российской Федерации (например, въездная виза, миграционная карта).

The requirement to submit documents with a duly certified translation into Russian does not apply to documents issued by the competent authorities of foreign states that certify the identities of non-resident individuals, provided that a non-resident individual has a document confirming the right to legally stay in the Russian Federation (for example, entry visa, migration card).

Список документов, предоставляемых физическим лицом – нерезидентом  
List of documents provided by a non-resident individual

№	Наименование документа Name of the document	Форма предоставления Form of presentation
1	Паспорт либо иной документ, удостоверяющий личность. Passport or other identification document.	Нотариально удостоверенная копия  Notarised copy
2	Доверенность, если от имени Клиента действует представитель*. Power of attorney, if a representative * acts on behalf of the Client.	Нотариально удостоверенная копия  Notarised copy
3	Паспорт либо иной документ, удостоверяющий личность представителя клиента*, выгодоприобретателя**, бенефициарного (ых) владельца (ев)*** (при наличии). Passport or other identification document of the representative of the client *, beneficiary **, beneficial owner (s) owner (s) *** (if any).	Нотариально удостоверенная копия  Notarised copy
4	Миграционная карта (если в соответствии с действующим законодательством она должна была быть оформлена при пересечении данным иностранным гражданином или лицом без гражданства границы РФ) Migration card (if in accordance with the current law it should be issued when this foreign citizen or stateless person crosses the border of the Russian Federation).	Оригинал либо нотариально удостоверенная копия  Original or notarized copy
5	Документ, подтверждающий право иностранного гражданина или лица без гражданства на пребывание (проживание) в РФ (вид на жительство, разрешение на временное проживание, виза или иной документ, подтверждающий в соответствии с законодательством РФ право иностранного гражданина или лица без гражданства на пребывание (проживание) в РФ). Document confirming the right of the foreign citizen or stateless person to stay (reside) in the Russian Federation (alien's residence permit, temporary residence permit, temporary residence permit, visa or other document confirming in accordance with the applicable laws of the Russian Federation the right of the foreign citizen or stateless person to stay (re-side) in the Russian Federation	Оригинал либо нотариально удостоверенная копия  Original or notarized copy
6	Анкета Клиента - физического лица Questionnaire of the Client - individual	Оригинал по форме Организации  Original Organization Form
7	Анкета представителя Клиента* (при наличии) Questionnaire of Client's representative* (if any)	
8	Анкета выгодоприобретателя Клиента** (при наличии) Questionnaire beneficiary's (if any)	
9	Анкета бенефициарного (ых) владельца (ев)*** Клиента (при наличии) The beneficiary owner's (owners') questionnaire*** (if any)	

Все документы должны быть действительны на дату их предоставления  
All documents must be valid at the date of submission.

\* Представитель клиента - лицо, при совершении операции действующее от имени и в интересах или за счет клиента, полномочия которого основаны на доверенности, договоре, акте уполномоченного государственного органа или органа местного самоуправления, законе, а также единоличный исполнительный орган юридического лица (руководитель).

\* client's representative - a person acting on behalf of and in the interests of or at the expense of a client, whose powers are based on a power of attorney, an agreement, an act of an authorized state body or local government, law, as well as an executive body of a legal entity (head).

\*\* Выгодоприобретатель – лицо, к выгоде которого действует клиент, в том числе на основании агентского договора, договоров поручения, комиссии и доверительного управления, при проведении операций с денежными средствами и иным имуществом.

\*\*beneficiary - a person who is not a direct participant in the transaction, for whose benefit the client acts, including on the basis of an Agency agreement, assignment agreements, Commission and trust management, when conducting operations with cash and other property.

\*\*\*Бенефициарный владелец – лицо, которое в конечном счете прямо или косвенно (через третьих лиц) владеет (имеет преобладающее участие более 25 процентов в капитале) клиентом – юридическим лицом либо имеет возможность контролировать действия клиента. Бенефициарным владельцем клиента-физического лица считается это лицо, за исключением случаев, если имеются основания полагать, что бенефициарным владельцем является иное физическое лицо.

\*\*\*Beneficiary owners are persons who directly or indirectly (through third parties) own (have predominant participation of more than 25 interest in the company's equity) or have the ability to control the actions of a legal entity-nonresident. The beneficial owner of an individual customer is that person, unless there is reason to believe that the beneficial owner is another individual.

Документы, составленные полностью или в какой-либо их части на иностранном языке (за исключением документов, удостоверяющих личности физических лиц, выданных компетентными органами иностранных государств, составленных на нескольких языках, включая русский язык), представляются с надлежащим образом заверенным переводом на русский язык.

Documents drawn up in full or in any part thereof in a foreign language (with the exception of documents proving the identities of individuals issued by the competent authorities of foreign states, drawn up in several languages, including Russian), shall be submitted with a duly certified translation into Russian.

Требование о представлении документов с надлежащим образом заверенным переводом на русский язык не распространяется на документы, выданные компетентными органами иностранных государств, удостоверяющие личности физических лиц - нерезидентов, при условии наличия у физического лица -нерезидента документа, подтверждающего право законного пребывания на территории Российской Федерации (например, въездная виза, миграционная карта).

The requirement to submit documents with a duly certified translation into Russian does not apply to documents issued by the competent authorities of foreign states that certify the identities of non-resident individuals, provided that a non-resident individual has a document confirming the right to legally stay in the Russian Federation (for example, entry visa, migration card).

Список документов, предоставляемых индивидуальными предпринимателями  
List of documents provided by individual entrepreneurs

№	Наименование документа Name of the document	Форма предоставления Form of presentation
1	Паспорт либо иной документ, удостоверяющий личность в соответствии с действующим законодательством РФ Passport or other identification document of the client in accordance with the current legislation of the Russian Federation	Оригинал либо нотариально удостоверенная копия Original or notarized copy
2	Свидетельство о постановке на учет в налоговом органе (ИНН) Certificate of registration of an individual with a tax authority (TIN)	Оригинал либо нотариально удостоверенная копия Original or notarized copy
3	Страховое свидетельство государственного пенсионного страхования (СНИЛС) State Pension Insurance Certificate (SNILS)	Оригинал либо нотариально удостоверенная копия Original or notarized copy
4	Документы, подтверждающие государственную регистрацию в качестве Индивидуального предпринимателя: <i>Documents confirming state registration as an individual entrepreneur</i> - Свидетельство о государственной регистрации физического лица в качестве индивидуального предпринимателя. <i>Certificate of state registration of an individual as an individual entrepreneur.</i> - Лист записи единого государственного реестра индивидуальных предпринимателей ЕГРИП (для зарегистрированных после 01.01.2017). <i>Record sheet of the unified state register of individual entrepreneurs USRIP (for those registered after 01/01/2017).</i>	Оригинал либо нотариально удостоверенная копия Original or notarized copy
5	Выписка из Единого государственного реестра индивидуальных предпринимателей (ЕГРИП) <i>Extract from the Unified State Register of Individual Entrepreneurs (USRIP)</i>	Оригинал, нотариально удостоверенная копия, или в форме электронного документа, подписанного усиленной квалифицированной электронной подписью ФНС <i>Original, notarized copy, or in the form of an electronic document signed with an enhanced qualified electronic signature of the Federal Tax Service</i>
6	Документ, подтверждающий полномочия представителя клиента * (при наличии) Document confirming the credentials of the client representative * (if available).	Оригинал либо нотариально удостоверенная копия Original or notarized copy
7	Паспорт либо иной документ, удостоверяющий личность в соответствии с действующим законодательством РФ представителя*, выгодоприобретателя**, бенефициарного (ых) владельца (ев). Passport or other identification document of the representative of the client *, beneficiary **, beneficial owner (s) owner (s) *** (if any).	Оригинал либо нотариально удостоверенная копия Original or notarized copy
8	Документы подтверждающие сведения о финансовом положении за последний отчетный период. <i>Documents confirming information about the financial position for the last reporting period.</i>	Оригинал либо нотариально удостоверенная копия Original or notarized copy

9	<p>Лицензии/разрешения на занятие соответствующими видами деятельности, осуществление которых требует получения соответствующих лицензий/разрешений.</p> <p>Licenses/authorizations for carrying out certain activities subject to obtaining related licenses/authorizations (if available).</p>	<p>Оригинал либо нотариально удостоверенная копия</p> <p>Original or notarized copy</p>
10	<p>Документы, подтверждающие сведения о деловой репутации (в произвольной письменной форме, при возможности их получения):</p> <ul style="list-style-type: none"> <li>- отзывы других клиентов ООО «ИК «ФИНПРОИНВЕСТ», имеющих с ним деловые отношения;</li> <li>- отзывы от кредитных организаций и (или) некредитных финансовых организаций, в которых клиент находится (находился) на обслуживании, с информацией этих кредитных организаций и (или) некредитных финансовых организаций об оценке деловой репутации клиента</li> </ul> <p><i>Documents confirming information about business reputation (in any written form, if possible):</i></p> <ul style="list-style-type: none"> <li>- <i>reviews of other clients of IC FINPROINVEST LLC who have business relations with it;</i></li> <li>- <i>reviews from credit organizations and (or) non-bank financial institutions in which the client is (was) being serviced, with information from these credit institutions and (or) non-bank financial institutions on the assessment of the client's business reputation</i></li> </ul>	<p>Оригинал</p> <p>Original</p>
11	<p>Анкета индивидуального предпринимателя, физического лица, занимающегося в установленном законодательством Российской Федерации порядке частной практикой.</p> <p>Questionnaire of an individual entrepreneur, a natural person engaged in private practice in accordance with the procedure established by the legislation of the Russian Federation.</p>	<p>Оригинал по форме Организации</p> <p>Original Organization Form</p>
12	<p>Анкета представителя* (при наличии)</p> <p>Questionnaire of Client's representative* (if any)</p>	
13	<p>Анкета выгодоприобретателя** (при наличии)</p> <p>Questionnaire beneficiary's (if any)</p>	
14	<p>Анкета бенефициарного (ых) владельца (ев)*** (при наличии)</p> <p>The beneficiary owner's (owners') questionnaire*** (if any)</p>	

Все документы должны быть действительны на дату их предоставления.  
All documents must be valid at the date of submission.

\* Представитель клиента - лицо, при совершении операции действующее от имени и в интересах или за счет клиента, полномочия которого основаны на доверенности, договоре, акте уполномоченного государственного органа или органа местного самоуправления, законе, а также единоличный исполнительный орган юридического лица.

\* client's representative - a person acting on behalf of and in the interests of or at the expense of a client, whose powers are based on a power of attorney, an agreement, an act of an authorized state body or local government, law, as well as an executive body of a legal entity (head).

\*\* Выгодоприобретатель – лицо, к выгоде которого действует клиент, в том числе на основании агентского договора, договоров поручения, комиссии и доверительного управления, при проведении операций с денежными средствами и иным имуществом.

\*\*beneficiary - a person who is not a direct participant in the transaction, for whose benefit the client acts, including on the basis of an Agency agreement, assignment agreements, Commission and trust management, when conducting operations with cash and other property.

\*\*\*Бенефициарный владелец – лицо, которое в конечном счете прямо или косвенно (через третьих лиц) владеет (имеет преобладающее участие более 25 процентов в капитале) клиентом – юридическим лицом либо имеет возможность контролировать действия клиента. Бенефициарным владельцем клиента-физического лица считается это лицо, за исключением случаев, если имеются основания полагать, что бенефициарным владельцем является иное физическое лицо.

\*\*\*Beneficiary owners are persons who directly or indirectly (through third parties) own (have predominant participation of more than 25 interest in the company's equity) or have the ability to control the actions of a legal entity-nonresident. The beneficial owner of an individual customer is that person, unless there is reason to believe that the beneficial owner is another individual.

При предоставлении оригинала документа сотрудник ООО «ИК «ФИНПРОИНВЕСТ» удостоверяет копию предъявленного оригинала документа.

When providing the original document, an employee of LLC IC FINPROINVEST certifies a copy of the submitted document.

Документы, составленные полностью или в какой-либо их части на иностранном языке (за исключением документов, удостоверяющих личности физических лиц, выданных компетентными органами иностранных государств, составленных на нескольких языках, включая русский язык), представляются с надлежащим образом заверенным переводом на русский язык.

Documents drawn up in full or in any part thereof in a foreign language (with the exception of documents proving the identities of individuals issued by the competent authorities of foreign states, drawn up in several languages, including Russian), shall be submitted with a duly certified translation into Russian.

Требование о представлении документов с надлежащим образом заверенным переводом на русский язык не распространяется на документы, выданные компетентными органами иностранных государств, удостоверяющие личности физических лиц, при условии наличия у физического лица документа, подтверждающего право законного пребывания на территории Российской Федерации (например, въездная виза, миграционная карта).

The requirement to submit documents with a duly certified translation into Russian does not apply to documents issued by the competent authorities of foreign states that certify the identities of non-resident individuals, provided that a non-resident individual has a document confirming the right to legally stay in the Russian Federation (for example, entry visa, migration card).

Список документов, предоставляемых юридическим лицом – резидентом РФ  
List of documents provided by the legal entity resident of the Russian Federation

№	Наименование документа Name of the document	Форма предоставления Form of presentation
1	<p>Учредительные документы юридического лица (устав и все зарегистрированные изменения и дополнения, внесенные в устав с отметкой уполномоченного регистрирующего органа).</p> <p><i>Constituent documents of a legal entity (charter and all registered changes and additions made to the charter with a mark of the authorized registering body).</i></p>	<p>Оригинал или нотариально удостоверенная копия, или заверенная уполномоченным представителем Клиента*</p> <p>Original or notarized copy, or certified by an authorized representative of the Client *</p>
2	<p>Документы, подтверждающие государственную регистрацию юридического лица:</p> <p><i>Documents confirming the state registration of a legal entity:</i></p> <ul style="list-style-type: none"> <li>- Свидетельство о внесении записи в Единый государственный реестр юридических лиц о юридическом лице, зарегистрированном до 1 июля 2002;</li> <li><i>Certificate of making an entry in the Unified State Register of Legal Entities on a legal entity registered before July 1, 2002;</i></li> <li>- Свидетельство о государственной регистрации юридического лица (для зарегистрированных после 01.07.2002);</li> <li><i>Certificate of state registration of a legal entity (for those registered after 01.07.2002);</i></li> <li>- Лист записи Единого государственного реестра юридических лиц (для зарегистрированных после 01.01.2017).</li> <li><i>Record sheet of the Unified State Register of Legal Entities (for those registered after 01.01.2017).</i></li> </ul>	<p>Оригинал или нотариально удостоверенная копия, или заверенная уполномоченным представителем Клиента*</p> <p>Original or notarized copy, or certified by an authorized representative of the Client *</p>
3	<p>Свидетельство о постановке на учет в налоговом органе (ИНН) по месту нахождения на территории РФ.</p> <p>Certificate of registration with the tax authority (TIN) at the location in the Russian Federation.</p>	<p>Оригинал или нотариально удостоверенная копия, или заверенная уполномоченным представителем Клиента*</p> <p>Original or notarized copy, or certified by an authorized representative of the Client *</p>
4	<p>Документ, содержащий сведения о присвоении кодов в соответствии с общероссийскими классификаторами объектов административно-территориального деления, предприятий и организаций (ОКПО).</p> <p><i>A document containing information on the assignment of codes in accordance with the all-Russian classifiers of objects of administrative-territorial division, enterprises and organizations (OKPO).</i></p>	<p>Копия, заверенная уполномоченным представителем Клиента</p> <p><i>A copy certified by an authorized representative of the Client</i></p>
5	<p>Выписка из Единого государственного реестра юридических лиц (ЕГРЮЛ)</p> <p><i>Extract from the Unified State Register of Legal Entities (USRLE)</i></p>	<p>Оригинал, нотариально удостоверенная копия, копия, заверенная уполномоченным представителем Клиента*, или в форме электронного документа, подписанного усиленной квалифицированной электронной подписью ФНС</p> <p><i>Original, notarized copy, copy certified by an authorized representative of the Client *, or in the form of an electronic document signed with a strengthened quali-</i></p>



		<i>fied electronic signature of the Federal Tax Service</i>
6	Для кредитных организаций и профессиональных участников рынка ценных бумаг – Письмо территориального учреждения Банка России с подтверждением согласования кандидатур на должности единоличного исполнительного органа. <i>For credit institutions and professional participants in the securities market - Letter of the territorial office of the Bank of Russia confirming the approval of candidates for the positions of the sole executive body.</i>	Оригинал или нотариально удостоверенная копия, или заверенная уполномоченным представителем Клиента* Original or notarized copy, or certified by an authorized representative of the Client *
7	Документ, подтверждающий полномочия представителя юридического лица, имеющего право действовать без доверенности (протокол/решение, договор и др.). <i>A document confirming the authority of a representative of a legal entity who has the right to act without a power of attorney (protocol / decision, agreement, etc.)</i>	Оригинал или нотариально удостоверенная копия, или заверенная уполномоченным представителем Клиента* Original or notarized copy, or certified by an authorized representative of the Client *
8	Доверенность, если интересы юридического лица представляет не единоличный исполнительный орган, а доверенное лицо. <i>Power of attorney, if the interests of the legal entity are represented not by the sole executive body, but by a trusted person.</i>	Оригинал Original
9	Паспорт либо иной документ, удостоверяющий личность представителя юридического лица**, бенефициарного (ых) владельца (ев)***, выгодоприобретателя**** (физического лица). Passport or other identification document of a representative of a legal entity **, beneficial owner (s) owner (s) ***, beneficiary **** (individual).	Оригинал или нотариально удостоверенная копия, или заверенная уполномоченным представителем Клиента* Original or notarized copy, or certified by an authorized representative of the Client *
10	Карточка с образцами подписей уполномоченного (-ых) лиц (-а) (наделенного (-ых) правом подписи и оттиска печати юридического лица ***** <i>A card with samples of signatures of authorized persons (s) (entitled to sign and print the seal of a legal entity *****</i>	Оригинал, удостоверенный нотариально, либо нотариально заверенная копия нотариально удостоверенного оригинала/оригинала банковской карточки с образцами подписей <i>A notarized original or a notarized copy of a notarized original / original bank card with signature samples</i>
11	Свидетельство о постановке на учет физического лица в налоговом органе (ИНН) представителя юридического лица**, бенефициарного (ых) владельца (ев)***, выгодоприобретателя****(при наличии). Certificate of registration of an individual with the tax authority (TIN) of a representative of a legal entity **, beneficial owner (s) ***, beneficiary **** (if any).	Копия, заверенная уполномоченным представителем Клиента* Copy certified by an authorized representative of the Client *
12	Страховое свидетельство государственного пенсионного страхования (СНИЛС) представителя юридического лица**, бенефициарного (ых) владельца (ев)***, выгодоприобретателя**** (при наличии). Insurance certificate of state pension insurance (SNILS) of a representative of a legal entity **, beneficial owner (s) ***, beneficiary **** (if any).	Копия, заверенная уполномоченным представителем Клиента* Copy certified by an authorized representative of the Client *
13	Лицензии/разрешения на занятие соответствующими видами деятельности, осуществление которых требует получения соответ-	Оригинал или нотариально удостоверенная копия, или

	<p>ствующих лицензий/разрешений.</p> <p>Licenses/authorizations for carrying out certain activities subject to obtaining related licenses/authorizations.</p>	<p>заверенная уполномоченным представителем Клиента*</p> <p>Original or notarized copy, or certified by an authorized representative of the Client *</p>
14	<p>Документы подтверждающие персональный состав акционеров (участников) (за исключением сведений о персональном составе акционеров (участников) юридического лица, владеющих менее чем пятью процентами акций (долей) юридического лица (выписка из реестра акционеров).</p> <p><i>Documents confirming the personal composition of shareholders (participants) (except for information on the personnel composition of shareholders (participants) of a legal entity holding less than five percent of the shares (shares) of a legal entity (extract from the register of shareholders).</i></p>	<p>Оригинал или нотариально удостоверенная копия, или заверенная уполномоченным представителем Клиента*</p> <p>Original or notarized copy, or certified by an authorized representative of the Client *</p>
15	<p>Документы подтверждающие персональный состав органов управления юридического лица, за исключением акционеров (участников) (протокол, решение и д.р.).</p> <p><i>Documents confirming the personal composition of the governing bodies of a legal entity, with the exception of shareholders (participants) (minutes, decision, etc.).</i></p>	<p>Оригинал или нотариально удостоверенная копия, или заверенная уполномоченным представителем Клиента*</p> <p>Original or notarized copy, or certified by an authorized representative of the Client *</p>
16	<p>Документы подтверждающие сведения о финансовом положении (за последний отчетный период):</p> <p><i>Documents confirming information about the financial position (for the last reporting period):</i></p> <ul style="list-style-type: none"> <li>- годовая бухгалтерская отчетность (бухгалтерский баланс, отчет о финансовом результате),</li> <li>- <i>annual financial statements (balance sheet, statement of financial results),</i></li> <li>- годовая (либо квартальная) налоговая декларация с отметками налогового органа об их принятии или без такой отметки с приложением, либо копии квитанции об отправке заказного письма с описью вложения (при направлении по почте), либо копии подтверждения отправки на бумажных носителях (при передаче в электронном виде);</li> <li>- <i>an annual (or quarterly) tax declaration with marks of the tax authority on their acceptance or without such a mark with an attachment, or a copy of the receipt for sending a registered letter with a list of attachments (when sent by mail), or a copy of the confirmation of sending on paper (when transferring electronic);</i></li> <li>- аудиторское заключение на годовой отчет за прошедший год, в котором подтверждается достоверность финансовой (бухгалтерской) отчетности и соответствие порядка ведения бухгалтерского учета законодательству РФ с приложением текста годовой бухгалтерской отчетности (обязательное предоставление, для организаций, обязанных проводить аудит в соответствии со статьей 5 Федерального закона №307-ФЗ "Об аудиторской деятельности" от 30.12.2008 г, для иных организаций, при наличии).</li> <li>- <i>an auditor's report on the annual report for the past year, which confirms the reliability of the financial (accounting) statements and the compliance of the accounting procedure with the legislation of the Russian Federation with the attachment of the text of the annual financial statements (mandatory provision for organizations obliged to conduct an</i></li> </ul>	<p>Оригинал или нотариально удостоверенная копия, или заверенная уполномоченным представителем Клиента*</p> <p>Original or notarized copy, or certified by an authorized representative of the Client *</p>

	<i>audit in accordance with Article 5 Federal Law No. 307-FZ "On Auditing Activity" dated December 30, 2008, for other organizations, if any).</i>	
17	<p>Документы, подтверждающие сведения о деловой репутации (в произвольной письменной форме, при возможности их получения):</p> <p><i>Documents confirming information about business reputation (in any written form, if possible):</i></p> <ul style="list-style-type: none"> <li>- отзывы о юридическом лице других клиентов ООО «ИК «ФИНПРОИНВЕСТ», имеющих с ним деловые отношения;</li> <li>- <i>reviews of the legal entity of other clients of LLC "IC" FINPROINVEST "who have business relations with it;</i></li> <li>- отзывы от кредитных организаций и (или) некредитных финансовых организаций, в которых клиент находится (находился) на обслуживании, с информацией этих кредитных организаций и (или) некредитных финансовых организаций об оценке деловой репутации клиента.</li> <li>- <i>reviews from credit institutions and (or) non-credit financial institutions in which the client is (was) being serviced, with information from these credit institutions and (or) non-credit financial institutions on the assessment of the client's business reputation.</i></li> </ul>	Оригинал Original
18	<p>Документы, подтверждающие присутствие юридического лица по адресу фактического местонахождения:</p> <p><i>Documents confirming the presence of a legal entity at the address of the actual location:</i></p> <ul style="list-style-type: none"> <li>- при наличии права собственности на помещение – документы, подтверждающие право собственности;</li> <li>- <i>if there is a right of ownership to the premises - documents confirming the right of ownership;</i></li> <li>- в случае аренды помещения - договор аренды помещения;</li> <li>- <i>in the case of renting a room - a lease agreement for the room;</i></li> <li>- иные документы, подтверждающие присутствие по адресу фактического местонахождения юридического лица его постоянно действующего органа управления, или иного органа или лица, имеющего право действовать от имени юридического лица.</li> <li>- <i>other documents confirming the presence at the address of the actual location of the legal entity of its permanently operating management body, or other body or person entitled to act on behalf of the legal entity.</i></li> </ul>	Оригинал или нотариально удостоверенная копия, или копия, заверенная уполномоченным представителем Клиента* Original or notarized copy, or certified by an authorized representative of the Client *
19	<p>Учетная политика организации (обязательно предоставляется при заключении договора присоединения к регламенту осуществления деятельности по управлению ценными бумагами).</p> <p><i>The accounting policy of the organization (must be provided at the conclusion of the contract of accession to the regulations for the implementation of securities management activities).</i></p>	Копия, заверенная уполномоченным представителем Клиента* Copy certified by an authorized representative of the Client *
17	Анкета Клиента – Юридического лица Legal entity questionnaire	Оригинал по форме Организации Original Organization Form
18	Анкета Представителя Клиента** Questionnaire of Client's representative**	
19	Анкета бенефициарного (-ых) владельца(-ев)*** The beneficiary owner's (owners') questionnaire***	
20	Анкета выгодоприобретателя****	

Все документы должны быть действительны на дату их предоставления.

All documents must be valid at the date of submission.

Все документы, необходимые для идентификации Клиента, представителя Клиента, выгодоприобретателя, бенефициарного владельца, обновления информации о них, представляются в оригинале или надлежащим образом заверенной копии:

- заверенной нотариально;

- либо заверенной уполномоченным представителем клиента.

*All documents required to identify the Client, the Client's representative, beneficiary, beneficial owner, up-date information about them, are presented in the original or a duly certified copy:*

*- notarized;*

*- or certified by an authorized by the client's representative.*

В случае предоставления копии, заверенной уполномоченным представителем Клиента, дополнительно предоставляется оригинал документа, который возвращается Клиенту после сверки копии документа с его оригиналом.

*In the case of providing a copy certified by an authorized representative of the Client, the original of the document is additionally provided, which is returned to the Client after verifying the copy of the document with its original.*

Если к идентификации Клиента, представителя Клиента, выгодоприобретателя, бенефициарного владельца имеет отношение только часть документа, может быть представлена заверенная выписка из него.

*If only a part of the document is related to the identification of the Client, the Client's representative, beneficiary, beneficial owner, a certified extract from it may be submitted.*

\* Заверение документов осуществляется путем проставления на них отметки «Копия верна» и собственноручной подписи лица, заверившего копию документа, с указанием наименования должности, фамилии, имени и отчества (при наличии), даты заверения и оттиска печати юридического лица (при наличии). В случае если копия документа составлена более чем на 1 (одном) листе, удостоверительные надписи и оттиск печати (штампа) юридического лица проставляются на последнем листе документа на месте скрепления листов (если документ прошнурован) или на каждом листе предоставляемого документа (если документ не прошнурован).

*\* Certification of documents is carried out by putting a mark "The copy is correct" on them and the handwritten signature of the person who certified the copy of the document, indicating the name of the document, surname, first name and patronymic (if available), the date of certification and the seal of the legal entity (if available). If a copy of the document is made on more than 1 (one) sheet, the certifying inscriptions and the seal (stamp) of the legal entity are affixed on the last sheet of the document at the place where the sheets are fastened (if the document is laced) or on each sheet of the submitted document (if the document is not laced).*

\*\*Представитель клиента – лицо, при совершении операции действующее от имени и в интересах или за счет клиента, полномочия которого основаны на доверенности, договоре, акте уполномоченного государственного органа или органа местного самоуправления, законе, а также единоличный исполнительный орган юридического лица.

\*\* client's representative - a person acting on behalf of and in the interests of or at the expense of a client, whose powers are based on a power of attorney, an agreement, an act of an authorized state body or local government, law, as well as an executive body of a legal entity (head).

\*\*\*Бенефициарный владелец – физического лицо, которое в конечном счете прямо или косвенно (через третьих лиц) владеет (имеет преобладающее участие более 25 процентов в капитале) клиентом – юридическим лицом либо имеет возможность контролировать действия клиента.

\*\*\*Beneficiary owners are persons who directly or indirectly (through third parties) own (have predominant participation of more than 25 interest in the company's equity) or have the ability to control the actions of a legal entity-nonresident.

\*\*\*\*Выгодоприобретатель – лицо, к выгоде которого действует клиент, в том числе на основании агентского договора, договоров поручения, комиссии и доверительного управления, при проведении операций с денежными средствами и иным имуществом.

\*\*\*\*beneficiary - a person who is not a direct participant in the transaction, for whose benefit the client acts, including on the basis of an Agency agreement, assignment agreements, Commission and trust management, when conducting operations with cash and other property.

\*\*\*\*\* Документ может не предоставляться, в случае подписания Анкеты Клиента уполномо-

ченным представителем Клиента, в присутствии сотрудника ООО «ИК «ФИНПРОИНВЕСТ».

\*\*\*\*\* *The document may not be provided, if the Client's Questionnaire is signed by an authorized representative of the Client, in the presence of an employee of IC FINPROINVEST LLC.*

Документы, составленные полностью или в какой-либо их части на иностранном языке (за исключением документов, удостоверяющих личности физических лиц, выданных компетентными органами иностранных государств, составленных на нескольких языках, включая русский язык), представляются с надлежащим образом заверенным переводом на русский язык.

Documents drawn up in full or in any part thereof in a foreign language (with the exception of documents proving the identities of individuals issued by the competent authorities of foreign states, drawn up in several languages, including Russian), shall be submitted with a duly certified translation into Russian.

Требование о представлении документов с надлежащим образом заверенным переводом на русский язык не распространяется на документы, выданные компетентными органами иностранных государств, удостоверяющие личности физических лиц, при условии наличия у физического лица документа, подтверждающего право законного пребывания на территории Российской Федерации (например, въездная виза, миграционная карта).

The requirement to submit documents with a duly certified translation into Russian does not apply to documents issued by the competent authorities of foreign states that certify the identities of non-resident individuals, provided that a non-resident individual has a document confirming the right to legally stay in the Russian Federation (for example, entry visa, migration card).

Организация имеет право запрашивать дополнительные документы, в том числе документы, подтверждающие статус бенефициарного владельца.

*The organization has the right to request additional documents, including documents confirming the status of the beneficial owner.*

#### Список документов, предоставляемых юридическим лицом – нерезидентом

#### List of documents for legal entities – nonresidents

Наименование документа Name of the document	Форма предоставления Form of presentation
Учредительные документы, являющиеся таковыми в соответствии с законодательством страны регистрации юридического лица-нерезидента (устав и/или учредительный договор и др.) со всеми зарегистрированными изменениями и дополнениями к ним. Constituent documents that are such in accordance with the legislation of the country of registration of a non-resident legal entity (charter and / or memorandum of association, etc.) with all registered changes and additions to them	Нотариально удостоверенная копия Notarised copy
Документ (ы), подтверждающий (е) в соответствии с законодательством страны регистрации юридического лица-нерезидента его регистрацию, с указанием в нем (них) даты регистрации, номера и организационно-правовой формы (сертификат, свидетельство, выписка и т.п.). Document(s) confirming his registration according to the legislation of the country of registration of the legal nonresident person with the instruction in it (them) dates of registration, number and legal form (the certificate, the certificate, an extract, etc.).	Нотариально удостоверенная копия Notarised copy
Документ (ы), подтверждающий (е) местонахождение (зарегистрированного офиса) юридического лица-нерезидента (сертификат, свидетельство, выписка и т.п.). Document (s) confirming location (the registered office) the legal non-resident person (the certificate, the certificate, an extract, etc.).	Нотариально удостоверенная копия Notarised copy
Документ (ы), подтверждающий (е) персональный состав акционеров (участников) (за исключением сведений о персональном составе акционеров (участников) юридического лица-нерезидента, владеющих менее чем одним процентом акций (долей) юридического лица). (сертификат, свидетельство, выписка и т.п.)	Нотариально удостоверенная копия Notarised copy

Document (s) confirming the personal composition of shareholders (participants) (with the exception of information on the personal composition of shareholders (participants) of a non-resident legal entity owning less than one percent of the shares (shares) of the legal entity). (certificate, certificate, extract, etc.)	
Документ (ы) подтверждающий (е) персональный состав органов управления юридического лица-нерезидента (за исключением акционеров (участников)) (сертификат, свидетельство, выписка, протокол, решение и т.п.) Document (s) confirming the composition of the management bodies of a non-resident legal entity (with the exception of shareholders (participants)) (certificate, certificate, extract, protocol, decision, etc.)	Нотариально удостоверенная копия Notarised copy
Документы, подтверждающие состояние юридического лица-нерезидента (сертификат (certificate of goodstanding) и/или (certificate of Incumbency) - дата выдачи, не позднее, чем за 3 (три) месяца до даты предоставления документов. Documents confirming the state of a non-resident legal entity (certificate of goodstanding) and / or (certificate of Incumbency) - date of issue, no later than 3 (three) months before the date of submission of documents.	Нотариально удостоверенная копия Notarised copy
Карточка с образцами подписей уполномоченного (ых) лиц (а) (наделенного (ых) правом подписи) и оттиска печати юридического лица-нерезидента (если оттиск печати имеется). Card with specimen signatures of the authorized person (s) (endowed with the right to sign) and a seal imprint of a non-resident legal entity (if there is a seal imprint).	Нотариально удостоверенная или нотариально удостоверенная копия Notarised or notarised copy
Паспорт либо иной документ, удостоверяющий личность представителя клиента*, бенефициарного (ых) владельца (ев)***, выгодоприобретателя (физического лица) ***. Passport or another document proving the identity of the representative of the client *, beneficial owner (s) owner (s) **, beneficiary (individual)***	Нотариально удостоверенная копия Notarised copy
Документ, подтверждающий полномочия представителя клиента* (резолюция, доверенность, договор, акт уполномоченного государственного органа или органа местного самоуправления, протокол, решение, и т.д.) Document confirming the credentials of the client (resolution, power of attorney, contract, act of an authorized state body or local government, protocol, decision, etc.)	Нотариально удостоверенный или нотариально удостоверенная копия Notarised or notarised copy
Документы, подтверждающие сведения о финансовом положении: Documents confirming information on financial position: - годовая бухгалтерская отчетность (бухгалтерский баланс, отчет о финансовом результате и т.д.) за последний отчетный период. - annual accounting statements (balance sheet, statement of financial result) for the last reporting period. - аудиторское заключения на годовой отчет за последний отчетный период. - an audit report on the annual report for the last reporting period. Предоставляется при заключении договора, а также впоследствии ежегодно. Provided at the conclusion of the contract, as well as subsequently annually.	Нотариально удостоверенная копия Notarised or notarised copy
Документы, подтверждающие сведения о деловой репутации: Documents confirming business reputation: - отзывы (в произвольной письменной форме, при возможности их получения) о юридическом лице других клиентов ООО «ИК «ФИНПРОИНВЕСТ», имеющих с ним деловые отношения; - reviews (in any written form, if possible) about the legal entity of other clients of LLC "IC" FINPROINVEST "having business relations with it; - отзывы (в произвольной письменной форме, при возможности их получения) от кредитных организаций и (или) некредитных финансовых организаций, в которых клиент находится (находился) на обслу-	Оригинал или копия с обязательным предоставлением оригинала или нотариально удостоверенная копия Original or a copy with mandatory presentation of the original or notarised copy

<p>живании, с информацией этих кредитных организаций и (или) некредитных финансовых организаций об оценке деловой репутации клиента.</p> <p>- reviews (in an arbitrary written form, if possible) from credit institutions and (or) non-credit financial institutions, in which the client is (was) in service, with information of these credit institutions and (or) non-credit financial organizations on assessment of the client 's business reputation.</p>	
<p>Свидетельство о постановке на учет в налоговом органе на территории Российской Федерации.</p> <p>Certificate of registration with a tax authority in the territory of the Russian Federation.</p>	<p>Нотариально удостоверенная копия</p> <p>Notarised copy</p>
<p>Лицензии/разрешения на занятие соответствующими видами деятельности, осуществление которых требует получения соответствующих лицензий/разрешений (при наличии).</p> <p>Licenses/authorizations for carrying out certain activities subject to obtaining related licenses/authorizations (if available).</p>	<p>Нотариально удостоверенная копия</p> <p>Notarised copy</p>
<p>В случае если доход, юридического лица, не подлежит налогообложению в соответствии с действующим законодательством РФ и договорами (соглашениями) об избежании двойного налогообложения, заключенными РФ с государством, резидентом которого является юридическое лицо и желая применить данные договоры - надлежащим образом оформленное подтверждение, что юридическое лицо является налоговым резидентом такого государства в целях применения соответствующего международного договора (соглашения) об избежании двойного налогообложения.</p> <p>If the income of a legal entity is not subject to taxation in accordance with the current legislation of the Russian Federation and agreements (agreements) on avoidance of double taxation concluded by the Russian Federation with the state, the resident of which is a legal entity and the desire to apply these agreements - duly executed confirmation that the legal the person is a tax resident of such a state in order to apply the relevant international treaty (agreement) on the avoidance of double taxation.</p> <p>Предоставляется при заключении договора или до первой выплаты дохода, а также впоследствии ежегодно. При несвоевременном представлении юридическое лицо несет риск применения неблагоприятного режима налогообложения.</p> <p>It is provided at the conclusion of the contract or before the first payment of income, and also subsequently annually. In case of untimely submission, the legal entity bears the risk of applying an adverse tax regime</p>	<p>Нотариально удостоверенная копия</p> <p>Notarised copy</p>
<p>Подтверждение, что организация имеет фактическое право на получение дохода.</p> <p>Confirmation that the organization has an actual right to income</p> <p>Предоставляется при заключении договора или до первой выплаты дохода, а также впоследствии ежегодно. При несвоевременном представлении юридическое лицо несет риск применения неблагоприятного режима налогообложения.</p> <p>It is provided at the conclusion of the contract or before the first payment of income, and also subsequently annually. In case of untimely submission, the legal entity bears the risk of applying an adverse tax regime.</p>	<p>Оригинал</p> <p>Original</p>
<p>Анкета Клиента – юридического лица-нерезидента</p> <p>Questionnaire of a non - resident legal entity</p>	<p>Оригинал</p> <p>Original</p>
<p>Анкета представителя клиента*</p> <p>Questionnaire of Client's representative*</p>	<p>Оригинал</p> <p>Original</p>
<p>Анкета выгодоприобретателя**</p> <p>Questionnaire beneficiary's**</p>	<p>Оригинал</p> <p>Original</p>
<p>Анкета бенефициарного (ых) владельца (ев) ***</p> <p>The beneficiary owner's (owners') questionnaire***</p> <p>В случае наличия лиц, имеющих возможность контролировать косвенно (через третьих лиц) действия юридического лица-нерезидента – документ (ы), раскрывающие бенефициарного (ых) владельца (ев).</p>	<p>Оригинал</p> <p>Original</p>

If there are persons who are able to indirectly control (through third parties) the actions of a non-resident legal entity - document (s) disclosing the beneficial owner (s).	
Доверенность (простая письменная) на предоставление документов и подписание акта приема-передачи документов (в случае передачи документов не представителем клиента*) A power of attorney (simple written) for the provision of documents and the signing of an act of reception and transfer of documents (in case of transfer of documents not by the client representative *)	Оригинал или надлежащим образом заверенная копия. Original or duly certified copy

Все документы должны быть действительны на дату их предоставления.

All documents must be valid at the date of submission.

\* представитель клиента - лицо, при совершении операции действующее от имени и в интересах или за счет клиента, полномочия которого основаны на доверенности, договоре, акте уполномоченного государственного органа или органа местного самоуправления, законе, а также исполнительный орган юридического лица (руководитель).

\* client's representative - a person acting on behalf of and in the interests of or at the expense of a client, whose powers are based on a power of attorney, an agreement, an act of an authorized state body or local government, law, as well as an executive body of a legal entity (head).

\*\* выгодоприобретатель - лицо, не являющееся непосредственно участником операции, к выгоде которого действует клиент, в том числе на основании агентского договора, договоров поручения, комиссии и доверительного управления, при проведении операций с денежными средствами и иным имуществом.

\*\*beneficiary - a person who is not a direct participant in the transaction, for whose benefit the client acts, including on the basis of an Agency agreement, assignment agreements, Commission and trust management, when conducting operations with cash and other property

\*\*\* бенефициарный владелец – физическое лицо, которое в конечном счете прямо или косвенно (через третьих лиц) владеет (имеет преобладающее участие более 25 процентов в капитале) клиентом - юридическим лицом либо имеет возможность контролировать действия клиента.

\*\*\*Beneficiary owners are persons who directly or indirectly (through third parties) own (have predominant participation of more than 25 interest in the company's equity) or have the ability to control the actions of a legal entity-nonresident

Все предоставленные документы, должны быть действительны на дату их предоставления.

All submitted documents must be valid on the date of their submission.

Документы, составленные полностью или в какой-либо их части на иностранном языке (за исключением документов, удостоверяющих личности физических лиц, выданных компетентными органами иностранных государств, составленных на нескольких языках, включая русский язык), представляются с надлежащим образом заверенным переводом на русский язык.

Documents drawn up in full or in any part thereof in a foreign language (with the exception of documents proving the identities of individuals issued by the competent authorities of foreign states, drawn up in several languages, including Russian), shall be submitted with a duly certified translation into Russian.

Документы, выданные компетентными органами иностранных государств, подтверждающие статус юридических лиц - нерезидентов, иностранных структур без образования юридического лица, принимаются в случае их легализации (указанные документы могут быть представлены без их легализации в случаях, предусмотренных международными договорами Российской Федерации).

Documents issued by the competent authorities of foreign states confirming the status of legal entities - non-residents, foreign structures without forming a legal entity are accepted if they are legalized (these documents can be submitted without legalization in cases stipulated by international treaties of the Russian Federation).



**ДЕПОЗИТАРИЙ / DEPOSITORY**

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License no. 014-14060-000100

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**ЗАЯВЛЕНИЕ О ПЕРЕЧИСЛЕНИИ ДОХОДОВ И ИНЫХ ВЫПЛАТ  
APPLICATION ON TRANSFER OF INCOME AND OTHER PAYMENTS**

**Сведения о Депоненте/Data on the Depositor:**

ФИО/наименование/ Surname, first name & patronymic /name  
title: \_\_\_\_\_

Договор с Депозитарием (номер и дата) \_\_\_\_\_

Agreement with the Depository (no. and date): \_\_\_\_\_

**Требуемые действия/Required actions:**

Перечислять доходы и иные выплаты по ценным бумагам на специальный брокерский счет  
**Place proceeds and other payments on securities to special broker account**

Доходы и иные выплаты по ценным бумагам, поступившие в следующей валюте:  
**Proceeds and other payments on securities received in currency as follows:**

Рубли РФ  
**RF rubles**

Доллары США/  
**US dollars**

Евро  
**Euro**

иное \_\_\_\_\_  
**other** \_\_\_\_\_

перечислять на следующие банковские реквизиты/**please pay to bank details as follows:**

Получатель/**Beneficiary:** \_\_\_\_\_

Банк получателя/**Beneficiary's bank:** \_\_\_\_\_

г./town \_\_\_\_\_

Р/с /**settlement account** \_\_\_\_\_ К/с/**correspondent account** \_\_\_\_\_

БИК (SWIFT)/ **RCBIC(SWIFT)** \_\_\_\_\_

Дата/**Date:** \_\_\_\_\_ Подпись/**Signature:** \_\_\_\_\_ ФИО/  
**Surname, first name & patronymic:** \_\_\_\_\_

Заполняется сотрудником Депозитария

**For Depository use only**

Дата и время приема/ <b>Acceptance Date and time</b>	Отв.Исп./ <b>Employee's name</b>
«__» _____ 20__ (__:__:__)	_____

Приложение П-29  
к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

Annex P-29  
to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

Генеральному директору  
ООО «ИК «ФИНПРОИНВЕСТ»  
/To General Director "IC "FINPROINVEST" LLC

\_\_\_\_\_  
\_\_\_\_\_

### ЗАЯВЛЕНИЕ/APPLICATION

Прошу расторгнуть Депозитарный договор № \_\_\_\_\_ от \_\_.\_\_.\_\_\_\_ г. и закрыть счет  
депо № \_\_\_\_\_.

/ Hereby we request to cancel Depository agreement no. \_\_\_\_\_ d.d. \_\_.\_\_.\_\_\_\_ and close  
securities account no. \_\_\_\_\_.

\_\_\_\_\_ «\_\_» \_\_\_\_\_ 20\_\_ г.

\_\_\_\_\_ «\_\_» \_\_\_\_\_ 20\_\_

Приложение П-30  
к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

Annex P-30  
to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

**ДЕПОЗИТАРИЙ / DEPOSITORY**

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License no. 014-14060-000100

выдана Центральным банком Российской Федерации, дата выдачи 03.05.2018 г.

Issued by the Central Bank of the Russian Federation, issue date: 03.05.2018

Фактический адрес: Белгородская обл., г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Телефон/факс// Telephone /fax:: (4725) 461542

**УВЕДОМЛЕНИЕ  
о расторжении договора и закрытии счетов депо  
NOTICE  
of withdrawal from agreement and closing securities accounts**

г. Старый Оскол/Stary Oskol

«\_\_»\_\_\_\_\_ 20\_\_ г.

Клиенту/to the Client \_\_\_\_\_

Настоящим уведомляем Вас о закрытии счетов депо и расторжении депозитарного договора, открытого на Ваше имя в Депозитарии ООО «ИК «ФИНПРОИНВЕСТ», а также сообщаем относящиеся к указанному событию данные:

/ We hereby notify you of closing securities accounts and withdrawal from depository agreement opened on your behalf in the Depository of "IC "FINPROINVEST" LLC as well inform you of details related to this event:

Договор с Депозитарием/Agreement with Depository: №/no. \_\_\_\_\_  
от/dated \_\_.\_\_.20\_\_ г.

ФИО/Наименование депонента/Depositor's Surname, name an patronymic:  
\_\_\_\_\_

Номера счетов депо/Securities accounts no.:  
\_\_\_\_\_

Дата закрытия счетов депо (дд/мм/гг)

/ Securities accounts closing date

(DD/MM/YY) \_\_\_\_\_

**Заполняется сотрудником Депозитария**

**For Depository use only**

Дата и время приема/Acceptance Date and time	Отв.Исп./Employee's name
«__»_____ 20__ (.::.)	_____

**Соглашение**

о расторжении депозитарного договора  
для юридических лиц

**Agreement**

on termination of depository agreement  
for legal entities

г. Старый Оскол “\_\_” \_\_\_\_\_ г. Stary Oskol “\_\_” \_\_\_\_\_

<p>Общество с ограниченной ответственностью "Инвестиционная компания "ФИНПРОИНВЕСТ", именуемое далее Депозитарий, имеющее лицензии на осуществление брокерской деятельности № 014-14057-100000 от 03.05.2018 г., дилерской деятельности № 014-14058-010000 от 03.05.2018 г., деятельности по управлению ценными бумагами № 014-14059-001000 от 03.05.2018 г. и лицензию на осуществление депозитарной деятельности № 014-14060-000100 от 03.05.2018 г., выданные Центральным банком Российской Федерации, в лице Генерального директора _____, действующей на основании Устава с одной Стороны, и _____ в лице _____ действующ(его) (ей) на основании _____, с другой Стороны, именуемое далее Депонент, совместно именуемые Стороны, заключили настоящий Соглашение о нижеследующем:</p>	<p>Limited liabilities company "Investment company "FINPROINVEST" hereinafter referred to as Depository having licences for implementation of broker activity no. 014-14057-100000 d.d. 03.05.2018, dealer activity no. 014-14058-010000 d.d. 03.05.2018, securities management activity no. 014-14059-001000 d.d. 03.05.2018 and license for implementation of depository activity no. 014-14060-000100 d.d. 03.05.2018 issued by the Central Bank of the Russian Federation represented by General Director _____, acting on the basis of the Charter as party of the first part, and _____ represented by _____ acting on the basis of _____, as party of the second part, hereinafter referred to as Depositor, collectively referred to as the Parties concluded this Agreement as follows:</p>
<p>1.Стороны расторгают депозитарный договор № _____ от _____. г. с момента подписания настоящего Соглашения.</p>	<p>1.The Parties terminate Depository agreement no. _____ d.d. _____ upon the signing of tis Agreement.</p>
<p>2.Стороны претензий друг к другу по исполнению договора не имеют.</p>	<p>2.The Parties do not have any claims to each other regarding implementation of the agreement..</p>
<p>3.Настоящее соглашение составлено в двух экземплярах, по одному для каждой из сторон. Все экземпляры имеют равную юридическую силу.</p>	<p>3.This agreement is drawn in duplicate, a copy for either of the parties. All copies are equally valid and binding.</p>

**ПОДПИСИ СТОРОН:  
SIGNATURES OF THE PARTIES:**

**Депонент/Depositor:**

**Депозитарий/Depository:**

\_\_\_\_\_  
М.П./L.S.

\_\_\_\_\_  
М.П./L.S.

**ДЕПОЗИТАРИЙ / DEPOZITORY**

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License no. 014-14060-000100

выдана Центральным банком Российской Федерации, дата выдачи 03.05.2018 г.

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Телефон/факс// Telephone /fax:: (4725) 461542

ФИО или наименование клиента/Surname, first name and patronymic  
Почтовый адрес/postal address

Уведомление об отказе от исполнения Договора	Notice of abandonment of performance under the contract
<p>Общество с ограниченной ответственностью «Инвестиционная компания «ФИНПРОИНВЕСТ» (далее – Общество) настоящим уведомляет Вас о том, что в соответствии с пунктом ____ Депозитарного Договора / Договора о междепозитарных отношениях / № ____ от ____ Общество отказывается от исполнения Депозитарного договора / Договора о междепозитарных отношениях в одностороннем внесудебном порядке с «_» _____ 20__ г.</p>	<p>Limited liabilities company "Investment company "FINPROINVEST" (hereinafter referred to as Company) hereby notifies you that according to paragraph ____ of the Depository Agreement / Agreement on inter-depository relations / No. ____ from _____ the Company abandons performance under the Depository agreement / Agreement on the inter-depository relations unilaterally and without judicial procedures starting from " _ " _____ 20 ____.</p>
<p>Также не позднее, чем за 5 (пять) рабочих дней до даты расторжения Вам необходимо подать Обществу документы, необходимые для перевода ценных бумаг, учет прав на которые осуществляется по счету депо, на счет депо в другом депозитарии или на лицевые счета в реестрах владельцев соответствующих ценных бумаг и погасить задолженность по Депозитарному договору / Договору о междепозитарных отношениях.</p>	<p>Additionally, not later than 5 (five) working days before the termination date You should submit to the Company the documents, required for transfer of securities, accounting of the rights for which is carried out on my securities account, to the securities account in other depository or on personal accounts in registers of owners of the relevant securities and discharge the debt under the Depository agreement /Agreement on inter-depository relations.</p>

Генеральный директор  
ООО «ИК «ФИНПРОИНВЕСТ»

Ф.И.О.

General Director  
"IC "FINPROINVEST" LLC

Surname, first name and patronymic

Приложение П-33  
к Условиям осуществления  
депозитарной деятельности  
ООО «ИК «ФИНПРОИНВЕСТ»  
(Клиентскому регламенту)

Annex P-33  
to terms and conditions  
of depository activities  
of "IC "FINPROINVEST" LLC  
(Client regulations)

Генеральному директору  
ООО "ИК "ФИНПРОИНВЕСТ"  
От клиента \_\_\_\_\_  
Депозитарный договор/ Договор о  
междепозитарных отношениях  
№ \_\_\_\_\_ от \_\_\_\_\_ г.

To General Director  
"IC "FINPROINVEST" LLC  
From the Client \_\_\_\_\_  
Depository agreement/Agreement on  
inter-depository relations  
No. \_\_\_\_\_ d.d. \_\_\_\_\_

**УВЕДОМЛЕНИЕ  
об отказе от договора**

**NOTICE  
of withdrawal from agreement**

Настоящее уведомление составлено «\_\_» \_\_\_\_\_ 20\_\_ г.

Уведомляю Вас о том, что я, \_\_\_\_\_ в соответствии с пунктом \_\_\_\_\_ Депозитарного Договора/Договора о междепозитарных отношениях № \_\_\_\_\_ отказываюсь от исполнения Депозитарного договора/ Договора о междепозитарных отношениях в одностороннем внесудебном порядке с «\_\_» \_\_\_\_ 20\_\_ г.

Обязуюсь не позднее, чем за 5 (пять) рабочих дней до даты расторжения подать Обществу документы, необходимые для перевода ценных бумаг, учет прав на которые осуществляется по моему счету депо, на счет депо в другом депозитарии или на лицевые счета в реестрах владельцев соответствующих ценных бумаг и погасить задолженность по Депозитарному договору/ Договору о междепозитарных отношениях.

This notice is drawn on «\_\_» \_\_\_\_\_ 20\_\_

Hereby I give notice that I \_\_\_\_\_ in compliance with the provisions of para. \_\_\_\_\_ of Depository Agreement/ Agreement on inter-depository relations no. \_\_\_\_\_ repudiate Depository Agreement/ Agreement on inter-depository relations unilaterally without a court decision starting from «\_\_» \_\_\_\_ 20\_\_.

I undertake hereby not later than 5 (five) business days before the termination date to submit to the Company the documents, required for transfer of securities, accounting of the rights for which is carried out on my securities account, to the securities account in other depository or on personal accounts in registers of owners of the relevant securities and to discharge the debt under the Depository contract /Agreement on inter-depository relations.

Подпись/ Signature:	ФИО/ Last, first and middle names
_____	_____
_____	_____
М.П./L.S.	_____

**Анкета (досье) физического лица  
Questionnaire (dossier) of individual**

- Первичное оформление *Initial registration*  
 Обновление *Updating*

- Клиент *Client*  
 Представитель клиента\* *Client's representative*  Выгодоприобретатель\*\* *Beneficiary*  
 Бенефициарный владелец\*\* *Beneficiary owner*

В случае заполнения Анкеты представителя, выгодоприобретателя или бенефициарного владельца укажите ФИО Клиента: \_\_\_\_\_

*In case of filling the Questionnaire of the representative, beneficiary party or beneficiary owner please state the Client's surname, given name and patronymic:*

**1. Сведения о физическом лице / *Information about an individual***

Фамилия, имя, отчество (при наличии последнего) <i>Last name, first name and middle name (the latter if any)</i>		
Дата рождения <i>Date of birth</i>		
Место рождения <i>Place of birth</i>		
Гражданство <i>Citizenship (Nationality)</i>		
Реквизиты документа, удостоверяющего личность <i>Particulars of identification document</i>	Наименование <i>Type</i>	
	Серия (при наличии), номер <i>Series (if any), number</i>	
	Кем выдан, код подразделения (при наличии) <i>Issued by, subdivision code (if any)</i>	
	Дата выдачи <i>Date of issue</i>	
Место жительства (регистрации) <i>Residential address (registration)</i>		
Место пребывания <i>Address of the place of stay</i>		
Телефоны, факсы (при наличии) <i>Contact phone, fax (if any) numbers</i>		
Адрес электронной почты <b>E-mail address</b>		
Идентификационный номер налогоплательщика ИНН (при наличии) <i>Taxpayer identification number TIN (if any)</i>		
Номер страхового свидетельства государственного пенсионного страхования (СНИЛС) <i>Insurance number of the individual personal account in the mandatory pension insurance</i>		

<p>Для иностранных граждан и лиц без гражданства <b><i>For foreign citizens and stateless persons</i></b></p>	<p>Документы, подтверждающие право на пребывание (проживание) в РФ (данные миграционной карты в случае отсутствия иных документов) (серия (если имеется) и номер документа, дата начала и дата окончания срока действия права пребывания (проживания)) <b><i>Document confirming the right to stay (live) in the RF (migration card information in the absence of other documents) (document Series (if any) and No, starting date of the right to stay (live) and expiration date of the right to stay (to live)</i></b></p>	
<p>Для представителя клиента <b><i>For a Client's representative</i></b></p>	<p>Должность <b><i>Position held</i></b> Наименование, номер, дата выдачи, срок действия документа, на котором основаны полномочия представителя клиента <b><i>Name, number, issue date, validity period of a document confirming the powers of a client's representative</i></b></p>	
<p>Для выгодоприобретателя клиента <b><i>For a Client's Beneficiary party</i></b></p>	<p>Наименование, номер, дата документа, подтверждающего статус выгодоприобретателя <b><i>Name, number, issue date of a document confirming a Principal's status</i></b></p>	

**Для категории «Представитель клиента» перейдите к подписанию анкеты**  
**For the category "Client's representative" go over to signing the questionnaire**  
**Для категорий «Выгодоприобретатель» и «Бенефициарный владелец» разделы 2, 3, 4, 5, 6 и 7 не заполняются**  
**For categories "Beneficiary" and "Beneficiary owner" the sections 2, 3, 4, 5, 6 and 7 not to be filled**



**2. Сведения о финансовом положении/ Information on financial standing:**

<p>Цели установления деловых отношений с Организацией <i>Objectives for establishment of business relations with the Company</i></p>	<p><input type="checkbox"/> брокерское обслуживание на рынке ценных бумаг <i>brokerage service on the securities market</i></p> <p><input type="checkbox"/> доверительное управление ценными бумагами <i>custodian management of securities</i></p> <p><input type="checkbox"/> депозитарное обслуживание <i>depository service</i></p> <p><input type="checkbox"/> совершение операций на рынке ценных бумаг <i>operations in the securities market</i></p> <p><input type="checkbox"/> иное (указать вид услуг: _____) <i>other (please specify the type of services): _____</i></p>
<p>Характер деловых отношений с Организацией <i>Nature of business relations with the Company</i></p>	<p><input type="checkbox"/> долгосрочный /<i>long term</i></p> <p><input type="checkbox"/> краткосрочный / <i>short term</i></p>
<p>Цели финансово-хозяйственной деятельности <i>Objectives of financial-economic activity</i></p>	<p><input type="checkbox"/> получение прибыли <i>Profit earning</i></p> <p><input type="checkbox"/> удовлетворение собственных потребностей и желаний <i>satisfaction of own requirements and wishes</i></p> <p><input type="checkbox"/> реализация общественных проектов <i>Realization of social projects</i></p> <p><input type="checkbox"/> иное: _____ <i>Other: _____</i></p>
<p>Финансовое положение <i>Information on financial standing</i></p>	<p><input type="checkbox"/> устойчивое <i>stable</i></p> <p><input type="checkbox"/> неустойчивое <i>Unstable</i></p>
<p>Деловая репутация <i>Business reputation</i></p>	<p><input type="checkbox"/> Удовлетворительная <b>Satisfactory</b></p> <p><input type="checkbox"/> Неудовлетворительная <b>Unsatisfactory</b> подтверждена отсутствием/наличием* компрометирующих сведений о клиенте в открытых источниках в Сети «Интернет» (наличие/отсутствие дел по исполнительным производствам в отношении клиента на сайте Федеральной службы судебных приставов (fssprus.ru), Единый федеральный реестр сведений о банкротстве (<a href="https://bankrot.fedresurs.ru">https://bankrot.fedresurs.ru</a>)). <b>confirmed by the absence / presence * of compromising information about the client in open sources on the Internet (the presence / absence of cases of enforcement proceedings against the client on the website of the Federal Bailiff Service (fssprus.ru), the Unified Federal Register of Bankruptcy Information (https: / /bankrot.fedresurs.ru).</b></p> <p><input type="checkbox"/> Да/Yes <input type="checkbox"/> Нет/No</p> <p><input type="checkbox"/> Не определена (сведения не получены/не найдены в общедоступных источниках) <b>Not defined (information not received / not found in public sources)</b></p> <p>*нужное подчеркнуть <b>Underline whatever applicable</b></p>

<p>Источники происхождения денежных средств и (или) иного имущества <i>Sources of funds and (or) other assets</i></p>	<p><input type="checkbox"/> приватизация (ценные бумаги) / <i>privatization (securities)</i></p> <p><input type="checkbox"/> сделка купли продажи имущества/ <i>assets purchase and sales transaction</i></p> <p><input type="checkbox"/> наследство/<i>inheritance</i></p> <p><input type="checkbox"/> дарение/<i>deed of gift</i></p> <p><input type="checkbox"/> иное/<i>other:</i> _____</p>
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**3. Реквизиты банковских счетов, открытых в валюте РФ:**  
**Details of Bank accounts opened in RF currency:**

Получатель: **Recipient:** \_\_\_\_\_  
 Счёт получателя: **Recipient's account** \_\_\_\_\_  
 Банк получателя: **Recipient's bank:** \_\_\_\_\_  
 ИНН Банка: **The Bank's INN** \_\_\_\_\_  
 БИК: **The Bank's RCBIC\*** \_\_\_\_\_  
 Кор. счет: **Correspondent account** \_\_\_\_\_  
 \*Russian Central Bank identification code

**4. Реквизиты банковских счетов, открытых в иностранной валюте:**  
**Details of Bank accounts opened in foreign currency:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**5. Форма получения отчетов о состоянии счетов клиента:**  
**Form of receiving of statements of Client's accounts:**

- по почте **by regular mail**
- по электронному адресу **at e-mail address:** \_\_\_\_\_
- лично в ООО «ИК «ФИНПРОИНВЕСТ» **in person at IK FINPROINVEST LLC**
- в личном кабинете клиента **in the client's personal account**

**6. Сведения о выгодоприобретателях.**  
**Information on Beneficiaries.**

Имеется ли у Вас выгодоприобретатель – то есть лицо, к выгоде которого Вы действуете (в том числе на основании агентского договора, договоров поручения, комиссии и доверительного управления) при проведении операций с денежными средствами и иным имуществом.

***Have you a Beneficiary – a person to the benefit of which you act (also on the basis of agent agreement, trust agreement, commission or fiduciary management) while executing transactions with funds and other assets?***

ДА **YES**                       НЕТ **NO**

В случае положительного ответа необходимо заполнить Анкету физического/ юридического лица/ индивидуального предпринимателя отдельно на каждого выгодоприобретателя.

***In case the answer is "Yes" it is necessary to fill out the questionnaire for an individual/legal entity/self-employed entrepreneur separately on each beneficiary).***

**7. Сведения о бенефициарных владельцах.**  
**Information on beneficial owners.**

Имеются ли у Вас бенефициарные владельцы – то есть физические лица, которые в конечном счете прямо или косвенно (через третьих лиц) имеют возможность контролировать Ваши действия?

*Do you have beneficial owners – individuals who ultimately directly or indirectly (through third parties) have an opportunity to control activity?*

ДА YES     НЕТ NO

В случае положительного ответа необходимо заполнить Анкету физического лица отдельно на каждого бенефициара.

*In case the answer is “Yes” it is necessary to fill out the questionnaire for an individual separately on each beneficiary.*

В случае отрицательного ответа бенефициарным владельцем признается сам клиент (в соответствии со ст. 3 Федерального закона №115-ФЗ от 07.08.2001г.).

*In case the answer is “No” the Client himself is recognized as the beneficial owner (according to Clause 3 of Federal Law 115-FZ dd. 07.08.2001).*

**Основания признания лица бенефициарным владельцем:  
Specify the grounds for acknowledging the person as beneficiary owner:**

Бенефициарный владелец (ФИО): \_\_\_\_\_  
*Beneficiary owner (full name):* \_\_\_\_\_

Имеет возможность контролировать Ваши действия (указать, в чем именно заключается такая возможность: \_\_\_\_\_

*Is in capacity to control Your actions (please specify what such capacity includes in particular):*

\_\_\_\_\_

Иное: \_\_\_\_\_  
*Other:* \_\_\_\_\_

**8. Сведения о статусе публичного должностного лица  
Information on status of a politically exposed person**

<p>8.1. Являетесь ли Вы иностранным публичным должностным лицом (далее – ИПДЛ) или супругом, близким родственником (родственником по прямой восходящей и нисходящей линии (родителем или ребенком, дедушкой, бабушкой и внуком), полнородным и неполнородным (имеющим общих отца или мать) братом и сестрой, усыновителем или усыновленным) ИПДЛ. В случае положительного ответа заполняются подпункты 8.1.1 и 8.1.2: <i>Are you a foreign politically exposed person (hereinafter FPEP), or a spouse, close relative (relative of the ascending and descending lines (parent or child, grandfather, grandmother or grandchild), full-blood and half-blood (having the common father or mother) brother or sister, adoptive parent or adoptive child) of FPEP. In case the answer is “Yes” it is necessary to fill out subparagraphs 8.1.1 and 8.1.2:</i></p>	<p><input type="checkbox"/> ДА YES</p> <p><input type="checkbox"/> НЕТ NO</p>
<p>8.1.1 Укажите должность, государство, наименование и адрес работодателя, степень родства либо статус (супруг или супруга), источник происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций. <i>Please, specify position title, the state, name and address of provider of work, degree of relationship or status (husband or a wife), source of funds or other property you plan to use for execution of transactions.</i></p> <p>_____</p> <p>_____</p>	

<p>8.1.2 Укажите документ/документы, позволяющий/ие определить источники происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций</p> <hr/> <p><i>Please, specify a document /documents allowing to determine source of funds or other property you plan to use for execution of transactions</i></p> <hr/>	
<p>8.2. Являетесь ли Вы российским публичным должностным лицом, то есть лицом замещающим (занимающим) государственные должности Российской Федерации, должности членов Совета директоров Центрального банка Российской Федерации, должности федеральной государственной службы, назначение на которые и освобождение от которых осуществляются Президентом Российской Федерации или Правительством Российской Федерации, должности в Центральном банке Российской Федерации, государственных корпорациях и иных организациях, созданных Российской Федерацией на основании федеральных законов, включенные в перечни должностей, определяемые Президентом Российской Федерации, или супругом, близким родственником (родственником по прямой восходящей и нисходящей линии (родителем или ребенком, бабушкой, бабушкой и внуком), полнородным и неполнородным (имеющим общих отца или мать) братом и сестрой, усыновителем или усыновленным) вышеуказанных должностных лиц.</p> <p>В случае положительного ответа заполняются подпункты 8.2.1 и 8.2.2</p> <p><i>Are you a Russian politically exposed person – a public official (filling posts) holding any public positions of the Russian Federation, positions of the Board of directors of the Central Bank of the Russian Federation, posts of the federal state service subject to appointment and dismissal by the President or the Government of the Russian Federation, positions in the Central Bank of the Russian Federation, state corporations and other organizations established by the Russian Federation on the authority of federal laws and included in the lists of positions determined by the President of the Russian Federation, or a spouse, close relative (relative of the ascending and descending lines (parent or child, grandfather, grandmother or grandchild), full-blood and half-blood (having the common father or mother) brother or sister, adoptive parent or adoptive child) of the said public officials.</i></p> <p><i>In case the answer is “Yes” it is necessary to fill out subparagraphs 8.2.1 and 8.2.2</i></p>	<input type="checkbox"/> ДА <input type="checkbox"/> YES <input type="checkbox"/> НЕТ <input type="checkbox"/> NO
<p>8.2.1 Укажите должность, наименование и адрес работодателя, степень родства либо статус (супруг или супруга), источник происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций.</p> <hr/> <p><b>please, specify position title, the name and address of provider of work, degree of relationship or status (husband or a wife), source of funds or other property you plan to use for execution of transactions</b></p> <hr/>	
<p>8.2.2 Укажите документ/документы, позволяющий/ие определить источники происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций.</p> <hr/> <p><b>please, specify a document/documents allowing to determine source of funds or other property you plan to use for execution of transactions</b></p> <hr/>	
<p>8.3. Являетесь ли Вы должностным лицом публичных международных организаций, то есть должностным лицом публичной международной организации, которому международной организацией доверены или были доверены важные функции, или супругом, близким родственником (родственником по прямой восходящей и нисходящей линии (родителем или ребенком, бабушкой, бабушкой и внуком), полнородным и неполнородным (имеющим общих отца или мать) братом и сестрой, усыновителем или усыновленным) вышеуказанных должностных лиц.</p>	<input type="checkbox"/> ДА <input type="checkbox"/> YES <input type="checkbox"/> НЕТ <input type="checkbox"/> NO

<p>В случае положительного ответа заполняются подпункты 8.3.1 и 8.3.2</p> <p><i>Are you a public official of public international organizations i.e. a public official of public international organization who was entrusted by public international organization with important functions or a spouse, close relative (relative of the ascending and descending lines (parent or child, grandfather, grandmother or grandchild), full-blood and half-blood (having the common father or mother) brother or sister, adoptive parent or adoptive child) of the said public officials.</i></p> <p><i>In case the answer is "Yes" it is necessary to fill out subparagraphs 8.3.1 and 8.3.2</i></p>	
<p>8.3.1 Укажите должность клиента, государство, наименование и адрес работодателя, степень родства либо статус (супруг или супруга), источник происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций. _____</p> <p><i>Please specify position title of the client, the name and address of provider of work, degree of relationship or status (husband or a wife), source of funds or other property you plan to use for execution of transactions</i></p> <p>_____</p>	
<p>8.3.2 Укажите документ/документы, позволяющий/ие определить источники происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций.</p> <p>_____</p> <p><i>Please specify a document/documents allowing to determine source of funds or other property you plan to use for execution of transactions.</i></p> <p>_____</p>	

### 9. Сведения о наличии критериев

#### отнесения к категории иностранного налогоплательщика

#### Information regarding presence of criteria for being categorized as foreign taxpayer

Гражданство иностранного государства <i>Foreign state citizenship</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Разрешение на постоянное пребывание (вид на жительство) в иностранном государстве (для США – карточка постоянного жителя по форме I-551 («Green Card») <i>Permission for Permanent Residence (resident permit in the foreign state (for the USA – permanent resident card according Form I-551 («Green Card»)</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Соответствие критериям долгосрочного <sup>3</sup> пребывания в иностранном государстве, т.е. нахождение на территории этого государства не менее срока, установленного законодательством иностранного государства для признания налогоплательщиком – резидентом иностранного государства <i>Compliance to criteria of long-term stay in the foreign state, i.e. stay in the territory of this state not less than the term established by the legislation of the foreign state for recognition as the taxpayer – the resident of the foreign state</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Место рождения на территории США <i>Birthplace in the USA territory</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Адрес проживания/почтовый адрес на территории США <i>Residence address/mail address in the USA territory</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Телефонный номер, зарегистрированный в США <i>Phone number registered in the USA</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Наличие длительного/постоянного платежного поручения на перечисление более одного платежа на счет или адрес, зарегистрированный в США <i>Presence of Standing payment instruction for transfer to accounts of institutions in the USA</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Доверенность/право подписи предоставлены лицу, имеющему адрес в США (места жительства (регистрации) или почтовый) <i>PoA/authority to sign issued to individual person residing in the USA territory</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO

Адрес для корреспонденции по счету имеет статус «для передачи» или «до востребования» в качестве единственного адреса для направления выписок по счетам, открытым в кредитной организации, в отношении данного лица указано «для передачи» или «до востребования»./ <i>Address for correspondence for the account has status “in care of” or “until called for” is specified as the only delivery address for delivery of statements, “in care of” or “until called for” is specified in respect of the given person</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Являюсь иностранным налогоплательщиком <sup>4</sup> <i>I am the foreign taxpayer</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO

**Раздел заполняется в случае наличия одного или более критериев отнесения к категории иностранного налогоплательщика**

В течение 15 рабочих дней обязуюсь предоставить в Организацию документы, подтверждающие/опровергающие статус иностранного налогоплательщика <i>Within 15 days I undertake to present to the Company the documents confirming/contradicting the status of foreign taxpayer</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Я даю согласие на обработку и передачу информации в иностранный налоговый орган. <i>I hereby give consent to processing and transfer of the information to foreign tax authority</i>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO

Я подтверждаю, что информация, указанная в настоящей форме, является достоверной, а также понимаю, что несу ответственность за предоставление ложных и заведомо недостоверных сведений в соответствии с действующим законодательством.

*I hereby confirm that the information stated in this Questionnaire is true and I understand that I bear responsibility for providing false and obviously false information according to the current legislation.*

В случае изменения идентификационных и иных сведений, представленных в рамках данной анкеты, я обязуюсь предоставить в Организацию обновленную информацию не позднее 15 рабочих дней с момента их изменения.

*In case of any changes in the identity data provided within this Questionnaire, I will submit updated information to the Company no later than 10 days from the moment of changes in the data.*

Настоящим, в соответствии с Федеральным Законом РФ «О персональных данных» от 27 июля 2006 года № 152-ФЗ (с изменениями и дополнениями) выражаю свое добровольное согласие на обработку (способ обработки - с использованием средств автоматизации) ООО «ИК «ФИНПРОИНВЕСТ» (далее - Оператор), адрес Оператора 309511, Белгородская область, г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1, (включая сбор, систематизацию, накопление, хранение, уточнение (обновление, изменение), использование, распространение (в том числе передачу), обезличивание, блокирование, уничтожение) моих персональных данных, к которым могут относиться фамилия, имя, отчество, год, месяц, дата и место рождения, гражданство (подданство), место жительства (регистрации), место пребывания, почтовый адрес, сведения о документе, удостоверяющем личность, идентификационный номер налогоплательщика, номера контактных телефонов, адреса электронной почты, сведения о доходах, иные сведения, с целью надлежащего выполнения Оператором применимых к его деятельности требований федеральных законов РФ, иных правовых актов РФ, в том числе актов федеральных органов исполнительной власти РФ, и условий гражданско-правовых договоров, которые могут заключаться между Оператором и Субъектом персональных данных.

Настоящее согласие действует до даты его отзыва мною путём направления ООО «ИК «ФИНПРОИНВЕСТ» сообщения об отзыве согласия на обработку персональных данных в произвольной форме, если иное не установлено Законодательством Российской Федерации.

<sup>3</sup> Применительно к США долгосрочным считается пребывание, если срок нахождения на территории США не менее 31 дня в течение текущего календарного года и не менее 183 дней в течение 3 лет, включая текущий год и два непосредственно предшествующих года. При этом сумма дней, в течение которых физическое лицо присутствовало на территории иностранного государства в текущем году, а также в двух предшествующих годах, умножается на установленный коэффициент: коэффициент для текущего года равен 1 (т.е. учитываются все дни, проведенные в США в текущем году); коэффициент предшествующего года равен 1/3; коэффициент позапрошлого года равен 1/6.

*In respect of the USA the long term presence is considered to be the presence in the territory of the United States for at least 31 days during the current calendar year and at least 183 days during the 3-year period that includes the current year and the previous two years. The total number of days during which the individual is physically present in the United States in the current year and in the previous two years is multiplied by a set index: 1 for the current year (all the days the individual is physically present in the United States in the current year); 1/3 for the previous year, and 1/6 for the year before last.*

<sup>4</sup> Иностраный налогоплательщик – лицо, на которое распространяется законодательство иностранного государства о налогообложении иностранных счетов, включая Закон США о налогообложении иностранных счетов (FATCA – Foreign Account Tax Compliance Act) от 18.03.2010.

*Foreign taxpayer – is a person falling under the law of the foreign state on taxation of foreign accounts including the USA law of taxation of foreign accounts (FATCA – Foreign Account Tax Compliance Act) dd 18.03.2010.*

Hereby, pursuant to Federal Law No.152-FZ "On Personal Data" (as amended) d/d 27th of July 2006 grant my voluntary consent for processing (by automatic means) to "IC"FINPROINVEST" LLC ("Operator"), Operator's address 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast, 309511, (including collection, collation, accumulation, storage, amendment (updating, changing), use, distribution, including submission, depersonalization, blocking and destruction) of my personal data, which can include full name, year, month, date and place of birth, citizenship (nationality), place of residence (registration), place of sojourn, mail address, details about document certifying personality, taxpayer identification number, contact telephone numbers, e-mails, details of income and other details for the purpose of duly execution by the Operator of requirements of RF federal laws applicable to its activity, other legal RF acts including enactments of RF federal executive authorities and terms of civil law contracts that can be concluded between the Operator and the Subject of personal data.

This consent is valid until the date of its withdrawal by me by way of submission to "IC"FINPROINVEST" LLC of the message concerning withdrawal of consent for processing personal date unless otherwise provided for by the Laws of the Russian Federation.

Клиент Client \_\_\_\_\_ / \_\_\_\_\_  
(подпись) (signature) (Ф.И.О.) (full name)

Дата заполнения « \_\_\_\_ » \_\_\_\_\_ 20\_\_ г.

Date of filling " \_\_\_\_ " \_\_\_\_\_ 20\_\_.

Заполняется сотрудником ООО «ИК «ФИНПРОИНВЕСТ»:  
To be filled in by an employee of LLC IC FINPROINVEST:

Сотрудник, заполнивший/обновивший/проверивший анкету:  
The employee who filled out / updated / checked the questionnaire:

\_\_\_\_\_  
(должность position)

\_\_\_\_\_  
(подпись signature)

\_\_\_\_\_  
(Ф.И.О. full name)

**Анкета (досье) юридического лица, иностранной структуры без образования юридического лица**

**Questionnaire (dossier) of Legal Entity or Foreign agency without forming a legal entity**

- Обновление *Updating*  
 Первичное оформление *Initial registration*

- Клиент **Client**     Представитель клиента *Client's representative*  
 Выгодоприобретатель **Beneficiary**

В случае заполнения Анкеты представителя или выгодоприобретателя укажите наименование Клиента: **If you fill a representative's or a principal's questionnaire please specify the Client's name:**

Фирменное наименование <i>Business name</i>	Полное на русском языке <b>Full name in Russian</b>	
	Сокращённое на русском языке <b>Short name in Russian</b>	
	на иностранном языке (при наличии) полное и сокращённое <b>in foreign language (if available) full and short</b>	
Организационно-правовая форма <b>Organizational legal form</b>		
<input type="checkbox"/> ИНН (для резидента) <b>INN (for resident)</b> <input type="checkbox"/> ИНН или КИО (для нерезидента) <b>INN or FCC (for non-resident)</b> <input type="checkbox"/> Код (коды) (при наличии) иностранной структуры без образования юридического лица в государстве (на территории) её регистрации (инкорпорации) в качестве налогоплательщика или его (их) аналоги <b>Code (codes) (if available) of foreign unincorporated organization in the state (in the territory) of its registration (incorporation) as a taxpayer or its (their) analogues</b>		
<b>Сведения о государственной регистрации Information about state registration</b>		
<input type="checkbox"/> ОГРН (для резидентов) <b>OGRN (for residents)</b> <input type="checkbox"/> Номер записи об аккредитации филиала, представительства (для нерезидентов) <b>Number of the record regarding accreditation of the affiliate, representation (for non-residents)</b> <input type="checkbox"/> Регистрационный номер (для юридического лица - нерезидента и иностранной структуры без образования юридического лица) <b>Registration number (for a legal entity - a non-resident and a foreign structure without forming a legal entity)</b>		
Дата присвоения ОГРН <b>Date of assignment OGRN</b>		
Дата регистрации (для нерезидентов) <b>Registration date (for non-residents)</b>		
Наименование регистрирующего органа <b>Registration authority name</b>		



Сведения о регистрации юридического лица до 01.07.2002 г.  
**Information on registration of a legal entity before 01.07.2002**

Регистрационный номер, присвоенный до 01.07.2002 г. <b>Registration number assigned before 01.07.2002</b>		
Дата регистрации до 01.07.2002 г. <b>Registration date before 01.07.2002</b>		
Наименование органа, зарегистрировавшего юридическое лицо до 01.07.2002 г. <b>The name of the body that registered the legal entity before 01.07.2002</b>		
Место ведения основной деятельности (для иностранной структуры без образования юридического лица) <b>Place of conducting the main business (for foreign unincorporated organization)</b>		
Место государственной регистрации (местонахождения) <b>Place of state registration (location)</b>		
Адрес юридического лица (в соответствии со сведениями, содержащимися в ЕГРЮЛ) <b>Legal entity address (in accordance with the information contained in the Unified State Register of Legal Entities)</b>		
Почтовый адрес (указывается с индексом) <b>Postal address (indicated with zip code)</b>		
Сведения о присутствии или отсутствии по своему местонахождению юридического лица его постоянно действующего органа управления или лица, действующего от имени организации без доверенности <b>Information about the presence or absence of a legal entity at its location of its permanent management body or a person acting on behalf of the organization without a power of attorney</b>		<input type="checkbox"/> Присутствует <b>Present</b> <input type="checkbox"/> Отсутствует <b>Absent</b>
Номера контактных телефонов, факс (при наличии) <b>Contact phone numbers, fax (if available)</b>		
Адрес электронной почты <b>E-mail address</b>		
Доменное имя, указатель страницы в сети «интернет», с использованием которых юридическим лицом оказываются услуги (при наличии) <b>Domain name, index of a page on the Internet, with the use of which a legal entity renders services (if any)</b>		
Наличие налоговых льгот <b>Tax deductions</b>		<input type="checkbox"/> да <b>yes</b> <input type="checkbox"/> нет <b>no</b>
Должностное лицо, уполномоченное действовать от имени клиента без доверенности <b>Official authorized to act on behalf of the client without a power of attorney</b>		
Ф.И.О. <b>Full name</b>		Оттиск Печати
Должность <b>Position</b>		
Срок полномочий <b>Term of powers</b>		
Образец подписи <b>Specimen signature</b>		
<p>_____/_____/_____</p> <p><i>Подпись Signature</i>                      <i>ФИО собственноручная расшифровка подписи Full name handwritten</i></p> <p><b>decription of the signature</b></p>		
Подпись совершена в присутствии сотрудника ООО «ИК «ФИНПРОИНВЕСТ» <b>The signature was made in the presence of an employee of LLC "IC" FINPROINVEST "</b>		
_____/_____/_____		
Подпись <b>Signature</b>		ФИО <b>Full name</b>

Код юридического лица в соответствии с общероссийским классификатором предприятий и организаций ОКПО (при наличии) <b>Legal entity code in accordance with the All-Russian Classifier of Enterprises and Organizations OKPO (if any)</b>		
Коды ОКВЭД <b>OKVED codes</b>		
Сведения о лицензии на право осуществления клиентом, за исключением иностранной структуры без образования юридического лица, деятельности, подлежащей лицензированию <b>Information about the license for the right to carry out by the client, with the exception of a foreign structure without the formation of a legal entity, activities subject to licensing</b>	номер <b>number</b>	
	дата выдачи <b>issue date</b>	
	наименование выдавшего органа <b>name of issuing authority</b>	
	срок действия <b>validity</b>	
	перечень видов лицензируемой деятельности <b>list of types of licensed activity</b>	
Состав имущества, находящегося в управлении (собственности), фамилия, имя, отчество (при наличии), наименование и адрес места жительства (места нахождения) учредителей (участников) и протекторов (при наличии) – в отношении трастов и иных иностранных структур без образования юридического лица с аналогичной структурой или функцией. <b>The composition of the property under management (ownership), last name, first name, patronymic (if any), the name and address of the place of residence (location) of the founders (participants) and protectors (if any) - in relation to trusts and other foreign structures without forming a legal entity with a similar structure or function.</b>		

Сведения об органах юридического лица, иностранной структуры без образования юридического лица (структура и персональный состав органов управления юридического лица, наименования органов управления перечисляются в соответствии с учредительными документами, за исключением сведений о персональном составе акционеров (участников) владеющих менее чем пятью процентами акций (долей) юридического лица, структура и персональный состав органов управления иностранной структуры без образования юридического лица) (при наличии)

**Information about the bodies of a legal entity, a foreign structure without the formation of a legal entity (structure and personal composition of the management bodies of a legal entity, the names of the governing bodies are listed in accordance with the constituent documents, with the exception of information about the personal composition of shareholders (participants) owning less than five percent of the shares (stakes) of a legal entity, structure and the personal composition of the governing bodies of a foreign structure without the formation of a legal entity) (if any)**

Наименование органа управления <b>Name of the governing body</b>	Персональный состав органа управления <b>Personal composition of the governing body</b>	Акции/доли, % <b>Participation share %</b>

Цели установления деловых отношений с ООО «ИК «ФИНПРОИНВЕСТ» <b>Purposes of establishing business relations with LLC IC FINPROINVEST</b>	<input type="checkbox"/> брокерское обслуживание на рынке ценных бумаг <b>broker service in the securities market</b> <input type="checkbox"/> доверительное управление ценными бумагами <b>trust management of securities</b> <input type="checkbox"/> депозитарное обслуживание <b>depository service</b>
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	<input type="checkbox"/> совершение операций на рынке ценных бумаг <b>securities transactions</b> <input type="checkbox"/> иное (указать вид услуг): <b>other (please specify type of services):</b> _____
Предполагаемый характер деловых отношений с ООО «ИК «ФИНПРОИНВЕСТ» <b>The alleged nature of the business relationship with LLC IC FINPROINVEST</b>	<input type="checkbox"/> долгосрочный <b>long term</b> <input type="checkbox"/> краткосрочный <b>short term</b>
Цели финансово-хозяйственной деятельности <b>Objectives of financial and economic activities</b>	<input type="checkbox"/> получение прибыли <b>receiving income</b> <input type="checkbox"/> реализация общественных проектов <b>implementation of social projects</b> <input type="checkbox"/> иное: _____ <b>other:</b> _____
Осуществляет ли Организация, операции, связанные с деятельностью: <b>Does the Organization carry out operations related to the activity:</b>	
<input type="checkbox"/> по организации и содержанию тотализаторов и игорных заведений (например, казино, букмекерских контор), по организации и проведению лотерей, тотализаторов (взаимных пари) и иных основанных на риске игр, в том числе в электронной форме; <b>on the organization and maintenance of sweepstakes and gambling establishments (for example, casinos, bookmakers), on the organization and conduct of lotteries, sweepstakes (mutual bets) and other risk-based games, including in electronic form;</b>	
<input type="checkbox"/> микрофинансовых организаций; <b>microfinance organizations;</b>	
<input type="checkbox"/> ломбардов; <b>pawnshops;</b>	
<input type="checkbox"/> по реализации, в том числе комиссионной, предметов искусства, антиквариата, мебели, транспортных средств, предметов роскоши; <b>for the sale, including commission, of objects of art, antiques, furniture, vehicles, luxury goods;</b>	
<input type="checkbox"/> по скупке, купле-продаже драгоценных металлов, драгоценных камней, а также ювелирных изделий, содержащих драгоценные металлы и драгоценные камни, и лома таких изделий; <b>for the purchase, sale and purchase of precious metals, precious stones, as well as jewelry containing precious metals and precious stones, and scrap of such products;</b>	
<input type="checkbox"/> по совершению сделок с недвижимым имуществом и (или) оказанием посреднических услуг при совершении сделок с недвижимым имуществом; <b>for the execution of transactions with real estate and (or) the provision of intermediary services in the execution of transactions with real estate;</b>	
<input type="checkbox"/> туроператорской и турагентской, а также иная деятельность по организации путешествий (туристская деятельность); <b>tour operator and travel agency, as well as other travel organization activities (tourist activities);</b>	
<input type="checkbox"/> по благотворительности; <b>charity;</b>	
<input type="checkbox"/> связанная с видами нерегулируемой некоммерческой деятельности; <b>associated with types of unregulated non-commercial activities;</b>	
<input type="checkbox"/> по интенсивному обороту наличности (в том числе оказание услуг в сфере розничной торговли, общественного питания, торговли горючим на бензоколонках и газозаправочных станциях); <b>on the intensive turnover of cash (including the provision of services in the field of retail trade, public catering, trade in fuel at gas stations and gas filling stations);</b>	
<input type="checkbox"/> по осуществлению переводов денежных средств в наличной форме по чекам, инкассация (для некредитных организаций); <b>for the implementation of money transfers in cash by checks, collection (for non-credit organizations);</b>	
<input type="checkbox"/> по производству оружия, или посредническая деятельность по реализации оружия; <b>activity connected with weapons production or agency business in weapons sale;</b>	
<input type="checkbox"/> кредитных потребительских кооперативов, сельскохозяйственных потребительских кооперативов. <b>credit consumer cooperatives, agricultural consumer cooperatives.</b>	
БИК (для кредитных организаций – резидентов) <b>RCBIC (for credit institutions-residents)</b>	

<p>Сведения о деловой Репутации <b>Business reputation</b></p>	<p><input type="checkbox"/> наличие отзывов о деловой репутации от других клиентов ООО «ИК «ФИН-ПРОИНВЕСТ», имеющих с Вашей организацией деловые отношения (прилагается к анкете) <b>availability of reviews on business reputation from other clients of LLC "IC" FINPROINVEST "who have business relations with your organization (attached to the questionnaire)</b></p> <p><input type="checkbox"/> наличие отзывов о деловой репутации от кредитных организаций и (или) некредитных финансовых организаций, в которой Ваша организация находится (находилась) на обслуживании (прилагается к анкете) <b>availability of reviews on business reputation from credit institutions and (or) non-credit financial institutions in which your organization is (was) serviced (attached to the questionnaire)</b></p> <p><input type="checkbox"/> отзывы о деловой репутации невозможно представить* <b>business reputation reviews are impossible to provide *</b></p> <p>*В случае невозможности предоставления, организация в целях определения деловой репутации клиента осуществляет проверку наличия/отсутствия дел по исполнительным производствам в отношении клиента на сайте Федеральной службы судебных приставов (fssprus.ru), Электронный сервис Федеральной налоговой службы «Прозрачный бизнес» (<a href="https://pb.nalog.ru">https://pb.nalog.ru</a>), Единый федеральный реестр сведений о банкротстве (<a href="https://bankrot.fedresurs.ru">https://bankrot.fedresurs.ru</a>), а так же использует открытые источники информации размещенные в сети Интернет. * <b>If it is impossible to provide, the organization, in order to determine the business reputation of the client, checks the presence / absence of cases in enforcement proceedings against the client on the website of the Federal Bailiff Service (fssprus.ru), Electronic service of the Federal Tax Service "Transparent Business" (<a href="https://pb.nalog.ru">https://pb.nalog.ru</a>), the Unified Federal Register of Bankruptcy Information (<a href="https://bankrot.fedresurs.ru">https://bankrot.fedresurs.ru</a>), and also uses open sources of information posted on the Internet.</b></p>
<p>Сведения о финансовом положении <b>Financial information</b></p>	<p>Имеются факты неисполнения своих денежных обязательств по причине отсутствия денежных средств на банковских счетах. <b>There are facts of non-fulfillment of their monetary obligations due to the lack of funds in bank accounts.</b></p> <p><input type="checkbox"/> да <b>yes</b>                      <input type="checkbox"/> нет <b>no</b></p> <p>Ведется производство о несостоятельности (банкротстве). <b>Insolvency (bankruptcy) proceedings are underway.</b></p> <p><input type="checkbox"/> да <b>yes</b>                      <input type="checkbox"/> нет <b>no</b></p> <p>Имеются вступившие в силу решения судебных органов о признании несостоятельным (банкротом). <b>There are effective decisions of the judiciary on the recognition as insolvent (bankrupt).</b></p> <p><input type="checkbox"/> да <b>yes</b>                      <input type="checkbox"/> нет <b>no</b></p> <p>Проводится процедура ликвидации. <b>The liquidation procedure is underway.</b></p> <p><input type="checkbox"/> да <b>yes</b>                      <input type="checkbox"/> нет <b>no</b></p> <p>Неисполненная обязанность по уплате налогов, сборов, пеней, штрафов. <b>Unfulfilled obligation to pay taxes, fees, penalties, fines.</b></p> <p><input type="checkbox"/> есть <b>yes</b>                      <input type="checkbox"/> нет <b>no</b></p> <p>Данные о рейтинге клиента, размещенные в сети "Интернет" международных рейтинговых агентств и российских кредитных рейтинговых агентств) <b>Client rating data posted on the Internet of international rating agencies and Russian credit rating agencies)</b></p> <p><input type="checkbox"/> присутствуют <b>present</b>                      <input type="checkbox"/> отсутствуют <b>absent</b></p>
<p>Сведения о величине зарегистрированного и оплаченного уставного капитала или уставного Фонда <b>Information on the amount of registered and paid authorized capital or authorized fund</b></p>	
<p>Источники происхождения денежных средств и (или) иного имущества <b>Sources of origin of funds and (or) other property</b></p>	<p><input type="checkbox"/> средства, полученные в рамках осуществления уставной деятельности; <b>funds received during the course of statutory activities;</b></p> <p><input type="checkbox"/> заемные средства <b>borrowed funds</b></p>

		<input type="checkbox"/> иные: _____ <i>other:</i> _____
Бенефициарный владелец <b>Beneficiary owner</b>	<input type="checkbox"/> Да (заполните Анкету бенефициарного владельца) <b>Yes (please fill the beneficiary owner's questionnaire)</b> <input type="checkbox"/> Нет <b>No</b> <input type="checkbox"/> Не располагаю сведениями (бенефициарным владельцем признается ЕИО) <b>No information is available (CEO is recognized as beneficiary owner)</b>	<p>Основания признания лица бенефициарным владельцем организации: <b>Grounds for recognition of an entity as beneficiary owner of organization</b></p> <p>Бенефициарный владелец (ФИО): <b>Beneficial owner (full name):</b> _____</p> <input type="checkbox"/> имеет преобладающее участие в капитале организации (в размере _____%); <b>(has dominant equity stake in company (in amount of _____%);</b> <input type="checkbox"/> косвенное/прямое ( <i>нужное подчеркнуть</i> ) владение более 25% в уставном капитале; <b>indirect ownership of more than 25% in authorized share capital;</b> <input type="checkbox"/> имеет возможность контролировать действия организации (указать, в чем именно заключается такая возможность): <b>is in position to control actions of your organization (please specify what such possibility includes in particular:</b> _____
Представитель <b>Representative</b>	<input type="checkbox"/> Да <b>Yes</b> (заполните Анкету представителя) ( <i>please fill the representative's questionnaire</i> ) <input type="checkbox"/> Нет <b>No</b>	<p>Основания действия в качестве представителя клиента: Представитель (ФИО): <b>Authority to act as customer's representative: Representative (full name):</b> _____</p> <input type="checkbox"/> Доверенность № ___ от «___» _____ 20__ г. <b>Power of attorney ___ d.d. «___» _____ 20__</b>
Выгодоприобретатель <b>Beneficiary</b>	<input type="checkbox"/> Да <b>Yes</b> (заполните Анкету выгодоприобретателя) ( <i>please fill the beneficiary's questionnaire (dossier)</i> ) <input type="checkbox"/> Нет <b>No</b>	<p>Основания действия в качестве выгодоприобретателя клиента: <b>Grounds for acting as a client's beneficiary:</b></p>

**Сведения о наличии критериев отнесения к категории иностранного налогоплательщика  
Information on the existence of criteria for classification as a foreign taxpayer**

Иностранное государство является страной учреждения и (или) регистрации <b>The foreign state is the country of establishment and (or) registration</b>	<input type="checkbox"/> ДА <b>YES</b>	<input type="checkbox"/> НЕТ <b>NO</b>
Иностранное государство является для Клиента страной постоянного местонахождения (резидентства) <sup>5</sup> <b>A foreign state is a country of permanent residence (residence) for the Client</b>	<input type="checkbox"/> ДА <b>YES</b>	<input type="checkbox"/> НЕТ <b>NO</b>

<sup>5</sup> Документом, подтверждающим статус лица, как имеющего постоянное местонахождение в иностранном государстве в целях налогообложения, является соответствующая справка (подтверждение, выписка), составленная налоговыми или финансовыми властями иностранного государства.

The document confirming the status of the person as having permanent domicile in the foreign state for taxation purposes shall be the relevant reference (confirmation, the extract) made by the tax or financial authorities of the foreign state.

В состав бенефициарных владельцев <sup>6</sup> (контролирующих лиц) Клиента входят физические или юридические лица, являющиеся иностранными налогоплательщиками <b>Included in composition of Client's beneficiary owners<sup>2</sup> (controlling persons) are individuals or legal entities that are foreign taxpayers</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Почтовый адрес на территории США <b>Mailing address within the USA territory</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Телефонный номер, зарегистрированный в США <b>Phone number registered in the USA</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Наличие длительного/постоянного платежного поручения на перечисление более одного платежа на счет или адрес, зарегистрированный в США <b>Availability of long lasting/standing payment instruction for transfer of more than one payment to an account or an address registered in the USA</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Доверенность/право подписи предоставлены лицу, имеющему адрес в США (места жительства (регистрации) или почтовый) <b>PoA/authority to sign issued to individual person having address in the USA (residing (registration) or mailing)</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Адрес для корреспонденции по счету имеет статус «для передачи» или «до востребования» <b>Address for correspondence for the account has status "in care of" or "until called for"</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Являюсь иностранным налогоплательщиком <sup>7</sup> <b>I am a foreign taxpayer<sup>3</sup></b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO

**Раздел заполняется в случае наличия одного или более критериев отнесения к категории иностранного налогоплательщика**

*This section to be filled in case of presence of one or more criteria for being acknowledged as foreign taxpayer*

В течение 15 рабочих дней обязуемся предоставить в Организацию документы, подтверждающие/опровергающие статус иностранного налогоплательщика <b>Within 15 days we undertake to present to the Company the documents confirming/contradicting the status of foreign taxpayer</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Предоставляем согласие на обработку и передачу информации в иностранный налоговый орган <sup>8</sup> <b>Hereby we give consent to processing and transfer of the information to foreign tax authority.</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO

<sup>6</sup> Бенефициарный владелец в целях Закона США от 18.03.2010 «О налогообложении иностранных счетов Foreign Account Tax Compliance (FATCA)» (в отличие от понятия в целях Федерального закона РФ от 07.08.2001 № 115-ФЗ) – физическое лицо, которое в конечном счете прямо или косвенно в т.ч. через третьих лиц владеет юридическим лицом, имеет преобладающее участие в иностранной корпорации/партнёрстве/простом или сложном трасте (доверительном управлении) более 10 %; а в инвестиционной компании/трасте гранта – любое право собственности (от 0%).

**The beneficial owner according the Law of the USA of 18.03.2010 "About taxation of foreign accounts of Foreign Account Tax Compliance Act (FATCA)" (unlike a concept for the Federal law of the Russian Federation of 07.08.2001 No. 115-FZ) – the natural person who eventually directly or indirectly including through the third parties owns the legal entity, has the prevailing participation in foreign corporation / partnership / a simple or complex trust (trust management) of more than 10%; and in investment company / grantor trust – any property right (from 0%).**

<sup>7</sup> Иностранный налогоплательщик – лицо, на которое распространяется законодательство иностранного государства о налогообложении иностранных счетов, включая Закон США о налогообложении иностранных счетов (FATCA – Foreign Account Tax Compliance Act) от 18.03.2010. **The foreign taxpayer – the person who is liable under the legislation of the foreign state on taxation of foreign accounts, including the Law of the USA on taxation of foreign accounts (FATCA – Foreign Account Tax Compliance Act) of 18.03.2010.**

<sup>8</sup> В случае отказа на обработку и передачу информации в иностранный налоговый орган Общество вправе отказать в заключении договора на обслуживание, принять решение об отказе от совершения операций, и(или) расторгнуть в одностороннем порядке существующий договор. **In case of refusal to process and transfer information to a foreign tax authority, the Company has the right to refuse to conclude a service agreement, decide to refuse to perform operations, and (or) terminate the existing agreement unilaterally**

**Реквизиты банковских счетов, открытых в валюте РФ:**  
***Banking details of the accounts opened in RF currency:***

Получатель: **Recipient:** \_\_\_\_\_  
Счёт получателя: **Recipient's account** \_\_\_\_\_  
Банк получателя: **Recipient's bank:** \_\_\_\_\_  
ИНН Банка: **The Bank's INN** \_\_\_\_\_  
БИК: **The Bank's RCBIC\*** \_\_\_\_\_  
Кор. счет: **Correspondent account** \_\_\_\_\_  
\*Russian Central Bank identification code

**Реквизиты банковских счетов, открытых в иностранной валюте:**  
***Banking details of the accounts opened in foreign currency:***

**Форма получения отчетов о состоянии счетов клиента:**  
***Form for receiving reports on the status of client accounts:***

- по почте **by regular mail**  
 по электронному адресу **at e-mail address:** \_\_\_\_\_  
 лично в ООО «ИК «ФИНПРОИНВЕСТ»» **in person at IK FINPROINVEST LLC**

Подтверждаем, что информация, указанная в настоящей форме, является достоверной, а также понимаем, что несем ответственность за предоставление ложных и заведомо недостоверных сведений в соответствии с применимым законодательством. **We confirm hereby that all particulars specified in this form are true and that we understand that we bear responsibility for providing false and obviously false information according to the current legislation.**

В случае изменения идентификационных сведений, представленных в рамках данной формы, обязуемся предоставить в Общество обновленную информацию не позднее 15 рабочих дней с момента изменения сведений. **In case of alteration of identification information provided within this form we undertake to update particulars not later than 15 business days after their alteration**

Подписывая настоящую анкету, я выражаю свое согласие на обработку персональных данных в порядке и на условиях, определенных Федеральным законом от 27.07.2006 года № 152-ФЗ «О персональных данных». **By signing this questionnaire, I consent to the processing of personal data in the manner and under the conditions determined by the Federal Law of July 27, 2006 No. 152-FZ "On Personal Data".**

Руководитель организации/  
уполномоченное лицо  
**Head of organization /**  
**Authorized person**

\_\_\_\_\_  
(подпись **signature**)

\_\_\_\_\_  
(Ф.И.О. **full name**)

м.п.

Дата заполнения « \_\_\_\_ » \_\_\_\_\_ 202\_\_ г.  
**Date of filling " \_\_\_\_ " \_\_\_\_\_ 202\_\_.**

Заполняется сотрудником ООО «ИК «ФИНПРОИНВЕСТ»»:  
**To be filled in by an employee of LLC IC FINPROINVEST:**

Сотрудник, заполнивший/обновивший/проверивший анкету:  
**The employee who filled out / updated / checked the questionnaire:**

\_\_\_\_\_  
(должность **position**)

\_\_\_\_\_  
(подпись **signature**)

\_\_\_\_\_  
(Ф.И.О. **full name**)

**Анкета (досье) индивидуального предпринимателя, физического лица, занимающегося  
в установленном законодательством Российской Федерации порядке частной практи-  
кой**

**Questionnaire (dossier) of self-employed entrepreneur, individual engaged in private practice  
defined by Russian law**

- Первичное оформление *Initial registration*  
 Обновление *Updating*

- Клиент **Client**  
 Представитель клиента **Client's representative**  
 Выгодоприобретатель **Beneficiary**

В случае заполнения Анкеты представителя или выгодоприобретателя укажите наименование/Ф.И.О.  
Клиента: **In case of filling Questionnaire of a representative or beneficiary please state the Cli-  
ent's name:**

**1. 1. Сведения о физическом лице *Details regarding an individual***

Фамилия, имя, отчество (при наличии последнего) <b>Surname, name and patronymic (if the latter is availa- ble)</b>	
Дата рождения <b>Date of birth</b>	
Место рождения <b>Place of birth</b>	
Гражданство <b>Citizenship</b>	
Реквизиты документа, удостоверяющего личность <b>De- tails of the identity document</b>	Наименование <b>Docu- ment type</b>
	Серия (при наличии), номер <b>Series (if any), number</b>
	Кем выдан, код подраз- деления (при наличии) <b>Issuing authority, divi- sion code (if any)</b>
	Дата выдачи <b>Date of issue</b>
Место жительства (регистрации) <b>Place of residence (registration)</b>	
Место пребывания <b>Place of temporary residence</b>	
Телефоны, факсы (при наличии) <b>Contact phone, fax (if any) numbers</b>	
Адрес электронной почты <b>E-mail address</b>	
Идентификационный номер налогоплательщика ИНН (при наличии) <b>Taxpayer identification number TIN (if any)</b>	
Номер страхового свидетельства государственного пенсионного страхования (СНИЛС) <b>Insurance num- ber of the individual personal account in the mandato-</b>	



<p><b>ry pension insurance</b></p> <p>Для иностранных граждан и лиц без гражданства <b>For foreign persons and persons without citizenship</b></p>	<p>Документы, подтверждающие право на пребывание (проживание) в РФ (данные миграционной карты в случае отсутствия иных документов) (серия (если имеется) и номер документа, дата начала и дата окончания срока действия права пребывания (проживания)) <i>Document confirming the right to stay (live) in the RF (migration card information in the absence of other documents) (document Series (if any) and No, starting date of the right to stay (live) and expiration date of the right to stay (to live)</i></p>	
<p>Для представителя клиента <b>For the client's representative</b></p>	<p>Должность <b>Position held</b>  Наименование, номер, дата выдачи, срок действия документа, на котором основаны полномочия представителя клиента <b>Name, number, issue date, validity period of a document confirming the powers of a client's representative</b></p>	
<p>Для выгодоприобретателя клиента <b>For the beneficiary of the client</b></p>	<p>Наименование, номер, дата документа, подтверждающего статус выгодоприобретателя <b>Name, number, issue date of a document confirming a Beneficiary owner's status</b></p>	
<p>Сведения о регистрации в качестве индивидуального предпринимателя <b>Information on registration as an individual entrepreneur</b></p>	<p>регистрационный номер (ОГРНИП) <b>registration number (OGRNIP)</b></p>	
	<p>дата регистрации <b>registration date</b></p>	
	<p>наименование регистрирующего органа, место регистрации <b>name of the registering authority, place of registration</b></p>	
<p>Код юридического лица в соответствии с Общероссийским классификатором предприятий и организаций ОКПО (при наличии) <b>Legal entity code in accordance with the All-Russian Classifier of Enterprises and Organizations OKPO (if any)</b></p>		
<p>Коды ОКВЭД <b>OKVED codes</b></p>		
<p>Наличие налоговых льгот <b>Tax deductions if any</b></p>		<input type="checkbox"/> да <b>yes</b> <input type="checkbox"/> нет <b>no</b>
<p>Цели установления деловых отношений с ООО «ИК «ФИНПРОИНВЕСТ» <b>Purpose of establishing business relations with LLC IC FINPROINVEST</b></p>		<input type="checkbox"/> брокерское обслуживание на рынке ценных бумаг <b>broker service in the securities market</b> <input type="checkbox"/> доверительное управление ценными бумагами <b>trust management of securities</b> <input type="checkbox"/> депозитарное обслуживание <b>depository service</b> <input type="checkbox"/> иное (указать вид услуг) <b>other (please speci-</b>

	fy type of services: _____
Предполагаемый характер деловых отношений с ООО «ИК «ФИНПРОИНВЕСТ» <b>The intended nature of the business relationship with LLC IC FINPROINVEST</b>	<input type="checkbox"/> долгосрочный <b>long term</b> <input type="checkbox"/> краткосрочный <b>short term</b>
Цели финансово-хозяйственной деятельности <b>Objectives of financial and economic activities</b>	<input type="checkbox"/> получение прибыли <b>receiving income</b> <input type="checkbox"/> реализация общественных проектов <b>implementation of social projects</b> <input type="checkbox"/> иное <b>other:</b> _____
Осуществляются ли операции, связанные с деятельностью: <b>Does the Organization carry out operations related to the activity:</b>	
<input type="checkbox"/> по организации и содержанию тотализаторов и игорных заведений (например, казино, букмекерских контор), по организации и проведению лотерей, тотализаторов (взаимных пари) и иных основанных на риске игр, в том числе в электронной форме; <b>on the organization and maintenance of sweepstakes and gambling establishments (for example, casinos, bookmakers), on the organization and conduct of lotteries, sweepstakes (mutual bets) and other risk-based games, including in electronic form</b>	
<input type="checkbox"/> микрофинансовых организаций; <b>microfinance organizations</b>	
<input type="checkbox"/> ломбардов; <b>pawnshops</b>	
<input type="checkbox"/> по реализации, в том числе комиссионной, предметов искусства, антиквариата, мебели, транспортных средств, предметов роскоши; <b>for the sale, including commission, of objects of art, antiques, furniture, vehicles, luxury goods;</b>	
<input type="checkbox"/> по скупке, купле-продаже драгоценных металлов, драгоценных камней, а также ювелирных изделий, содержащих драгоценные металлы и драгоценные камни, и лома таких изделий; <b>for the purchase, sale and purchase of precious metals, precious stones, as well as jewelry containing precious metals and precious stones, and scrap of such products;</b>	
<input type="checkbox"/> по совершению сделок с недвижимым имуществом и (или) оказанием посреднических услуг при совершении сделок с недвижимым имуществом; <b>for the execution of transactions with real estate and (or) the provision of intermediary services in the execution of transactions with real estate</b>	
<input type="checkbox"/> туроператорская и турагентская деятельность, а также иная деятельность по организации путешествий (туристская деятельность); <b>tour operator and travel agency, as well as other travel organization activities (tourist activities);</b>	
<input type="checkbox"/> по благотворительности; <b>charity</b>	
<input type="checkbox"/> связанная с видами нерегулируемой некоммерческой деятельности; <b>associated with types of unregulated non-commercial activities;;</b>	
<input type="checkbox"/> по интенсивному обороту наличности (в том числе оказание услуг в сфере розничной торговли, общественного питания, торговли горючим на бензоколонках и газозаправочных станциях); <b>on the intensive turnover of cash (including the provision of services in the field of retail trade, public catering, trade in fuel at gas stations and gas filling stations);</b>	
<input type="checkbox"/> по осуществлению переводов денежных средств в наличной форме по чекам, инкассация (для некредитных организаций); <b>for the implementation of money transfers in cash by checks, collection (for non-credit organizations);</b>	
<input type="checkbox"/> по производству оружия, или посредническая деятельность по реализации оружия; <b>activity connected with weapons production or agency business in weapons sale;</b>	
<input type="checkbox"/> кредитных потребительских кооперативов, сельскохозяйственных потребительских кооперативов. <b>credit consumer cooperatives, agricultural consumer cooperatives</b>	
Сведения о деловой Репутации <b>Business reputation</b>	<input type="checkbox"/> наличие отзывов о деловой репутации от других клиентов ООО «ИК «ФИНПРОИНВЕСТ», имеющих с Вашей организацией деловые отношения (прилагается к анкете) <b>availability of reviews on business reputation from other clients of LLC "IC" FINPROINVEST "who have business relations with your organization (attached to the questionnaire)</b> <input type="checkbox"/> наличие отзывов о деловой репутации от кредитных организаций и (или) некредитных финансовых организаций, в которой Ваша организация находится (находилась) на обслуживании (прилагается к анкете) <b>availability of reviews on business reputation from credit institutions and (or) non-credit financial institutions in which your organization is (was) serviced (attached to the questionnaire)</b>

	<input type="checkbox"/> отзывы о деловой репутации невозможно представить* <b>business reputation reviews are impossible to provide*</b> *В случае невозможности предоставления, организация в целях определения деловой репутации клиента осуществляет проверку наличия/отсутствия дел по исполнительным производством в отношении клиента на сайте Федеральной службы судебных приставов (fssprus.ru), Электронный сервис Федеральной налоговой службы «Прозрачный бизнес» (https://pb.nalog.ru), Единый федеральный реестр сведений о банкротстве (https://bankrot.fedresurs.ru), а так же использует открытые источники информации размещенные в сети Интернет. * <b>If it is impossible to provide, the organization, in order to determine the business reputation of the client, checks the presence / absence of cases in enforcement proceedings against the client on the website of the Federal Bailiff Service (fssprus.ru), Electronic service of the Federal Tax Service "Transparent Business" (https://pb.nalog.ru), the Unified Federal Register of Bankruptcy Information (https://bankrot.fedresurs.ru), and also uses open sources of information posted on the Internet.</b>	
Источники происхождения денежных средств и (или) иного имущества <b>Sources of origin of funds and (or) other property</b>	<input type="checkbox"/> собственные средства <b>own funds</b> <input type="checkbox"/> средства, полученные в рамках финансово-хозяйственной деятельности <b>funds received in the framework of financial and economic activities;</b> <input type="checkbox"/> заемные средства <b>borrowed funds</b> <input type="checkbox"/> иные <b>others:</b> _____	
Сведения о финансовом положении <b>Financial information</b>	Имеются факты неисполнения своих денежных обязательств по причине отсутствия денежных средств на банковских счетах. <b>There are facts of non-fulfillment of their monetary obligations due to the lack of funds in bank accounts.</b> <input type="checkbox"/> да <b>yes</b> <input type="checkbox"/> нет <b>no</b> Ведется производство о несостоятельности (банкротстве). <b>Insolvency (bankruptcy) proceedings are underway.</b> <input type="checkbox"/> да <b>yes</b> <input type="checkbox"/> нет <b>no</b> Имеются вступившие в силу решения судебных органов о признании несостоятельным (банкротом). <b>There are effective decisions of the judiciary on the recognition as insolvent (bankrupt).</b> <input type="checkbox"/> да <b>yes</b> <input type="checkbox"/> нет <b>no</b> Проводится процедура ликвидации. <b>The liquidation procedure is underway</b> <input type="checkbox"/> да <b>yes</b> <input type="checkbox"/> нет <b>no</b> Неисполненная обязанность по уплате налогов, сборов, пеней, штрафов. <b>Unfulfilled obligation to pay taxes, fees, penalties, fines</b> <input type="checkbox"/> есть <b>yes</b> <input type="checkbox"/> нет <b>no</b> Данные о рейтинге клиента, размещенные в сети "Интернет" международных рейтинговых агентств и российских кредитных рейтинговых агентств) <b>Client rating data posted on the Internet of international rating agencies and Russian credit rating agencies)</b> <input type="checkbox"/> присутствуют <b>present</b> <input type="checkbox"/> отсутствуют <b>absent</b>	
Сведения об имеющихся лицензиях на право осуществления деятельности, подлежащей лицензированию <b>Information on the available licenses for the right to carry out activities subject to licensing</b>	вид <b>type</b> номер <b>number</b> дата выдачи <b>issue date</b> наименование выдавшего органа <b>name of issuing authority</b> срок действия <b>validity</b>  перечень видов лицензируемой деятельности <b>list of types of licensed activity</b>	

*Для категории «Представитель клиента» перейдите к подписанию анкеты*

*For the category "Client's representative" go over to signing the questionnaire*

*Для категорий «Выгодоприобретатель» и «Бенефициарный владелец» разделы 2, 3, 4, 5, и 6 не заполняются*

*For categories "Beneficiary" and "Beneficiary owner" the sections 2, 3, 4, 5, and 6 not to be filled*

**Реквизиты банковских счетов, открытых в валюте РФ:**  
**Banking details of the accounts opened in RF currency:**

Получатель: **Recipient:** \_\_\_\_\_  
Счёт получателя: **Recipient's account** \_\_\_\_\_  
Банк получателя: **Recipient's bank:** \_\_\_\_\_  
ИНН Банка: **The Bank's INN** \_\_\_\_\_  
БИК: **The Bank's RCBIC\*** \_\_\_\_\_  
Кор. счет: **Correspondent account** \_\_\_\_\_  
\*Russian Central Bank identification code

**3. Реквизиты банковских счетов, открытых в иностранной валюте:**  
**Banking details of the accounts opened in foreign currency:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**4. Форма получения отчетов о состоянии счетов клиента:**  
**Form for receiving reports on the status of client accounts:**

- по почте **by regular mail**  
 по электронному адресу **at e-mail address:**  
\_\_\_\_\_  
 лично в ООО «ИК «ФИНПРОИНВЕСТ» **in person at IK FINPROINVEST LLC**

**5. Сведения о выгодоприобретателях.**

**Information on Beneficiaries.**

Имеется ли у Вас выгодоприобретатель – то есть лицо, к выгоде которого Вы действуете (в том числе на основании агентского договора, договоров поручения, комиссии и доверительного управления) при проведении операций с денежными средствами и иным имуществом.

**Have you a Beneficiary – a person to the benefit of which you act (also on the basis of agent agreement, trust agreement, commission or fiduciary management) while executing transactions with funds and other assets?**

- ДА **YES**       НЕТ **NO**

В случае положительного ответа необходимо заполнить Анкету физического/ юридического лица/ индивидуального предпринимателя отдельно на каждого выгодоприобретателя.

**In case the answer is “Yes” it is necessary to fill out the questionnaire for an individual/legal entity/ self-employed entrepreneur separately on each beneficiary).**

**6. Сведения о бенефициарных владельцах.**

**Information on beneficial owners.**

Имеются ли у Вас бенефициарные владельцы – то есть физические лица, которые в конечном счете прямо или косвенно (через третьих лиц) имеют возможность контролировать Ваши действия?

**Do you have beneficial owners – individuals who ultimately directly or indirectly (through third parties) have an opportunity to control activity?**

- ДА **YES**       НЕТ **NO**

В случае положительного ответа необходимо заполнить Анкету физического лица отдельно на каждого бенефициара.

**In case the answer is “Yes” it is necessary to fill out the questionnaire for an individual separately on each beneficiary.**

В случае отрицательного ответа бенефициарным владельцем признается сам клиент (в соответствии со ст. 3 Федерального закона №115-ФЗ от 07.08.2001г.).

**In case the answer is “No” the Client himself is recognized as the beneficial owner (according to Clause 3 of Federal Law 115-FZ dd. 07.08.2001).**

**Основания признания лица бенефициарным владельцем:**

**Specify the grounds for acknowledging the person as beneficiary owner:**

Бенефициарный владелец (ФИО): \_\_\_\_\_

**Beneficiary owner (full name)** \_\_\_\_\_

Имеет возможность контролировать Ваши действия (указать, в чем именно заключается такая возможность: **Is in capacity to control Your actions (please specify what such capacity includes in particular):** \_\_\_\_\_)

Иное **Other:** \_\_\_\_\_

**7. Сведения о статусе публичного должностного лица**  
*Information on status of a politically exposed person*

<p>7.1. Являетесь ли Вы иностранным публичным должностным лицом (далее – ИПДЛ) или супругом, близким родственником (родственником по прямой восходящей и нисходящей линии (родителем или ребенком, бабушкой, бабушкой и внуком), полнородным и неполнородным (имеющим общих отца или мать) братом и сестрой, усыновителем или усыновленным) ИПДЛ. В случае положительного ответа заполняются подпункты 7.1.1 и 7.1.2: <b>Are you a foreign politically exposed person (hereinafter FPEP), or a spouse, close relative (relative of the ascending and descending lines (parent or child, grandfather, grandmother or grandchild), full-blood and half-blood (having the common father or mother) brother or sister, adoptive parent or adoptive child) of FPEP. In case the answer is “Yes” it is necessary to fill out subparagraphs 7.1.1 and 7.1.2:</b></p>	<p><input type="checkbox"/> ДА <b>YES</b> <input type="checkbox"/> НЕТ <b>NO</b></p>
<p>7.1.1 Укажите должность, государство, наименование и адрес работодателя, степень родства либо статус (супруг или супруга), источник происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций. <b>Please, specify position title, the state, name and address of provider of work, degree of relationship or status (husband or a wife), source of funds or other property you plan to use for execution of transactions.</b> _____</p>	
<p>7.1.2 Укажите документ/документы, позволяющий/ие определить источники происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций <b>Please, specify a document /documents allowing to determine source of funds or other property you plan to use for execution of transactions</b> _____</p>	
<p>7.2. Являетесь ли Вы российским публичным должностным лицом, то есть лицом замещающим (занимающим) государственные должности Российской Федерации, должности членов Совета директоров Центрального банка Российской Федерации, должности федеральной государственной службы, назначение на которые и освобождение от которых осуществляются Президентом Российской Федерации или Правительством Российской Федерации, должности в Центральном банке Российской Федерации, государственных корпорациях и иных организациях, созданных Российской Федерацией на основании федеральных законов, включенные в перечни должностей, определяемые Президентом Российской Федерации, или супругом, близким родственником (родственником по прямой восходящей и нисходящей линии (родителем или ребенком, бабушкой, бабушкой и внуком), полнородным и неполнородным (имеющим общих отца или мать) братом и сестрой, усыновителем или усыновленным) вышеуказанных должностных лиц. В случае положительного ответа заполняются подпункты 7.2.1 и 7.2.2 <b>Are you a Russian politically exposed person – a public official (filling posts) holding any public positions of the Russian Federation, positions of the Board of directors of the Central Bank of the Russian Federation, posts of the federal state service subject to appointment and dismissal by the President or the Government of the Russian Federation, positions in the Central Bank of the Russian Federation, state corporations and other organizations established by the Russian Federation on the authority of federal laws and included in the lists of positions determined by the President of the Russian Federation, or a spouse, close relative (relative of the ascending and descending lines (parent or child, grandfather, grandmother or grandchild), full-blood and half-blood (having the common father or mother) brother or sister, adoptive parent or adoptive child) of the said public officials.</b> <b>In case the answer is “Yes” it is necessary to fill out subparagraphs 7.2.1 and 7.2.2</b></p>	<p><input type="checkbox"/> ДА <b>YES</b> <input type="checkbox"/> НЕТ <b>NO</b></p>
<p>7.2.1 Укажите должность клиента, наименование и адрес работодателя, степень родства либо статус (супруг или супруга), источник происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций</p>	

<p><b>please, specify position title, the name and address of provider of work, degree of relationship or status (husband or a wife), source of funds or other property you plan to use for execution of transactions</b></p> <hr/> <hr/>	
<p>7.2.2 Укажите документ/документы, позволяющий/ие определить источники происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций  <b>please, specify a document/documents allowing to determine source of funds or other property you plan to use for execution of transactions</b></p> <hr/> <hr/>	
<p>7.3. Являетесь ли Вы должностным лицом публичных международных организаций, то есть должностным лицом публичной международной организации, которому международной организацией доверены или были доверены важные функции, или супругом, близким родственником (родственником по прямой восходящей и нисходящей линии (родителем или ребенком, дедушкой, бабушкой и внуком), полнородным и неполнородным (имеющим общих отца или мать) братом и сестрой, усыновителем или усыновленным) вышеуказанных должностных лиц.  В случае положительного ответа заполняются подпункты 7.3.1 и 7.3.2  <b>Are you a public official of public international organizations i.e. a public official of public international organization who was entrusted by public international organization with important functions or a spouse, close relative (relative of the ascending and descending lines (parent or child, grandfather, grandmother or grandchild), full-blood and half-blood (having the common father or mother) brother or sister, adoptive parent or adoptive child) of the said public officials.</b>  <b>In case the answer is “Yes” it is necessary to fill out subparagraphs 7.3.1 and 7.3.2</b></p>	<input type="checkbox"/> ДА <b>YES</b> <input type="checkbox"/> НЕТ <b>NO</b>
<p>7.3.1 Укажите должность клиента, государство, наименование и адрес работодателя, степень родства либо статус (супруг или супруга), источник происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций  <b>Please specify position title of the client, the name and address of provider of work, degree of relationship or status (husband or a wife), source of funds or other property you plan to use for execution of transactions</b></p> <hr/> <hr/>	
<p>7.3.2 Укажите документ/документы, позволяющий/ие определить источники происхождения денежных средств или иного имущества, которые Вы планируете использовать для совершения операций  <b>Please specify a document/documents allowing to determine source of funds or other property you plan to use for execution of transactions</b></p> <hr/> <hr/>	

**8. Сведения о наличии критериев отнесения к категории иностранного налогоплательщика:**  
**Information regarding presence of criteria for being categorized as foreign taxpayer**

Гражданство иностранного государства <b>Foreign state citizenship</b>	<input type="checkbox"/> ДА <b>YES</b>	<input type="checkbox"/> НЕТ <b>NO</b>
Разрешение на постоянное пребывание (вид на жительство) в иностранном государстве (для США – карточка постоянного жителя по форме I-551 («Green Card»)) <b>Permanent Residence (resident permit_ in the foreign state (for the USA – permanent resident card according Form I-551 («Green Card»))</b>	<input type="checkbox"/> ДА <b>YES</b>	<input type="checkbox"/> НЕТ <b>NO</b>

Соответствие критериям долгосрочного <sup>9</sup> пребывания в иностранном государстве, т.е. нахождение на территории этого государства не менее срока, установленного законодательством иностранного государства для признания налогоплательщиком – резидентом иностранного государства. <b>Compliance to criteria of long-term stay in the foreign state, i.e. stay in the territory of this state not less than the term established by the legislation of the foreign state for recognition as the taxpayer – the resident of the foreign state</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Место рождения на территории США <b>Birthplace in the USA territory</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Адрес проживания/почтовый адрес на территории США <b>Residence address/mail address in the USA territory</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Телефонный номер, зарегистрированный в США <b>Phone number registered in the USA</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Наличие длительного/постоянного платежного поручения на перечисление более одного платежа на счет или адрес, зарегистрированный в США <b>Presence of Standing payment instruction for transfer to accounts of institutions in the USA</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Доверенность/право подписи предоставлены лицу, имеющему адрес в США (места жительства (регистрации) или почтовый) <b>PoA/authority to sign issued to individual person residing in the USA territory</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Адрес для корреспонденции по счету имеет статус «для передачи» или «до востребования» - в качестве единственного адреса для направления выписок по счетам, открытым в кредитной организации, в отношении данного лица указано «для передачи» или «до востребования». <b>The address for correspondence on the account has the status «for transfer» or «on demand»</b> - as the only address for sending statements of accounts opened in the credit organization, in relation to this person it is indicated «for transfer «or» on demand».	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
Являюсь иностранным налогоплательщиком <sup>10</sup> <b>I am the foreign taxpayer</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO

**Раздел заполняется в случае наличия одного или более критериев отнесения к категории иностранного налогоплательщика**

**The section is filled in if there are one or more criteria for classification as a foreign taxpayer**

В течение 15 рабочих дней обязуюсь предоставить в Организацию документы, подтверждающие/опровергающие статус иностранного налогоплательщика <b>Within 15 working days I undertake to provide the Organization with documents confirming / refuting the status of a foreign taxpayer</b>	<input type="checkbox"/> ДА YES	<input type="checkbox"/> НЕТ NO
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<sup>9</sup> Применительно к США долгосрочным считается пребывание, если срок нахождения на территории США не менее 31 дня в течение текущего календарного года и не менее 183 дней в течение 3 лет, включая текущий год и два непосредственно предшествующих года. При этом сумма дней, в течение которых физическое лицо присутствовало на территории иностранного государства в текущем году, а также в двух предшествующих годах, умножается на установленный коэффициент: коэффициент для текущего года равен 1 (т.е. учитываются все дни, проведенные в США в текущем году); коэффициент предшествующего года равен 1/3; коэффициент позапрошлого года равен 1/6.

**For the United States, a long-term stay is considered if the period of stay in the United States is not less than 31 days during the current calendar year and not less than 183 days within 3 years, including the current year and two immediately preceding years. In this case, the sum of the days during which an individual was present in the territory of a foreign state in the current year, as well as in the two previous years, is multiplied by the established coefficient: the coefficient for the current year is 1 (i.e. all days spent in the United States in current year); the coefficient of the previous year is 1/3; the coefficient of the year before last is 1/6.**

<sup>10</sup> Иностраный налогоплательщик – лицо, на которое распространяется законодательство иностранного государства о налогообложении иностранных счетов, включая Закон США о налогообложении иностранных счетов (FATCA – Foreign Account Tax Compliance Act) от 18.03.2010. **Foreign taxpayer - a person who is subject to the laws of a foreign country on the taxation of foreign accounts, including the US Foreign Account Tax Compliance Act (FATCA - Foreign Account Tax Compliance Act) dated March 18, 2010**

Я даю согласие на обработку и передачу информации в иностранный налоговый орган<sup>11</sup>  
I consent to the processing and transfer of information to a foreign tax authority

ДА  НЕТ  
YES NO

Я подтверждаю, что информация, указанная в настоящей форме, является достоверной, а также понимаю, что несу ответственность за предоставление ложных и заведомо недостоверных сведений в соответствии с действующим законодательством. **I hereby confirm that the information stated in this Questionnaire is true and I understand that I bear responsibility for providing false and obviously false information according to the current legislation.**

В случае изменения идентификационных и иных сведений, представленных в рамках данной анкеты, я обязуюсь предоставить в Организацию обновленную информацию не позднее 15 рабочих дней с момента их изменения. **In the event of a change in the identification and other information provided in this questionnaire, I undertake to provide the Organization with updated information no later than 15 working days from the date of their change**

Настоящим, в соответствии с Федеральным Законом РФ «О персональных данных» от 27 июля 2006 года № 152-ФЗ (с изменениями и дополнениями) выражаю свое добровольное согласие на обработку (способ обработки - с использованием средств автоматизации) ООО «ИК «ФИНПРОИНВЕСТ» (далее - Оператор), адрес Оператора 309511, Белгородская область, г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1, (включая сбор, систематизацию, накопление, хранение, уточнение (обновление, изменение), использование, распространение (в том числе передачу), обезличивание, блокирование, уничтожение) моих персональных данных, к которым могут относиться фамилия, имя, отчество, год, месяц, дата и место рождения, гражданство (подданство), место жительства (регистрации), место пребывания, почтовый адрес, сведения о документе, удостоверяющем личность, идентификационный номер налогоплательщика, номера контактных телефонов, адреса электронной почты, сведения о доходах, иные сведения, с целью надлежащего выполнения Оператором применимых к его деятельности требований федеральных законов РФ, иных правовых актов РФ, в том числе актов федеральных органов исполнительной власти РФ, и условий гражданско-правовых договоров, которые могут заключаться между Оператором и Субъектом персональных данных. **Hereby, pursuant to Federal Law No.152-FZ "On Personal Data" (as amended) d/d 27th of July 2006 grant my voluntary consent for processing (by automatic means) to "IC"FINPROINVEST" LLC ("Operator"), Operator's address 49A Olympyisky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast, 309511, (including collection, collation, accumulation, storage, amendment (updating, changing), use, distribution, including submission, depersonalization, blocking and destruction) of my personal data, which can include full name, year, month, date and place of birth, citizenship (nationality), place of residence (registration), place of sojourn, mail address, details about document certifying personality, taxpayer identification number, contact telephone numbers, e-mails, details of income and other details for the purpose of duly execution by the Operator of requirements of RF federal laws applicable to its activity, other legal RF acts including enactments of RF federal executive authorities and terms of civil law contracts that can be concluded between the Operator and the Subject of personal data**

Настоящее согласие действует до даты его отзыва мною путём направления ООО «ИК «ФИНПРОИНВЕСТ» сообщения об отзыве согласия на обработку персональных данных в произвольной форме, если иное не установлено Законодательством Российской Федерации. **This consent is valid until the date of its revocation by me by sending to LLC IC FINPROINVEST a message about the revocation of consent to the processing of personal data in any form, unless otherwise provided by the Legislation of the Russian Federation**

Клиент Client \_\_\_\_\_ / \_\_\_\_\_  
(подпись) (signature) (Ф.И.О.) (full name)

Дата заполнения « \_\_\_\_ » \_\_\_\_\_ 20\_\_ г.

Date of filling " \_\_\_\_ " \_\_\_\_\_ 20\_\_ .

<sup>11</sup> В случае отказа на обработку и передачу информации в иностранный налоговый орган Общество вправе отказать в заключении договора на обслуживание, принять решение об отказе от совершения операций, и(или) расторгнуть в одностороннем порядке существующий договор. **In case of refusal to process and transfer information to a foreign tax authority, the Company has the right to refuse to conclude a service contract, decide to refuse to perform operations, and (or) terminate the existing contract unilaterally.**



Заполняется сотрудником ООО «ИК «ФИНПРОИНВЕСТ»:  
**To be filled in by an employee of LLC IC FINPROINVEST:**

Сотрудник, заполнивший/обновивший/проверивший анкету:  
**The employee who filled out / updated / checked the questionnaire:**

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(должность **position** )

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(подпись **signature**)

(Ф.И.О. **full name**)

<p><b>Депозитарный договор о междепозитарных отношениях № _____ (образец)</b></p>	<p><b>Depository Agreement on interdepository relations no. _____ (sample)</b></p>
<p>г. Старый Оскол «__» _____ 20__ г.</p>	<p>Stary Oskol «__» _____ 20__</p>
<p>Общество с ограниченной ответственностью «Инвестиционная компания «ФИНПРОИНВЕСТ», (сокращённое наименование - ООО «ИК «ФИНПРОИНВЕСТ») ОГРН 1153123021006, имеющее лицензии:</p>	<p>"Investment Company "FINPROINVEST", Limited Liability Company (short name - "IC"FINPROINVEST" LLC) OGRN 1153123021006, having licenses:</p>
<p>– профессионального участника рынка ценных бумаг на осуществление депозитарной деятельности, выданную Банком России № 014-14060-000100 от «03» мая 2018 г.,</p>	<p>– professional securities market participant license for depository operations No. 014-14060-000100 effective from May 3rd, 2018, issued by the Bank of Russia.</p>
<p>– профессионального участника рынка ценных бумаг на осуществление брокерской деятельности, выданную Банком России № 014-14057-100000 от «03» мая 2018 г.,</p>	<p>– professional securities market participant license for broker operations No. 014-14057-100000 effective from May 3rd, 2018, issued by the Bank of Russia.</p>
<p>– профессионального участника рынка ценных бумаг на осуществление дилерской деятельности, выданную Банком России № 014-14058-010000 от «03» мая 2018 г.,</p>	<p>– professional securities market participant license for dealer operations No. 014-14058-010000 effective from May 3rd, 2018, issued by the Bank of Russia.</p>
<p>– профессионального участника рынка ценных бумаг на осуществление деятельности по управлению ценными бумагами, выданную Банком России № 014-14059-001000 от «03» мая 2018 г.</p>	<p>– professional securities market participant license for securities management services No. 014-14059-001000 effective from May 3rd, 2018, issued by the Bank of Russia.</p>
<p>именуемое далее Депозитарий, в лице Генерального директора _____, действующего на основании Устава, с одной Стороны, и _____, имеющий лицензию профессионального участника рынка ценных бумаг на осуществление депозитарной деятельности на рынке ценных бумаг № _____, выданную _____ «__» _____ 20__ г., в лице _____, действующего(ей) на основании _____, именуемый далее Депозитарий-депонент, с другой стороны, вместе именуемые Стороны, заключили настоящий Междепозитарный договор (далее по тексту – «Договор») о нижеследующем:</p>	<p>Hereinafter referred to as the Depository, represented by the General Director _____ acting on the basis of the Charter, as the party of the first part, and _____ having the license of professional securities market participant no. _____, issued _____ «__» _____ 20__, represented by _____, acting pursuant to _____, hereinafter referred to as Depository as depositor, as the party of the second part, collectively referred to as the Parties, have entered into this Depository Agreement on interdepository relations (hereinafter referred to as the "Agreement") as follows:</p>
<p><b>1. ОБЩИЕ ПОЛОЖЕНИЯ</b></p>	<p><b>1. GENERAL</b></p>
<p>1.1. Обслуживание Депозитария депонента осуществляется в порядке и на условиях, определенных «Условиями осуществления депозитарной деятельности ООО «ИК «ФИНПРОИНВЕСТ» (далее по тексту – Регламент), которые являются неотъемлемой частью Договора.</p>	<p>1.1. Provision of services to the Depository as Depositor shall be implemented pursuant to the terms and procedures set forth in the Terms and Conditions of Depository Activity of "IC"FINPROINVEST" LLC (hereinafter - the Regulations), which are an integral part of the Agreement.</p>

<p>1.2. Депозитарий вправе в одностороннем порядке вносить изменения в Договор и приложения к нему. Соответствующие изменения вступают в силу по истечении 3 (трех) рабочих дней с даты уведомления депонентов о внесении таких изменений. Датой уведомления Депозитария депонента считается дата размещения информации о внесении таких изменений, а также измененных документов, указанных в настоящем пункте Договора, на официальном сайте Депозитария. Депозитарий депонент обязан самостоятельно просматривать соответствующие сообщения на сайте Депозитария. Ответственность за получение данной информации лежит на Депозитарии депонента. В случае несогласия Депозитария депонента с измененной редакцией Договора, Депозитарий депонент вправе расторгнуть заключенный с Депозитарием Договор в сроки и порядке, определенном Регламентом.</p>	<p>1.2. The Depository has the right to introduce amendments into Agreement and Annexes thereto unilaterally. Relevant amendments shall come in effect upon expiry of 3 (three) business days from the date of notifying of depositors on introduction of such amendments. The date of notification of the Depository as Depositor shall be the date of posting of the information on introduction of such amendments as well as the amended documents specified in this clause of the Agreement on the official website of the Depository. The Depository as Depositor should independently review the relevant messages on the website of the Depository. Responsibility to obtain this information lies with the Depository as Depositor. If the Depository as Depositor does not agree with the amended version of the Agreement, the Depository as Depositor shall have the right to terminate the Agreement concluded with the Depository in the manner and within the time limits specified by the Regulations.</p>
<p>1.3. Термины, используемые в настоящем Договоре и не определенные в нем, должны пониматься в соответствии с Гражданским Кодексом РФ, Федеральным законом от 22.04.1996 № 39-ФЗ «О рынке ценных бумаг» и иными нормативными правовыми актами Российской Федерации.</p>	<p>1.3. The terms used in the present Agreement and which are not defined in it have to be interpreted in accordance with the Civil Code of the Russian Federation, the Federal law of 22.04.1996 No. 39-FZ "On the securities market" and other Laws and regulations of the Russian Federation.</p>
<p><b>2. ПРЕДМЕТ ДОГОВОРА</b></p>	<p><b>2. SUBJECT OF AGREEMENT</b></p>
<p>2.1. Предметом настоящего договора является предоставление услуг по хранению сертификатов ценных бумаг и/или учету прав на ценные бумаги.</p>	<p>2.1. Subject of this Agreement is provision of services relating to custody of certificates of securities and/or accounting of the rights to the Securities.</p>
<p>2.2. Депозитарий путем открытия и ведения Депозитарием счета депо Депонента и/или осуществления операций по этому счету, предоставляет Депоненту следующие услуги:</p>	<p>2.2. The Depository by opening and maintaining by the Depository the Depositor's securities account and/or performing transactions through such Account shall provide the Depositor with the services as follows:</p>
<p>- по учету и удостоверению прав на ценные бумаги, переданные Депозитарии-депоненту по Депозитарным договорам с владельцами этих ценных бумаг или по Договорам счета депо номинального держателя с другими депозитариями путем открытия и ведения Депозитарием счета депо Депозитария-депонента, осуществления операций по этому счету;</p>	<p>- accounting and certification of the rights to the Securities transferred to Depository as Depositor under Depository agreements with owners of said securities or under nominee securities accounts with other depositories by opening and maintaining by the Depository of the securities account of the Depository as Depositor and performing operations through this account;</p>
<p>- по передаче ценных бумаг и/или осуществлению перехода прав на ценные бумаги, включая случаи обременения ценных бумаг обязательствами;</p>	<p>- transfer of the Securities and/or realization of transfer of rights to securities including instances of encumbrance of securities with obligations;</p>
<p>- по содействию реализации Депозитарием-депонентом прав по ценным бумагам, переданным Депозитарии-депоненту по Депозитарным договорам с владельцами этих ценных бумаг или по Договорам счета депо номинального держателя с другими депозитариями.</p>	<p>- the services, assisting the Depository as Depositor in exercising the rights to the Securities transferred to the Depository as Depositor under Depository agreements with owners of said securities or under nominee securities accounts with other depositories.</p>

<p>2.3. Депозитарий-депонент гарантирует, что настоящий Договор заключается в отношении ценных бумаг Клиентов (Депонентов), Депозитарные договоры с которыми не содержат запрета на заключение такого Договора.</p>	<p>2.3. The Depository as Depositor guarantees that this Agreement is made with relation to Clients' (Depositors') securities, the Depository agreements whereof do not inhibit conclusion of such agreement.</p>
<p><b>3. ПРАВА И ОБЯЗАННОСТИ ДЕПОЗИТАРИЯ</b></p>	<p><b>3. RIGHTS AND OBLIGATIONS OF THE DEPOSITORY</b></p>
<p>3.1. Депозитарий обязуется:</p>	<p>3.1. The Depository undertakes:</p>
<p>3.1.1. В сроки и в порядке, приведённом в Регламенте, при условии предоставления Депозитарием-депонентом указанных в Регламенте документов, открыть Депозитарию-депоненту и вести отдельный от других счет депо Депозитария-депонента с указанием даты и основания каждой операции по счету.</p>	<p>3.1.1. Within the time limits and in the manner stated in the Regulations subject to provision from the Depository as Depositor of all documents specified in the Regulations open and maintain the securities account in the name of the Depository as Depositor separated from other accounts with indication of the date and grounds for performance of each operation through the account.</p>
<p>3.1.2. Выполнять Поручения Депозитария-депонента в сроки и в порядке, предусмотренные Регламентом.</p>	<p>3.1.2. Perform the Depository's as Depositor instructions when and as prescribed by the Regulations.</p>
<p>3.1.3. Осуществлять операции с ценными бумагами Депозитария-депонента исключительно по письменному поручению Депозитария-депонента или уполномоченного им лица. В случаях, предусмотренных действующим законодательством Российской Федерации и Регламентом, депозитарные операции проводятся по инициативе должностных лиц Депозитария, а также Эмитента или реестродержателя. В случаях, предусмотренных законодательными и иными нормативными правовыми актами Российской Федерации, депозитарные операции проводятся по инициативе государственных органов.</p>	<p>3.1.3. Perform transactions with the Depository's as Depositor securities only upon written instruction of the Depository as Depositor or person authorized by him. In cases provided for by the current legislation of the Russian Federation and the Regulations, depository transactions are carried out at the initiative of officials of the Depository as well as the Issuer or registrar. In cases provided for by legislative and other normative legal acts of the Russian Federation, depository transactions are carried out at the initiative of state bodies.</p>
<p>3.1.4. Осуществлять записи по счету депо Депозитария-депонента только при наличии документов, являющихся в соответствии с Регламентом основанием для совершения таких операций.</p>	<p>3.1.4. Make records per the Depository's as Depositor securities account only upon presentation of documents, which provide the basis for performing of such transactions according to the Regulations.</p>
<p>3.1.5. Обеспечивать прием ценных бумаг, переводимых на счета депо Депозитария-депонента из других депозитариев или из реестра владельцев именных ценных бумаг в соответствии с Регламентом.</p>	<p>3.1.5. Provide acceptance of securities transferred to Depository's as Depositor securities accounts from other depositories or from register of registered securities in accordance with the Regulations.</p>
<p>3.1.6. Регистрировать факты обременения ценных бумаг Депозитария-депонента обязательствами в порядке, предусмотренном Регламентом.</p>	<p>3.1.6. Record the facts of encumbrance of the Depository's as Depositor securities in accordance with the procedure provided for by the Regulations.</p>
<p>3.1.7. Обеспечивать по поручению Депозитария-депонента, а также в случае прекращения действия депозитарного договора или ликвидации Депозитария, зачисление ценных бумаг на указанные Депозитарием-депонентом счета депо, как в Депозитарии, так и в другом депозитарии или на лицевой счет в системе ведения реестра именных ценных бумаг.</p>	<p>3.1.7. Provide on the Depository's as Depositor instruction, as well as in the event of termination of the depository agreement or liquidation of the Depository, crediting the securities to the securities accounts specified by the Depository as Depositor, both in the Depository and in another depository or to securities sub-ledger account in the shares register management system.</p>
<p>3.1.8. Вносить изменения в состояние счета депо Депозитария-депонента, связанные с конвертацией, погашением (аннулированием), дроблением, консолидацией ценных бумаг, объединением дополнительных выпусков эмиссионных ценных бумаг, аннулированием индивидуальных номеров (кодов) дополнительных выпусков эмиссионных ценных бумаг.</p>	<p>3.1.8. Update the balance of the Depository's as Depositor securities account in connection with the conversion, redemption (cancellation), splitting, consolidation of securities, unification of additional issues of issue-grade securities, cancellation of the individual numbers (codes) for additional issues of issue-grade securities</p>

<p>3.1.9. Предоставлять Депозитарию-депоненту отчеты/выписки о проведенных операциях с ценными бумагами Депозитария-депонента, которые хранятся и/или права на которые учитываются Депозитарием. Порядок, сроки и форма отчетности Депозитария перед Депозитарием-депонентом приведены в Регламенте.</p>	<p>3.1.9. Provide the Depository as Depositor with the reports/statements on the performed operations with the Depository's as Depositor securities which are safe-kept and/or rights whereto are recorded by the Depository. The manner and form of the Depository's reporting to the Depository as Depositor are specified in the Regulations.</p>
<p>3.1.10. Осуществлять учет прав Депозитария-депонента на ценные бумаги обособленно от учета прав на ценные бумаги других Депонентов и собственных ценных бумаг Депозитария. В этих целях Депозитарий обязан выступать в качестве номинального держателя ценных бумаг Депозитария-депонента в системе ведения реестра именных ценных бумаг или в другом депозитарии, если иное не предусмотрено законодательными и иными нормативными правовыми актами.</p>	<p>3.1.10. Carry out accounting of rights of the Depository as Depositor on securities separately from accounting of rights on securities of other Depositors and own securities of the Depository. To this effect, the Depository is obliged to act as the nominee of the Depository's as Depositor securities in the share register management system or in another depository, unless otherwise provided by law and other regulatory legal acts.</p>
<p>3.1.11. Принимать все меры, предусмотренные нормативными правовыми актами Российской Федерации, по защите прав Депозитария как номинального держателя на переданные ему на учет ценные бумаги.</p>	<p>3.1.11. Take all measures provided for in the regulations of the Russian Federation to protect the rights of the Depositor as a nominee for securities transferred to it for accounting.</p>
<p>3.1.12. В порядке, определенном Регламентом, передавать Депозитарию-депоненту информацию о корпоративных действиях Эмитента ценных бумаг, учитываемых на счетах депо Депозитария-депонента, полученную Депозитарием от Эмитента, регистратора или уполномоченных ими лиц.</p>	<p>3.1.12. In accordance with the procedure set forth in the Regulations, transfer to the Depository as Depositor information on corporate actions of the Issuer of securities accounted on the Depository's as Depositor securities accounts received by the Depository from the issuer, registrar or persons authorized by them.</p>
<p>3.1.13. В случае проведения эмитентом учитываемых на счетах депо Депозитария-депонента ценных бумаг мероприятий, направленных на осуществление прав, удостоверенных ценными бумагами, или исполнение обязательств Эмитента в отношении выпущенных им ценных бумаг, строго придерживаться инструкций Эмитента, регистратора или иных уполномоченных эмитентом лиц; выполнять необходимые депозитарные операции по счетам депо Депозитария-депонента только при получении выписки о проведенной регистратором или другим депозитарием операции по счету Депозитария, как номинального держателя.</p>	<p>3.1.13. In the event that the issuer of the securities accounted on the Depository's as Depositor securities accounts carries out measures aimed at exercising the rights, certified by the securities or fulfilling the Issuer's obligations with respect to the securities issued by it and strictly adhere to the instructions of the Issuer, registrar or other persons authorized by the issuer; and perform necessary custody operations on the Depository's as Depositor accounts only upon receipt of the statement on the transaction performed by the registrar or another depository on the Depository's account as the nominal holder.</p>
<p>3.1.14. Обеспечивать сохранность учетных записей, фиксирующих права Депозитария-депонента на ценные бумаги, а также проводить сверку на предмет соответствия этих учетных записей данным реестров владельцев именных ценных бумаг, или данным центрального депозитария, в сроки и в порядке, предусмотренном Регламентом и договором с центральным депозитарием.</p>	<p>3.1.14. Ensure preservation of accounting records that document the Depository's as Depositor rights to securities, as well as to reconciliation as to conformity of these accounting records with the data of the shares registers, or with the data of the central depository, in the manner and within the time limits provided for in the Regulations and the agreement with the central depository.</p>
<p>3.1.15. Обеспечивать конфиденциальность информации о счете депо Депозитария-депонента, производимых операциях по счету депо Депозитария-депонента и иных сведениях о Депозитарии-депоненте (клиентах Депонента), ставших известными Депозитарию в связи с осуществлением им депозитарной деятельности, за исключением случаев, когда предоставление такой информации является обязанностью Депозитария в</p>	<p>3.1.15. Protect the confidentiality of the information of the Depository's as Depositor securities account, the operations performed on the Depository's as Depositor securities account and other information about the Depository's as Depositor, which became known to the Depository in connection with the carrying out depository activities, except where provision of such information is the Depository's responsibility in accordance with the</p>

<p>соответствии с требованиями действующего законодательства Российской Федерации, или когда Депозитарий наделен правом предоставления такой информации третьим лицам в соответствии с условиями Регламента.</p>	<p>requirements of the applicable legislation of the Russian Federation, or where the Depository is entitled to provide such information to third parties in accordance with the terms of the Regulations.</p>
<p>3.1.16. Не использовать информацию о Депозитории-депоненте (клиентах Депозитария - депонента) и о его счетах для совершения действий, наносящих или могущих нанести ущерб законным правам и интересам Депозитария-депонента (клиентах Депозитария-депонента).</p>	<p>3.1.16. Not to use the information about the Depository as Depositor (clients of the Depository as Depositor) and its accounts to perform actions that prejudice or may prejudice the legal rights and interests of the Depository as Depositor (clients of the Depository as Depositor).</p>
<p>3.1.17. Регистрировать факты обременения/ограничения распоряжения и прекращения обременения/ограничения распоряжения ценными бумагами на счете Депо Депонента в порядке, предусмотренном Регламентом.</p>	<p>3.1.17. To document the facts of encumbrance/limitation of disposal and termination of encumbrance/limitation of disposal of securities on the securities account of the Depositor in the manner provided for in the Regulations.</p>
<p>3.1.18. Ежемесячно, не позднее Рабочего дня, следующего за днем окончания отчетного месяца, проводить с Депозитарием-депонентом сверку данных по ценным бумагам, учитываемым на счетах депо Депозитария-депонента, с данными на счетах депо клиентов Депонента, открываемых в системе депозитарного учета Депозитария-депонента. Сверка данных осуществляется путем предоставления Депозитарием Депозитарию-депоненту в электронном виде выписок по счетам депо Депозитария -депонента в указанный в настоящем пункте Договора срок, по состоянию на конец последнего рабочего дня отчетного месяца. При обнаружении расхождений учетных данных Депозитария-депонента с учетными данными Депозитария, осуществляется выяснение причин, вызвавших указанное расхождение, и их устранение. Депозитарий-депонент, обнаруживший расхождение, составляет Акт о расхождении учетных данных, который не позднее третьего рабочего дня, следующего за днем окончания отчетного месяца, направляет Депозитарию любым способом, предусмотренным Договором. Данные, указанные в выписке по счетам депо, считаются подтвержденными Депозитарием-депонентом при отсутствии возражений по соответствующим выпискам, предоставленным Депозитарием. Стороны вправе запросить друг у друга любые первичные документы, подтверждающие факт подачи поручений и иных документов по счетам депо и выполнение депозитарных операций, а также иную документацию для выяснения причины и устранения обнаруженного расхождения. После устранения расхождения в данных депозитарного учета Депозитария с учетными данными Депонента Стороны составляют акт о причинах расхождения и его устранении в 2-х экземплярах, подписываемых Сторонами.</p> <p>По факту совершения операций по счетам депо проводить с Депозитарием-депонентом сверку данных по совершенным операциям по ценным бумагам, учитываемым на счетах депо Депонента, с данными на счетах депо клиентов Депонента, открываемых в системе депозитарного учета Депонента. Сверка данных осуществля-</p>	<p>3.1.18. On monthly basis not later than the business day following the end of reporting period to perform with the Depository as Depositor the reconciliation of details of securities recorded on securities accounts of Depository as Depositor with details on securities accounts of Depositor's clients in the depository accounting system of the Depository as Depositor. Reconciliation of details shall be carried out by means of provision of statements in electronic format by the Depository to the Depository as Depositor on the securities accounts of the Depository- Depositor within the time limit specified in this paragraph of the Agreement, as of the end of the last business day of the reporting month. If any discrepancy is revealed when reconciling accounting data of the Depository as Depositor with the accounting data of the Depository the reasons that caused the said discrepancy are investigated and eliminated. The Depository as Depositor that revealed discrepancy shall draw up the report on discrepancy of accounting data which no later than the third business day following the day of the close of the reporting month it shall send to the Depository by any means provided for in the Agreement. The details specified in the statement of the securities accounts shall be deemed confirmed by the Depository as Depositor in the absence of objections regarding the relevant statements produced by the Depository. The Parties may demand from each other any primary documents confirming the fact of submission of Instructions and other documents on the securities accounts, as well as other documents required for them to find out the reason for and remedy revealed discrepancies. Upon remedy of the discrepancy in the details of custody accounting of the Depository with Depositor's accounting details the Parties shall execute a report on reasons for the discrepancy and its remedy in 2 counterparts signed by the Parties.</p> <p>Upon completion of operations on securities accounts to perform with the Depository as Depositor the reconciliation of details of securities recorded on securities accounts of Depository as Depositor with details on securities accounts of Depositor's clients in the depository accounting system of</p>

<p>ется путем предоставления Депозитарием Депозитарию-депоненту в электронном виде отчетов по счетам депо Депозитария-депонента на следующий рабочий день, по состоянию на конец дня сверки. Данные, указанные в отчетах по счетам депо считаются подтвержденными Депозитарием-депонентом при отсутствии возражений по отчетам до конца рабочего дня предоставления отчетов. При обнаружении расхождений учетных данных Депозитария-депонента с учетными данными Депозитария осуществляется выяснение причин, вызвавших указанное расхождение, и их устранение.</p>	<p>the Depository as Depositor. Reconciliation of details shall be carried out by means of provision of statements in electronic format by the Depository to the Depository as Depositor on the securities accounts of the Depository- Depositor the next business day as of the end of the reconciliation day. The details specified in the statements of the securities accounts shall be deemed confirmed by the Depository as Depositor in the absence of objections regarding the statements before the end of the business day of producing the statements. If any discrepancy is revealed when reconciling accounting data of the Depository as Depositor with the accounting data of the Depository the reasons that caused the said discrepancy are investigated and eliminated.</p>
<p>3.1.19. В случае отказа в приеме или исполнении Поручения выдавать инициатору депозитарной операции письменный отказ в порядке и сроки, предусмотренные Регламентом. В случае отказа в приеме Поручения письменный отказ предоставляется Депозитарием только по запросу инициатора депозитарной операции.</p>	<p>3.1.19. In the event of refusal to accept or perform Instruction issue to the initiator of custody operation written refusal in the manner and within the time limits provided for in the Regulations. In the event of refusal to accept an Instruction, written refusal shall be produced by the Depository only at the request of the initiator of custody operation.</p>
<p>3.1.20. Получать на свой специальный депозитарный счет, предназначенный для получения доходов по ценным бумагам Депонентов, доходы и/или выплаты по ценным бумагам Депозитария-депонента с последующим перечислением Депозитарию-депоненту в порядке и в сроки, установленные Регламентом.</p>	<p>3.1.20. Credit to own special depository account intended for crediting of income on Depositors' Securities, income and/or payments on Depositor's securities with its subsequent remitting to the Depository as Depositor in the manner and within the time limit provided for by the Regulations.</p>
<p>3.1.21. Вести учет находящихся на специальном депозитарном счете денежных средств каждого депонента и отчитываться перед ним.</p>	<p>3.1.21. Keep record of cash assets held on a special depository account of each depositor and report to them.</p>
<p>3.1.22. В случаях, предусмотренных законодательством и нормативными правовыми актами Российской Федерации, запрашивать у Депозитария-депонента информацию о клиентах Депозитария-депонента, т.е. Владельцах ценных бумаг, учет которых ведется у Депонента.</p>	<p>3.1.22. Where it is required by the laws and other regulations of the Russian Federation request from the Depository as Depositor information about securities clients of Depository as Depositor, i.e. securities Owners accounted by the Depositor.</p>
<p>3.1.23. В случае внесения изменений и дополнений в Регламент и Договор уведомить об этом Клиента в соответствии с порядком, предусмотренным Регламентом.</p>	<p>3.1.23. In case of amendments and additions to the Regulations and the Agreement, notify the Client thereof in accordance with the procedure stipulated by the Regulations.</p>
<p>3.1.24. В течение 3 (трех) рабочих дней со дня принятия решения о ликвидации Депозитария, либо со дня получения соответствующего письменного уведомления от Центрального банка об аннулировании или приостановлении действия лицензии Депозитария на осуществление депозитарной деятельности на рынке ценных бумаг, письменно уведомить об этом Депозитария-депонента и предложить ему перевести ценные бумаги на лицевые счета в реестре владельцев именных ценных бумаг или на счета депо в других депозитариях.</p>	<p>3.1.24. Within 3 (three) business days from the date of the decision on liquidation of the Depository, or from the date of receipt of the relevant written notification from the Central Bank of cancellation or suspension of the Depository's license for carrying out depository activities on the securities market notify the Depository as Depositor in writing and suggest him transferring securities to personal accounts in share register, or to the securities accounts in other depositories.</p>
<p>3.1.25. Осуществлять депозитарную деятельность в соответствии с требованиями законодательства Российской Федерации и Регламентом.</p>	<p>3.1.25. To perform custody operations in accordance with the requirements of the law of Russian Federation and the Regulations.</p>
<p>3.2. Депозитарий имеет право:</p>	<p>3.2. The Depository has the right:</p>
<p>3.2.1. Без дополнительного согласия Депозита-</p>	<p>3.2.1. Recruit without Depository as Depositor addi-</p>

<p>рия-депонента привлекать к исполнению своих обязанностей по настоящему Договору третьих лиц, в том числе становиться депонентом другого депозитария. Оплата услуг таких третьих лиц производится Депозитарием за счет Депозитария-депонента. Депозитарий, по требованию Депозитария-депонента, обязуется предоставить последнему информацию о таких третьих лицах.</p> <p>Депозитарий-депонент настоящим признает и соглашается, что Депозитарий является депонентом Небанковской кредитной организации акционерного общества «Национальный расчетный депозитарий».</p> <p>В случаях, предусмотренных Регламентом, Депозитарий имеет право самостоятельно на основании соответствующих служебных Поручений осуществлять перевод (перемещение) ценных бумаг, учитываемых на счетах Депозитария-депонента, из одного указанного в настоящем пункте депозитария в другой.</p> <p>Депонент настоящим признает и указывает на Клиринговые организации, по распоряжению (с согласия) которых могут совершаться депозитарные операции по торговым счетам депозитария-депонента: Небанковская кредитная организация акционерного общества «Национальный расчетный депозитарий» (далее – НКО АО НРД), Акционерный Коммерческий Банк «Национальный Клиринговый Центр» (Акционерное общество) (далее – НКЦ).</p>	<p>tional consent any third party in order to fulfill any of its obligations hereunder including act as a depositor of any other depository. Depository shall effect payment of services of such third parties at Depository's as Depositor expense. The Depository undertakes to provide to the latter information on such third parties.</p> <p>The Depository as Depositor hereby agrees and acknowledges that the Depository is a depositor of the Nonbank Credit Institution the Joint Stock Company "National Settlement Depository."</p> <p>In instances stipulated by the Regulations the Depository has the right on own authority basing on respective duty Instructions perform transfer (relocation) of securities record kept on accounts of the Depository as Depositor from one depository specified in this paragraph to other depository.</p> <p>The Depositor hereby recognizes and specifies Clearing Organizations to the order of which (with the consent of which) depository transactions may be carried out on the trade securities accounts of the Depository as Depositor: Non-Bank Credit Institution of the joint stock company "National Settlement Depository" (hereinafter - NCO JSC National Settlement Depository), Joint Stock Commercial Bank "National Clearing Center" (Joint Stock Company) (hereinafter – NCC).</p>
<p>3.2.2. Не принимать к исполнению поручение о передаче ценных бумаг, если оно выдано Депозитарием-депонентом в нарушение требований законодательства Российской Федерации, противоречит условиям выпуска и обращения отдельных видов ценных бумаг, не соответствует Клиентскому регламенту.</p>	<p>3.2.1 Reject fulfilment of instruction for transfer of securities where such Instructions is given by the Depository as Depositor in contradiction to Russian legislation and contradicts to terms of issuing and circulation of separate types of securities and is not in accordance with the Client's regulations.</p>
<p>3.2.3. Не принимать к исполнению Поручения Депозитария-депонента (его уполномоченных лиц), просрочившего более чем на 30 (Тридцать) календарных дней оплату выставленного Депозитарием счета.</p>	<p>3.2.3. Not accept for execution the instructions of the Depository as Depositor (its authorized persons) who has delayed for more than 30 (thirty) calendar days payment of the invoice issued by the Depository.</p>
<p>3.2.4. Не исполнять Поручения Депозитария-депонента, если у Депозитария имеются обоснованные сомнения в правомерности волеизъявления инициатора депозитарной операции и/или в подлинности подписи на предоставленных документах, либо подлинности самих предоставленных документов.</p>	<p>3.2.4. Not execute instructions of Depository as Depositor if the Depository has reasonable doubts as to the validity of the will of initiator of depository operation, and/or authenticity of signature on documents provided or authenticity of provided documents themselves.</p>
<p>3.2.5. Без Поручения Депозитария-депонента осуществлять производить блокировку, арест или иное запрещение, установленное в соответствии с решением компетентного государственного органа в отношении ценных бумаг с обязательным уведомлением Депозитария-депонента не позднее трех рабочих дней с момента совершения операций.</p>	<p>3.2.5. Without request of Depository as Depositor carry out blocking, seizure or other prohibition established in accordance with decision of competent state authority in respect of securities with mandatory notification of Depository as Depositor no later than three business days from the date of transactions.</p>
<p>3.2.6. В случаях, предусмотренных законодательством и нормативными правовыми актами Российской Федерации, запрашивать у Депозитария-Депонента информацию о клиентах - Владельцах</p>	<p>3.2.6. Where provided statutorily and by normative legal acts of Russian Federation request from the Depository as Depositor information on Clients – Securities Owners accounted with the Depositor.</p>



ценных бумаг, учет которых ведется у Депонента.	
3.2.7. В случаях, предусмотренных Регламентом, вносить исправительные записи по счетам Депозитария-депонента.	3.2.7. If so provided by the Regulations make corrective entries regarding Client's accounts.
3.2.8. Удерживать ценные бумаги и осуществлять реализацию ценных бумаг, в случаях и порядке, установленных законодательством РФ и Регламентом.	3.2.8. Withhold securities and effect sale of securities, pursuant to the procedure and in cases established by the legislation of the Russian Federation and the Regulations.
3.2.9. Расторгнуть Договор в сроки и в порядке, установленные Регламентом, в том числе, в одностороннем порядке, если на момент расторжения Договора ценные бумаги, учитываемые на счетах депо Депозитария-депонента, не обременены или не блокированы. В этих случаях перевод ценных бумаг в иной депозитарий/реестр владельцев именных ценных бумаг осуществляется с письменного согласия всех заинтересованных лиц или при отмене блокировки ценных бумаг.	3.2.9. Terminate the Agreement in time and manner provided for by the Regulations including unilaterally if at the time of termination of the Agreement the securities recorded on Depository's as Depositor securities accounts are not under encumbrance or blocked. In these cases, securities transfer to another depository/share register should be upon written consent of all interested persons or in case of lifting limitation on disposal of securities.
3.2.10. В любой момент времени до принятия/начала исполнения поданного в Депозитарий Поручения, осуществить телефонный звонок (на номер мобильного телефона, указанный в анкете) депозитарию-депоненту с целью подтверждения подачи Поручения.	3.2.10. At any time before acceptance/ commencement of execution of the Instruction submitted to the Depository make a telephone call (to mobile phone number specified in the questionnaire) to the depository as depositor in order to confirm submission of the Instruction.
3.2.11. В соответствии с законодательством Российской Федерации, на основании отдельных договоров или дополнительных соглашений к Договору оказывать Депоненту сопутствующие услуги.	3.2.11. In conformity with the law of the Russian Federation and basing on separate agreements or additional agreements hereto provide the Depositor with any related services.
3.2.12. Требовать от Депонента предоставления любых документов, которые являются основанием осуществления любой операции и подтверждают законность действий Депонента (в том числе требовать предоставление документов в нотариальной форме).	3.2.12. To request from the Depositor to provide documents that are the basis for execution of any operation and confirm the legality of the Depositor's actions (including to require provision of notarized documents).
3.2.13. Осуществлять иные права, предусмотренные Договором и приложениями к нему, в том числе Регламентом.	3.2.13. Exercise other rights provided for in the Agreement and its annexes, including the Regulations.
<b>3.3. Депозитарий не вправе:</b>	<b>3.3. The Depository shall not be entitled:</b>
3.3.1. Приобретать права залога или удержания по отношению к ценным бумагам Депозитария-депонента, права на которые учитываются в Депозитарии, без письменного согласия Депозитария-депонента.	3.3.1. Obtain the rights of pledge or retention with respect to the Depository's depositor Securities, the rights to which are accounted in the Depository, without the written consent of the Depository as Depositor.
3.3.2. Определять и контролировать направления использования ценных бумаг Депозитария-депонента, устанавливая не предусмотренные законодательством Российской Федерации или Регламентом ограничения его права распоряжаться ценными бумагами по своему усмотрению.	3.3.2. Determine and control the areas of use of the Depository's as Depositor Securities, to establish limitations of its rights to dispose of the Securities in its sole discretion, when it is not provided for by the legislation of the Russian Federation or the Depository Agreement.
3.3.3. Отвечать ценными бумагами Депозитария-депонента по собственным обязательствам, а также использовать их в качестве обеспечения исполнения собственных обязательств, обязательств третьих лиц.	3.3.3. To meet its own obligations with the Depository's as Depositor Securities, and to use them as a guarantee of performance of own obligations and obligations of the third parties.
3.3.4. Распоряжаться ценными бумагами, переданными Депозитарием-депонентом, без Поручения последнего, за исключением случаев, преду-	3.3.4. Dispose of the Securities transferred by the Depository as depositor without the latter's Instruction save as provided by legislation of the Russian

смотренных законодательством Российской Федерации и Регламентом.	Federation and the Regulations.
<b>4. ПРАВА И ОБЯЗАННОСТИ ДЕПОЗИТАРИЯ-ДЕПОНЕНТА</b>	<b>4. RIGHTS AND OBLIGATIONS OF THE DEPOSITOR</b>
4.1. Депонент обязуется:	4.1. The Depositor undertakes:
4.1.1. Соблюдать Регламент и настоящий Договор.	4.1.1. Observe the Regulations and this Agreement.
4.1.2. При открытии счета Депо предоставить достоверные сведения, приводимые в анкете Депозитария-депонента, а также информировать Депозитарий об изменении сведений, содержащихся в анкете Депозитария-депонента и иных данных, имеющих значение для депозитарного учета в срок не позднее 3 (трех) рабочих дней с момента изменения таких сведений.	4.1.2. When opening the Securities accounts to provide true information presented in the Depository's as depositor questionnaire as well as inform the Depository about the change of the information contained in the Depository's depositor and other data relevant to the depository recordkeeping not later than 3 (three) business days from the date of amendment of such information.
4.1.3. Оформлять и передавать Депозитарию Поручения в порядке и в сроки, определяемые Регламентом.	4.1.3. Draw up and transmit the Instructions to the Depository in the manner and within the time limit, prescribed by the Regulations.
4.1.4. Не включать в договоры, заключаемые Депозитарием-депонентом со своими клиентами, положений, которые могут привести к невозможности (полной или частичной) надлежащего исполнения Депозитарием-депонентом своих обязательств по Договору.	4.1.4. Not include in the agreements entered into by the Depository as depositor with its clients the provisions, which may lead to the failure (in whole or in part) of the Depository as Depositor to properly perform its obligations under the Agreement.
4.1.5. При передаче именных эмиссионных ценных бумаг предпринять со своей стороны все действия, необходимые для обеспечения перерегистрации ценных бумаг на имя Депозитария как номинального держателя в системе ведения реестра именных ценных бумаг соответствующего Эмитента или в другом депозитарии.	4.1.5. While transferring the registered issue-grade securities, take all actions, for its part, to ensure re-registration of the securities in the name of the Depository as the nominal holder in the system of keeping the register of registered securities of the relevant Issuer or in another depository.
4.1.6. Оплачивать услуги Депозитария в порядке и размере, предусмотренным утвержденными Тарифами на депозитарное обслуживание, являющимся приложением к Клиентскому регламенту.	4.1.6. Pay for the services of the Depository, in manner and amount prescribed by the Tariffs for depository service, which are part of the Client's regulations.
4.1.7. Не подавать Депозитарию Поручения, в результате исполнения которых на счетах депо номинального держателя будут зачислены ценные бумаги, принадлежащие Депозитарию-депоненту на праве собственности, ином вещном праве или обязательственном праве.	4.1.7. Not to submit to the Depository Instructions execution of which will result in crediting securities on the securities accounts of nominal holder held by the Depository as depositor by Title, any other property right or the right under obligation.
4.1.8. Ежемесячно проводить с Депозитарием сверку данных по ценным бумагам, учитываемым на Счетах депо Депозитария-депонента, в порядке и сроки, предусмотренные Договором.	4.1.8. On a monthly basis reconcile data on Securities held on the Securities Accounts of Depository as Depositor in the manner and within the time limit as set forth by the Agreement.
4.1.9. В случаях, предусмотренных законодательством и нормативными правовыми актами Российской Федерации, по запросу Депозитария предоставлять ему информацию о клиентах Депонента - Владельцах ценных бумаг, учет которых ведется у Депонента. Депонент обязуется предоставить Депозитарию указанную в настоящем пункте Договора информацию в течение двух рабочих дней с момента получения запроса, если иной срок не указан в запросе Депозитария, устанавливаемый им с учетом срока представления соответствующих сведений регистратору или эмитенту. При этом Депонент не получает от Депозитария вознаграждения за предоставление та-	4.1.9. Where it is required by the laws and other regulations of the Russian Federation request from the Depository as Depositor information about clients of Depositor - securities Owners accounted by the Depositor. The Depositor undertakes to produce to the Depository the information specified in this paragraph of the Agreement within two business days from date of receipt of the request provided the other term is not specified in the Depository's request set by it by taking in account the time limit for provision of relevant information to the registrar or the issuer. In this case the Depositor receives no remuneration from the Depository for provision of such information if it is required for Depositor's clients for

<p>кой информации, если она необходима для осуществления клиентами Депонента своих прав по принадлежащим им ценным бумагам (для Депонентов, которым открыт Счет депо номинального держателя).</p>	<p>exercising of their rights under the securities owned by them (for Depositors which have the nominee securities account opened in their name).</p>
<p>4.1.10. В случае проведения эмитентом корпоративных действий в отношении выпущенных им ценных бумаг либо изменении прав их владельцев, строго придерживаться инструкций Эмитента, регистратора или иного, уполномоченного эмитентом лица, переданных ему Депозитарием, не нарушая при этом прав своих клиентов. Выполнять необходимые операции по счетам депо своих клиентов только по получении выписки (уведомления, отчета) о проведенной Депозитарием соответствующей депозитарной операции по его счетам депо.</p>	<p>4.1.10. In the event that the issuer carries out corporate actions with relation to securities issued by or alteration of their owners' rights strictly adhere to the instructions of the Issuer, Registrar or other person authorized by the issuer rendered to it by the Depository without violating thereat its clients' rights. To perform necessary operations on the securities accounts of its clients only upon receipt of the statement (notice or report) on the relevant custody operation performed by the Depository on its securities accounts.</p>
<p>4.1.11. Включать в договоры с клиентами Депонента условие о согласии последних на передачу депозитарием-депонентом Депозитарию информации об остатках ценных бумаг на их счетах депо для последующей передачи Депозитарием указанной информации третьим лицам в тех случаях, когда передача такой информации необходима для заключения и/или исполнения сделок этих лиц с ценными бумагами.</p>	<p>4.1.11. Include in agreements with Depositor's client provision on the latter consent for provision by the Depository as Depositor of the information on balance of securities on their securities accounts for consecutive submission of the said information to the third parties in cases when such information is necessary for making and/or execution by these parties of transactions with securities.</p>
<p>4.1.12. В случае расторжения Договора в соответствии с условиями Регламента, не позднее даты подачи Поручения на закрытие счетов депо предоставить в Депозитарию Поручения на списание ценных бумаг, учитываемых на счетах депо в Депозитарии, на счет депо, открытый в другом депозитарии, либо на лицевой счет в реестре владельцев именных ценных бумаг. При этом Депонент обязан оплатить услуги и возместить расходы Депозитария, связанные с исполнением Поручения на списание ценных бумаг.</p>	<p>4.1.12. In case of termination of the Agreement in accordance with the terms of the Regulations on or before the date of submission of the Instruction for closing the securities accounts to submit to the Depository Instructions to write off securities recorded in the Securities Accounts in the Depository to the Securities account opened in another depository or to the personal account in the register of share registers. In this case the Depositor should pay for services and reimburse the Depository's expenses related to execution of the Instruction for writing off the securities.</p>
<p>4.1.13. Проверять, а также сверять идентичность любой доступной для Депозитария-депонента информации (в том числе известной только Депоненту и/или предоставленной Депозитарием) с информацией, которая содержится в любом СМС-сообщении, предоставленном Депозитарием Депоненту.</p>	<p>4.1.13. Check and verify identity of any information available to Depository as Depositor (including the one known only to Depositor and/or provided by Depository) with information contained in any SMS message provided by the Depository to the Depositor.</p>
<p>4.1.14. Регулярно обращаться к официальному сайту Депозитария в целях ознакомления с возможными уведомлениями, сообщениями Депозитария, а также изменениями, дополнениями Договора и приложений к нему, и несет все риски в полном объеме, связанные с неисполнением или ненадлежащим исполнением указанной обязанности.</p>	<p>4.1.14. On a regular basis refer the official website of the Depository for purposes of information on eventual notices and messages of the Depository, as well as amendments, addendums to the Agreement and annexes thereto, and be fully liable for all risks related to failure to properly fulfill the said liability.</p>
<p>4.2. Депонент имеет право:</p>	<p>4.2. The Depositor has the right:</p>
<p>4.2.1. Давать Депозитарию Поручения на проведение любых депозитарных операций, предусмотренных законодательными и иными нормативными правовыми актами Российской Федерации, Регламентом, а также условиями выпуска и обращения ценных бумаг, депонированных на счетах депо Депозитария-депонента.</p>	<p>4.2.1. Give to the Depository instructions to carry out any depository operations provided for by the legislative and other regulatory legal acts of the Russian Federation and the Regulations as well as the terms of issue and circulation of securities deposited on Securities Accounts of the Depository as Depositor.</p>

4.2.2. Передавать полномочия по распоряжению ценными бумагами и осуществлению прав по ценным бумагам в порядке, соответствующем действующему законодательству РФ и Клиентскому регламенту.	4.2.2. To delegate powers for disposal of the Securities and execution of rights on Securities in accordance with the current legislation of the Russian Federation and the Client's regulations.
4.2.3. Давать Поручения Депозитарию стать депонентом другого депозитария, включая расчетные депозитарии и депозитарии банковских учреждений, с целью выполнения функций номинального держателя в отношении ценных бумаг Депозитария-депонента.	4.2.3. Give instructions to the Depository to become a depositor of another depository including clearing depositories and depositories of banking institutions, for performing the functions of the nominal holder in respect of the Depository's as Depositor Securities.
4.2.4. Назначать уполномоченных лиц для проведения операций по счету депо и прекращать их полномочия по распоряжению ценными бумагами и осуществлению прав по ценным бумагам в порядке, предусмотренном Регламентом.	4.2.4. Appoint authorized persons to carry out operations on the Securities account and terminate their authority to dispose of securities and exercise rights to securities in accordance with the procedure provided for in the Regulations.
4.2.5. Запрашивать у Депозитария предусмотренные законодательными и иными нормативными правовыми актами Российской Федерации, Регламентом, а также Договором отчетные документы и информацию, в том числе необходимые ему для реализации прав, удостоверенных ценными бумагами, учитываемыми на счетах депо Депозитария -депонента, и исполнения Депозитарием-депонентом своих обязанностей по договорам, заключенным с клиентами Депозитария-депонента.	4.2.5. Request from the Depository as Depositor reporting documents and information provided for by the legislative and other normative legal acts of the Russian Federation, the Regulations, as well as the Agreement, including those necessary for him for exercising the rights certified by securities accounted on securities accounts of Depository as Depositor and exercising by Depository as Depositor of its obligations under the agreements concluded with clients of Depository as Depositor.
4.2.6. Расторгнуть Договор в сроки и в порядке, установленные Регламентом, в том числе, в одностороннем порядке, если на момент расторжения Договора ценные бумаги, учитываемые на Счете депо Депозитария-депонента, не обременены или не заблокированы. В этих случаях перевод ценных бумаг в иной депозитарий/реестр владельцев именных ценных бумаг осуществляется с письменного согласия всех заинтересованных лиц или при отмене блокировки ценных бумаг.	4.2.6. Terminate the Agreement in time and manner provided for by the Regulations including unilaterally if at the time of termination of the Agreement the securities recorded on Depository's as depositor securities accounts are not under encumbrance or blocked. In these cases, transfer of securities to another depository/share register should be performed on written consent of all interested persons or in case of unblocking the securities.
<b>5. ЗАБЕРЕНИЯ И ГАРАНТИИ СТОРОН</b>	<b>5. REPRESENTATIONS AND WARRANTIES OF THE PARTIES</b>
5.1. Стороны заявляют и гарантируют, что ими соблюдены все требования действующего законодательства Российской Федерации, необходимые и требующиеся для заключения Сторонами Договора.	5.1. The Parties declare and guarantee that they comply with all requirements of the current legislation of the Russian Federation necessary and required for the conclusion of the Agreement by the Parties.
5.2. Стороны подтверждают, что на дату заключения Договора не существует никаких ограничений, которые могли бы препятствовать или сделать невозможным заключение и исполнение Сторонами Договора.	5.2. The Parties confirm that at the date of conclusion of the Agreement there are no restrictions that could prevent or make impossible conclusion and execution of the Agreement by the Parties.
5.3. Депозитарий-депонент заявляет и гарантирует, что в соответствии с требованиями законодательства Российской Федерации предпримет все необходимые меры к тому, чтобы, если это требуется, направить уведомление в соответствующие государственные органы и/или получить предварительное согласие (разрешение) таких государственных органов на совершение какой-либо сделки в отношении ценных бумаг, когда такое уведомление либо согласие (разрешение) таких органов будут необходимы согласно дей-	5.3. The Depository as Depositor represents and warrants that in accordance with the requirements of the law of Russian Federation it will whenever required take all necessary measures to submit notice to relevant public authorities, and/or obtain prior consent (permission) of such public authorities to perform any operation in respect of securities when such notice or consent (permission) of such authorities is necessary under the applicable law of the Russian Federation.

ствующему законодательству Российской Федерации.	
5.4. Депозитарий гарантирует, что уведомит Депозитария-депонента о наступлении какого-либо события, которое будет препятствовать Депозитарию исполнять его обязательства по Договору в предусмотренном Регламентом порядке.	5.4. The Depository warrants that it will notify the Depository as Depositor of the occurrence of any event that would prevent the Depository from fulfilling its obligations under the Agreement in the manner provided for in the Regulations.
<b>6. ОПЛАТА УСЛУГ ДЕПОЗИТАРИЯ И ПОРЯДОК РАСЧЕТОВ</b>	<b>6. PAYMENT FOR SERVICES AND SETTLEMENT PROCEDURE</b>
6.1. Оплата услуг по Договору осуществляется в соответствии с Регламентом согласно тарифам на услуги Депозитария, являющимся Приложением № 2 к Договору, размещенным на официальном сайте, действующим на дату подачи Депозитарием-депонентом/иным инициатором депозитарной операции Поручения, предусматривающего оказание соответствующей платной услуги.	6.1. Payment of services under the Agreement shall be made in accordance with the Regulations based on the tariffs for the services of the Depository which constitute Annex 2 to the Agreement posted on the official website as in effect on the date of submitting by the Depository as Depositor /other initiator of the depository operation of the Instruction envisaging provision of the corresponding paid service.
6.2. Депонент осуществляет оплату услуг Депозитария, а также расходов Депозитария, связанных с выполнением депозитарных операций, в том числе (но не ограничиваясь), расходов Депозитария на оплату услуг регистраторов, других депозитариев, трансфер-агентов, агентов по перерегистрации, почтовых услуг.	6.2. The Depositor shall pay for the services of the Depository, as well as the costs of the Depository related to performance of custody operations, including (but not limited to) the costs of the Depository for services of registrars, other depositaries, transfer agents, re-registration agents, postal services.
<b>7. ПРОЦЕДУРА ПОЛУЧЕНИЯ ИНФОРМАЦИИ О ВЛАДЕЛЬЦАХ ЦЕННЫХ БУМАГ</b>	<b>7. PROCEDURE OF OBTAINING INFORMATION ON SECURITIES OWNERS</b>
7.1. Получение информации о Владельцах и принадлежащих им ценных бумагах, права на которые учитываются на счете депо Депозитария-депонента осуществляется Депозитарием путем направления письменного мотивированного запроса (далее – запрос) Депозитарию-депоненту.	7.1. Obtaining information on Owners and the securities owned by them the rights whereto are recorded on the securities account of the Depository as Depositor is implemented by the Depository by sending a written, substantiated inquiry (hereinafter – inquiry) to the Depository as Depositor.
7.2. Запрос составляется с указанием всех реквизитов, перечень которых устанавливается нормативными правовыми актами.	7.2. The inquiry shall be drawn up specifying all the requisites list of which is established by applicable statutory and regulatory enactments.
7.3. Депозитарий-депонент обязан в сроки, указанные в запросе Депозитария, предоставить последнему данные о Владельцах и принадлежащих им ценных бумагах, права на которые учитываются на счете депо Депозитария-депонента.	7.3. The Depository as Depositor should within the time limit specified in the Depository's inquiry furnish it with all data on the owners and securities owned by them the rights whereto are recorded on the securities account of the Depository as Depositor.
7.4. Депозитарий в целях реализации прав по ценным бумагам, переданным Депозитарием-депонентом в Депозитарий, в порядке, предусмотренном Клиентским регламентом, обеспечивает передачу Депозитарию-депоненту информации и документов от эмитентов или уполномоченных ими лиц.	7.4. The Depository with the aim to ensure the rights in securities transferred by the Depository as Depositor to the Depository shall in compliance with the procedure set forth by the Clients' Regulations ensure transfer to the Depository as Depositor of the information and documents from Issuers or any other parties authorized by them.
<b>8. ОТВЕТСТВЕННОСТЬ СТОРОН</b>	<b>8. LIABILITY OF THE PARTIES</b>

8.1. Депозитарий несет ответственность перед Депозитарием-депонентом за убытки, причиненные неисполнением или ненадлежащим исполнением Депозитарием обязанностей по учету прав на ценные бумаги, включая случаи утраты записей на счете депо, а также в случае ненадлежащего исполнения иных обязанностей по Договору счета депо, если не докажет, что убытки возникли вследствие обстоятельства непреодолимой силы, умысла, грубой неосторожности Депозитария-депонента или противоправных действий третьих лиц.	8.1. The Depository shall be responsible to the Depository as Depositor for the losses incurred by non-fulfillment or improper fulfillment by the depository of obligations for accounting the rights to securities, including instances of loss of records on the securities account, as well as in case of improper fulfillment of other obligations under the securities account Agreement, unless it proves that losses were incurred by force majeure circumstances, intent, gross negligence of the Depository as Depositor or unlawful acts of third parties.
8.2. Депозитарий обязан возместить Депоменту убытки, причиненные разглашением Депозитарием конфиденциальной информации.	8.2. The Depository should compensate the Depositor for damages caused by disclosure of confidential information by the Depository.
8.3. Депозитарий несет ответственность за достоверность предоставляемых сведений и своевременность их передачи.	8.3. The Depository shall be responsible for trustworthiness of furnished information and timeliness of their submission.
8.4. Депозитарий несет ответственность за неисполнение или ненадлежащее исполнение своих обязанностей по учету прав на ценные бумаги, в том числе за полноту и правильность записей по счетам депо.	8.4. The Depository shall be responsible for non-fulfillment or improper fulfillment of its obligations for accounting of the rights to securities including but not limited to completeness and correctness of entries on the securities account.
8.5. Депозитарий-депонент несет ответственность перед Депозитарием за:	8.5. The Depository as Depositor shall be responsible to the Depository for:
– недостоверность и несвоевременность информации, предоставляемой Депозитарию, в том числе информации, содержащейся в его анкете и иных документах, предоставляемых Депозитарию для открытия счетов /проведения операций по счетам;	– untrustworthiness and out-of-dateness of information provided to the Depository, including the information which is contained in its questionnaire and other documents, presented to Depository for opening of accounts/carrying out operations through the accounts;
– нарушение порядка и сроков оплаты услуг, предоставляемых Депозитарием, и возмещением расходов Депозитария, связанных с выполнением операций по счетам, в соответствии с условиями Договора и Регламента;	– non observance of procedure and delay of payment for the services provided by Depository and of reimbursement of expenses of Depository, connected with carrying out operations through the accounts according to terms of the Agreement and the Regulations;
– несоблюдение правил и ограничений, связанных с владением и обращением отдельных видов ценных бумаг;	– non-observance of the rules and restrictions connected with ownership and business with certain types of securities;
– неисполнение или несоответствие действительности заявлений и гарантий, указанных в статье 5 Договора.	– non execution or discrepancy with the validity of representations and warranties specified in Clause 5 of the Agreement.
8.6. Депозитарий не несет ответственность за:	8.6. The Depository shall be responsible for:
– убытки, если они возникли вследствие умысла или грубой неосторожности Депозитария-депонента, в том числе, если Депозитарий обоснованно полагался на представленные депозитарием-депонентом подложные, недостоверные или недействительные документы, или документы по недействительным или незаключенным сделкам;	– for the losses if they incurred by intent or gross negligence of the Depository as Depositor losses, if the Depository trusted, on reasonable grounds, the forged, untrustworthy or null and void documents submitted by the Depository as Depositor, or documents on null and void or non-concluded transactions;
– неисполнение эмитентом, регистратором, другими лицами своих обязательств по обеспечению правильности и достоверности информации, передаваемой депозитарию-депоненту от Эмитента, регистратора, других лиц, а также от Депозитария-депонента – регистратору и другим лицам;	– issuer's, registrar's and other parties' failure to fulfill their obligations for assurance of accuracy and adequacy of information of the information submitted to the depository as depositor from Issuer, registrar, other parties as well as from the Depository as Depositor – to the registrar and other parties;
– неисполнение или ненадлежащее исполнение условий настоящего Договора, вызванное пред-	– non-fulfilment or improper fulfilment of the terms of this Agreement caused by provision by the Depos-

<p>ставлением Депозитарием-депонентом недостоверных данных, содержащихся в документах, поданных Депозитарием-депонентом при открытии счета депо в Депозитарии, при последующем изменении данных Депозитария-депонента, или несвоевременном уведомлении Депозитария об изменении таких данных;</p>	<p>ity as Depositor of untrustworthy information contained in the documents submitted by the Depository as Depositor when opening the securities account in the Depository, during subsequent alteration of information on Depository as Depositor or late notification of the Depository on alteration of such information;</p>
<p>– убытки, причиненные Депозитарию-депоненту действием/бездействием уполномоченных (назначенных) Депозитарием-депонентом лиц, Эмитента, другого депозитария, в случае, если Депозитарий стал депонентом другого депозитария на основании прямого письменного указания Депозитария-депонента, или регистратора, при условии соблюдения Депозитарием соответствующих положений настоящего Договора и Клиентским регламентом;</p>	<p>– damage caused to the Depository as Depositor by action / inaction based of persons authorized (appointed) by the Depository as Depositor, the Issuer, another depository, if the Depository became a depository of other depository on the basis of a direct written directive of the Depository as Depositor or registrar provided observance by the Depository of relevant provisions of this Agreement and Client’s regulations;</p>
<p>– несоблюдение Депозитарием-депонентом разрешительного порядка приобретения либо ограничений, связанных с владением и обращением отдельных видов или количества ценных бумаг, равно как и за непредоставление Депозитарием-депонентом сведений, уведомлений и отчетов, подлежащих направлению в уполномоченные органы (включая Федеральную антимонопольную службу РФ, Центральный банк РФ, Министерство финансов РФ и/или Федеральную налоговую службу РФ) в связи с владением ценными бумагами и/или совершением любых сделок или иных действий с ценными бумагами.</p>	<p>– non-observance by the Depository as Depositor of the authorization-based procedure to acquire or of the restrictions connected with possession and circulation of certain types or quantity of securities, along with the Depository’s as Depositor failure to provide information, notices and reports that are subject to submission to the authorized authorities (including Federal Anti-Monopoly Service of the Russian Federation, Central Bank of the Russian Federation, Ministry of Finance of Russian Federation and/or Federal Tax Service of Russia) in connection with the securities and/or execution of any transactions or other actions made in respect of the securities;</p>
<p>8.7. Депозитарий не несет ответственности по обязательствам Депозитария-депонента перед третьими лицами.</p>	<p>8.7. The Depository shall not be liable under obligations of the Depository as Depositor owed to third parties;</p>
<p>8.8. Депозитарий не отвечает за неисполнение или ненадлежащее исполнение своих обязательств по настоящему Договору, явившихся следствием нарушений его нормального функционирования, которые произошли вследствие сбоев оборудования и программного обеспечения, пожаров, аварий, стихийных бедствий, актов террора, диверсии и саботажа, забастовок, смены политического режима и других политических осложнений, изменения законодательства, решений законодательных и исполнительных органов власти, военных действий, массовых беспорядков и других непредвиденных и непредотвратимых при данных условиях обстоятельств, не контролируемых Депозитарием.</p>	<p>8.8. The Depository shall not be responsible for nonperformance or improper performance of its obligations under this Agreement arising from its malfunctioning resulting from equipment and software outages, fires, accidents, natural calamities, acts of terror, diversion and sabotage, strikes, changes in the political regime and other political complications, changes in legislation, decisions of the legislative and executive bodies, military action, civil disorders and other unforeseen and unavoidable circumstances beyond control of the Depository.</p>
<p>8.9. Стороны освобождаются от возмещения убытков, возникших вследствие неисполнения или ненадлежащего исполнения ими обязательств по настоящему Договору, если такое неисполнение/ненадлежащее исполнение стало следствием наступления обстоятельств непреодолимой силы (форс-мажор), возникших после заключения настоящего Договора и независящих от воли Сторон.</p>	<p>8.9. The Parties will be released from compensation for losses incurred from nonperformance or improper performance of its obligations under this Agreement should this nonperformance or improper performance be caused by the force majeure circumstances which arose after conclusion of this Agreement and were beyond the Parties' control.</p>
<p>8.10. Затронутая форс-мажорными обстоятельствами Сторона без промедления информирует другую сторону об этих обстоятельствах и об их возможных последствиях и принимает все воз-</p>	<p>8.10. The party affected by force majeure undertakes to advise immediately the other party of the commencement of the abovementioned circumstances and possible consequences thereof and shall take</p>

<p>возможные меры с целью максимально ограничить отрицательные последствия, вызванные указанными обстоятельствами. Сторона, затронутая форсмажорными обстоятельствами, обязана без промедления известить другую сторону о прекращении действия этих обстоятельств.</p>	<p>whatever actions are possible with the purpose to minimize the negative consequences incurred by the said circumstances. The party affected by force majeure undertakes to advise immediately the other party of the cessation of the abovementioned circumstances.</p>
<p>8.11. Депоненты – юридические лица (нерезиденты РФ) самостоятельно несут ответственность за своевременность и полноту предоставления Депозитарию сведений и заверений в Уведомлении о статусе фактического получателя дохода, а также надлежащим образом заверенных и переведенных на русский язык документов, подтверждающих наличие прав на доходы у Депонента или иного фактического получателя дохода, в том числе, но не ограничиваясь, ответственность за не применение Депозитарием в качестве налогового агента льготной налоговой ставки (применение положений соглашения об избежании двойного налогообложения, действующего между Российской Федерацией и государством налогового резидентства такого Депонента).</p>	<p>8.11. Depositors - legal entities (non – RF residents) shall be solely responsible for the timeliness and completeness of information and representations provided to the Depository in Notification of actual income recipient status and properly certified and translated documents, confirming eligibility of Depositor's or any other actual recipient's income rights, including, but not limited to, liability for non-application by the Depository as tax agent of the reduced rate contributions (applying provisions of the international agreement for avoiding double taxation in force between the Russian Federation and the State of residence of such Depositor).</p>
<p>8.12. В случае выявления неполноты, не достоверности, искажения каких-либо указанных в Уведомлении о статусе фактического получателя дохода сведений и заверений, вся ответственность возлагается на Депонента. В этом случае Депонент возмещает все понесенные убытки, включая, но не ограничиваясь, неустойки, штрафы, государственные пошлины, судебные расходы, а также суммы налоговых платежей и пени в сроки, установленные Договором для возмещения расходов. При этом Депонент обязуется безвозмездно участвовать в возможных судебных, административных и/или налоговых спорах, а также своевременно предоставлять необходимые разъяснения и документы по запросу Депозитария в ходе и при подготовке к таким спорам.</p>	<p>8.12. In case incompleteness, inadequateness, misrepresentation of any information and representations specified in the Notification of actual income recipient status is revealed, full responsibility shall rest exclusively with to the Depositor. In this case, the Depositor shall reimburse all damages, including, but not limited to, penalties, fines, government fees, court expenses, and the amounts of tax payments and penalties within the time limits set forth in the Agreement for reimbursement of expenses. In this case, the Depositor undertakes to participate free of charge in eventual court, administrative and/or tax disputes, as well as to provide necessary explanations and documents at the request of the Depository in the process and during preparation for such disputes.</p>
<p><b>9. КОНФИДЕНЦИАЛЬНОСТЬ ИНФОРМАЦИИ И МЕРЫ ЕЕ ЗАЩИТЫ</b></p>	<p><b>9. INFORMATION CONFIDENTIALITY AND MEASURES OF ITS PROTECTION</b></p>
<p>9.1. Депозитарий обеспечивает конфиденциальность информации (сведений) о Депонентах, Счетах депо, открытых в Депозитарии, включая информацию о производимых операциях по ним и иные сведения о Депонентах, ставшие известными Депозитарию в связи с осуществлением им депозитарной деятельности.</p>	<p>9.1. The Depository shall ensure confidentiality of the information (data) about Depositors and securities accounts opened in the Depository including information on operations executed thereon and other data on the Depositors, which it has come into possession of in connection with execution by it of custody activities.</p>
<p>9.2. Не является нарушением условий о конфиденциальности информации (сведений) ее разглашение следующим лицам:</p>	<p>9.2. Disclosure of information to the persons listed below shall not be considered as violation of Confidentiality of information (data):</p>
<p>– Депоненту;</p>	<p>– Depositor;</p>
<p>– Представителю;</p>	<p>– Representative;</p>
<p>– Попечителю счета (в случае заключения Попечительского договора между Депозитарием, Депонентом и Попечителем счета);</p>	<p>– Account Fiduciary (in case of conclusion of Securities Account Fiduciary Agreement between the Depository, Depositor and Account Fiduciary);</p>
<p>– лицам в соответствии с федеральными законами;</p>	<p>– persons according the federal laws;</p>
<p>– лицам по письменному указанию Депонента;</p>	<p>– persons following Depositor's written direction;</p>



– Эмитенту, если это необходимо для исполнения им обязанностей, предусмотренных федеральными законами;	– Issuer, if so required for its execution of obligations provided for by the federal laws;
– лицам, получившим доступ к информации (персональным данным) и ее обработке на основании согласия на осуществление такой обработки;	– persons, who received access to information (personal data) and its processing basing on the consent for such processing;
– налоговому агенту в соответствии с законодательством Российской Федерации;	– withholding agent in accordance with the legislation of the Russian Federation
– лицу, в пользу которого зафиксировано (зарегистрировано) обременение ценных бумаг;	– person in whose favor encumbrance of securities is recorded (registered);
– лицу, с которым Депонента заключен брокерский (агентский, иной аналогичный) договор, и которое заключило с ООО «ИК «ФИНПРОИНВЕСТ» договор на брокерское обслуживание (субброкер), в целях проведения взаимных сверок по сделкам и операциям, совершаемым через субброкера;	– person with whom the Depositor concluded a broker (agency, other similar) agreement, and who has concluded a broker (subbroker) service agreement with "IC "FINPROINVEST" LLC for the purpose of carrying out mutual reconciliations on transactions and operations completed through the subbroker;
– структурным подразделениям ООО «ИК «ФИНПРОИНВЕСТ», к функциям которых отнесено осуществление брокерской деятельности на основании лицензии на осуществление брокерской деятельности, и ведение внутреннего учета.	– structural subdivisions of "IC "FINPROINVEST" LLC to functions whereof performance of broker activity is attributed on the basis of a license for broker activities and internal accounting.
9.3. Не является нарушением условий конфиденциальности раскрытие Депозитарием конфиденциальной информации третьим лицам, связанное с исполнением Депозитарием своих обязанностей по Договорам, если такое исполнение производится в соответствии с их положениями и настоящим Договором.	9.3. Disclosure to third parties of confidential information relating to performance by the Depository of its obligations under the Agreements shall not be considered as violation of Confidentiality of information (data) if such disclosure is made in accordance with their provisions and this Agreement.
9.4. В случае разглашения Конфиденциальной информации одной из сторон по Договору лицам, не указанные в настоящем Договоре, а также в случаях, не предусмотренных законодательством Российской Федерации, сторона, чьи права при этом были нарушены, вправе потребовать от другой стороны возмещения причиненных ей убытков в порядке, установленном законодательством Российской Федерации.	9.4. In case of disclosure of Confidential Information by one of the parties under the Agreement to persons not specified in this Agreement, as well as in cases not provided for by the legislation of the Russian Federation, the aggrieved party whose rights have been adversely affected shall have the right to claim from the other party recovery of losses caused to it in accordance with the procedure established by the legislation of the Russian Federation.
<b>10. ПОРЯДОК РАЗРЕШЕНИЯ СПОРОВ</b>	<b>10. DISPUTE SETTLEMENT PROCEDURE</b>
10.1. Все споры, возникающие между Сторонами Договора, подлежат урегулированию путем переговоров Сторон между собой.	10.1. All disputes arising between the Parties to the Agreement shall be settled through negotiations between the Parties.
10.2. В случае невозможности урегулирования споров путем проведения переговоров между Сторонами, спор передается на разрешение в соответствии с действующим законодательством Российской Федерации в Арбитражный суд Белгородской области.	10.2. In the case of impossibility for dispute resolution through negotiations between the Parties, disputes shall be submitted for consideration in accordance with the effective legislation of the Russian Federation in the Arbitration Court of Belgorodskaya oblast.
<b>11. ПОРЯДОК РАССМОТРЕНИЯ ОБРАЩЕНИЙ ДЕПОЗИТАРИЕВ –ДЕПОНЕНТОВ</b>	<b>11. PROCEDURE OF CONSIDERATION OF DEPOSITORS' APPEALS</b>
11.1. Спорные вопросы между Депозитарием и Депозитарием-Депонентом (далее совместно – «Стороны»), не решенные путем переговоров, подлежат рассмотрению в претензионном порядке. Претензии, заявления, обращения, жалобы – далее по тексту «обращения», направляются Сторонами друг другу в порядке, предусмотренном Регламентом для направления письменных уве-	11.1. Disputes between the Depository and the Depository as Depositor (collectively referred to as the "Parties") not resolved by negotiation shall be subject to consideration using the complaint procedure. Claims, representations, appeals, complaints - hereinafter referred to as "appeals," shall be sent by the Parties to each other in the manner provided for in the Regulations for sending written notices or communi-

<p>домлений или сообщений. При этом для отправки по почте используется адрес Клиента, указанный в Анкете Клиента и почтовый адрес Депозитария, указанный в п. 1.24. Регламента.</p> <p>Все обращения, поступившие в Депозитарий, подлежат обязательной регистрации в общем журнале регистрации входящих документов Депозитария.</p>	<p>cations. In this case for sending by mail the address of the Client specified in the Client's Questionnaire and the postal address of the Depository specified in p. 1.24 of the Regulations shall be used.</p> <p>All appeals received in the Depository shall be subject to mandatory registration in the general register of incoming documents of the Depository.</p>
<p>11.2. Обращения рассматриваются Депозитарием в срок, не превышающий 30 (тридцати) календарных дней со дня поступления, а не требующие дополнительного изучения и проверки - не превышающий 15 (пятнадцати) календарных дней, если иной срок не установлен действующим законодательством РФ. Депозитарий вправе запросить у Депонента предоставления дополнительных документов, при этом срок рассмотрения обращения увеличивается на время предоставления данных документов.</p>	<p>11.2. The appeals shall be considered and processed within a period not exceeding 30 (thirty) days or, if they do not require any extra investigation and verification, - not exceeding 15 (fifteen) calendar days of their receipt unless otherwise prescribed by the applicable RF laws. The Depository shall have the right to request from the Depositor provision of additional documents, in this case the period of consideration of the appeal shall be extended for the time required for submission of these documents.</p>
<p>11.3. Обращения рассматриваются Депонентом в срок, не превышающий 15 (пятнадцать) календарных дней со дня получения.</p>	<p>11.3. The appeals shall be considered by the Depositor within the time not exceeding 15 (fifteen) calendar days of their receipt.</p>
<p>11.4. Обращения, не содержащие сведений о наименовании (фамилии) или местонахождении (адресе) обратившегося лица (далее – Заявителя), признаются анонимными и не рассматриваются, за исключением случаев, когда заявитель является (являлся) Депонентом - физическим лицом и ему Депозитарием был присвоен идентификатор, на который Заявитель ссылается в обращении (при наличии в обращении подписи обратившегося лица).</p>	<p>11.4. The appeals that do not contain information of the business name (surname) or location (address) of the person who submitted the appeal (hereinafter referred to as the Applicant) shall be considered anonymous and shall not be subject to consideration, unless the applicant is (or was) a Depositor-individual and the identifier was assigned to him by the Depository, which the Applicant refers to in the appeal (provided the appeal includes the signature of the person who submitted the appeal).</p>
<p>11.5. Обращения могут быть оставлены без рассмотрения, если повторное обращение, не содержит новых данных, а все изложенные в них доводы ранее полно и объективно рассматривались, и Заявителю был дан ответ. Одновременно Заявителю направляется извещение об оставлении обращения без рассмотрения со ссылкой на ответ, предоставленный ранее.</p>	<p>11.5. Appeals may be left without consideration in cases where a repeated complaint or request (application) contains no new details, and all previously stated arguments has already been fully and fairly investigated and results replied to the applicant. At the same time, the applicant shall be mailed a notice of abandonment of the appeal with reference to the previously given reply.</p>
<p>11.6. Ответ на обращение подписывает лицо, исполняющее обязанности руководителя ООО «ИК «ФИНПРОИНВЕСТ», или Контролер - работник, состоящей в штате ООО «ИК «ФИНПРОИНВЕСТ», ответственный за осуществление внутреннего контроля (или руководитель службы внутреннего контроля в случае создания ООО «ИК «ФИНПРОИНВЕСТ», службы внутреннего контроля).</p>	<p>11.6. The reply to the appeal is signed by the person who is in an acting capacity of the senior officer of "IC" FINPROINVEST" LLC or the Controller - the employee who is in the staff of " IC " FINPROINVEST" LLC responsible for the implementation of internal control (or the chief officer of the internal control service (or in case of establishment of "IC" FINPROINVEST" LLC in the staff of internal control service).</p>
<p>11.7. Споры, не решенные Сторонами в претензионном порядке, подлежат урегулированию в соответствующем суде по месту нахождения Депозитария.</p>	<p>11.7. Disputes not resolved by the Parties using the complaint procedure shall be subject to adjustment in the court of competent jurisdiction at the Depositor's home court.</p>
<p><b>12. ПРОЧИЕ ПОЛОЖЕНИЯ</b></p>	<p><b>12. OTHER PROVISIONS</b></p>
<p>12.1. Неотъемлемой составной частью Договора является Регламент. Сроки проведения депозитарных операций, формы и периодичность отчетности Депозитария перед Депозитарием-депонентом, а также порядок передачи Сторонами информации устанавливается Клиентским ре-</p>	<p>12.1. The Regulations shall make an integral part of the Agreement. Terms for the execution of Depository Operations, forms and frequency of reports to be submitted by the Depository to the Depositor, as well as procedure of submission of information by the Parties, are determined by the Client's Regulations.</p>

гламентом.	
12.2. Депонент не вправе передавать или иным образом уступать свои права, обязательства или требования по настоящему договору без письменного согласия на это Депозитария.	12.2. The Depositor may not transfer or otherwise assign its rights, obligations or claims under this Agreement without written consent of the Depository thereto.
12.3. Депонент получил от Депозитария всю необходимую информацию в соответствии с Федеральным законом «О защите прав и законных интересов инвесторов на рынке ценных бумаг», другими правовыми актами, ознакомлен и согласен с документами, являющимися неотъемлемой частью настоящего Договора (в том числе Клиентским регламентом (в частности с тарифами)). Факт ознакомления с указанными документами, их понимания и принятия Сторонами в качестве неотъемлемой части настоящего Договора подтверждается подписанием настоящего Договора.	12.3. The Depositor received from the Depository all necessary information in accordance with the Federal Law " On protection of rights and legitimate interests of investors at securities market" other legal acts, acknowledged and accepted the documents that are an integral part of this Agreement (including the Client Regulations (including without limitations the tariffs)). The fact of familiarization with the above documents, understanding and acceptance thereof as an integral part of this Agreement by the Parties is confirmed by signing this Agreement.
12.4. Все изменения и дополнения к тексту настоящего Договора оформляются путем заключения дополнительных соглашений в письменном виде, которые вступают в силу с момента их подписания обеими Сторонами и являются неотъемлемой частью настоящего Договора.	12.4. All amendments and supplements to the text of this Agreement shall be formalized through conclusion of additional agreements in written form, which shall enter into force from the moment of their signing by both Parties and be an integral part of this Agreement.
12.5. Заключение Договора не влечет возникновения у Депозитария-депонента обязательства немедленного депонирования ценных бумаг и/или иностранных финансовых инструментов.	12.5. Conclusion of the Agreement does not entail the obligation of the Depository as Depositor to immediately deposit securities and/or foreign financial instruments.
12.6. Договор составлен в двух экземплярах, по одному каждой из сторон. Оба экземпляра имеют одинаковую юридическую силу.	12.6. This Agreement is executed in two counterparts, one counterpart for each Party. Both counterparts have equal legal effect.
12.7. В случаях, не урегулированных Договором, Стороны руководствуются действующим законодательством Российской Федерации.	12.7. To the extent not regulated by this Agreement, the Parties shall be governed by the applicable laws of the Russian Federation.
12.8. Неотъемлемой частью Договора являются Регламент (Приложение № 1 к Договору), Тарифы на услуги Депозитария (Приложение № 2 к Договору).	12.8. An integral part of the Agreement shall be the Regulations (Annex 1 to the Agreement), the Tariffs for Services of the Depository (Annex 2 to the Agreement).
<b>13. СРОК ДЕЙСТВИЯ ДОГОВОРА</b>	<b>13. DURATION OF THE AGREEMENT</b>
13.1. Настоящий Договор вступает в силу с момента его подписания Сторонами и заключен на неопределенный срок.	13.1. This Agreement shall come into force from the moment of signing thereof by both Parties and shall be concluded for indefinite period.
13.2. Настоящий Договор может быть расторгнут по желанию любой из Сторон. Сторона, желающая расторгнуть настоящий Договор, письменно уведомляет об этом другую Сторону не позднее, чем за 30 (Тридцать) календарных дней до расторжения Договора.	13.2. This Agreement may be terminated at a wish of either party. The terminating Party shall notify the other Party in writing no less than 30 (thirty) calendar days before the anticipated date of termination of the Agreement.
13.3. Расторжение настоящего Договора не влечет прекращения неисполненных Сторонами обязательств по Договору: такие обязательства сохраняются до полного и надлежащего их исполнения и завершения всех расчетов между Сторонами.	13.3. Termination of this Agreement shall not result in termination of outstanding obligations under the Agreement: such obligations shall continue until their full and proper performance and completion of all settlements between the Parties.
13.4. В срок до даты расторжения Договора обе Стороны должны предпринять все необходимые действия для зачисления именных ценных бумаг Депозитария-депонента на лицевые счета Депозитария-депонента в реестрах владельцев именных ценных бумаг либо зачисление ценных бумаг Депозитария-депонента в другой депозитарий, ука-	13.4. Within the time prior to the date of termination of the Agreement the Parties shall undertake all necessary actions to credit the Depository's as Depositor registered securities with the Depository's as Depositor personal accounts in the share registers or crediting the Depository's as Depositor registered securities with another depository specified by the Depositor.

занный Депозитарием-депонентом.	tory as Depositor.
<p>13.5. В случае необходимости осуществления некоторых депозитарных операций после расторжения соответствующего Договора (выплаты доходов по ценным бумагам, формирования отчетов о совершенных депозитарных операциях и т.д.), стороны руководствуются положениями Регламента и Договора, в соответствии с тарифами на услуги Депозитария, действующими на дату совершения соответствующей депозитарной операции. В указанном случае Депозитарий вправе не совершать соответствующую Депозитарную операцию до поступления от Депонента предварительной оплаты услуг, в соответствии с выставленным Депозитарием счетом.</p> <p>Если иное не оговорено распоряжением бывшего Депонента, перечисление доходов и отправка корреспонденции в его адрес производится по реквизитам, указанным в Анкете или Заявлении Депонента о перечислении дохода и иных выплат (если иное не предусмотрено в соглашении Депозитария и Депонента), имеющимся в Депозитарии на момент расторжения соответствующего Договора.</p>	<p>13.5. Where required to perform certain depository operations after termination of the respective Agreement (payment of income on securities, preparation of reports on performed depository transactions, etc.), the parties shall be guided by provisions of the Regulation and the Agreement, in accordance with the tariffs for the services of the Depository in force on the date of the respective depository transaction. In case referred to above, the Depository shall be entitled not to perform the relevant Depository operation before receipt of advance payment of services from the Depositor in accordance with the invoice issued by the Depository.</p> <p>Unless otherwise specified by the executive order of the former Depositor, transfer of income and dispatching of office mail to his address shall be made according to the details specified in the Questionnaire or Depositor's Application for transfer of income and other payments (unless otherwise provided in the agreement between the Depository and the Depositor) available at the Depository at the time of termination of the relevant Agreement.</p>
13.6. Все расходы, связанные со снятием с учета в Депозитарии прав на ценные бумаги Депозитария-депонента, относятся на Депозитария-депонента.	13.6. All expenses related to removal from the register in the Depository of the Depositor's rights to securities shall be borne by the Depositor.
13.7. Каждая из Сторон вправе расторгнуть Договор в одностороннем порядке без объяснения причин расторжения с соблюдением порядка, установленного Регламентом.	13.7. Each of the Parties shall have the right to terminate the Agreement unilaterally without explaining the reasons for termination in compliance with the procedure established by the Regulations.

#### 14. РЕКВИЗИТЫ И ПОДПИСИ СТОРОН

#### 14. BANK REQUISITES AND SIGNATURES OF THE PARTIES

**Депозитарий/Depository:** ООО «ИК «ФИНПРОИНВЕСТ»/ "IC "FINPROINVEST" LLC  
ОГРН/OGRN 1153123021006 ИНН/INN 3128110570 КПП/KPP 312801001

**Адрес местонахождения/Location Address:** 309511, Белгородская область, г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1 / 49А Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

**Почтовый адрес:** 309511, Белгородская область, г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1/ 49А Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

**Телефон/факс /Telephone /fax:** (4725) 40-64-90, 919-220-15-94

**Банковские реквизиты/Bank details:** п/с/settlement account 40702810707000003391 в Отделении № 8592 Сбербанка России г. Белгород/with Branch 8592 of Sberbank of Russia, к/с/corr. acc. 30101810100000000633, БИК/BIK 041403633

**Адрес электронной почты/e-mail address:** *depo@finproinvest.ru*

**Депонент (физическое лицо)/Depositor (an individual):**

**Дата рождения/Date of birth:** \_\_\_\_ . \_\_\_\_ . \_\_\_\_ г.

**Паспорт/Passport:** серия/series \_\_\_\_ номер/number \_\_\_\_\_, выдан/issued

\_\_\_\_\_, дата выдачи/issue date \_\_\_\_ . \_\_\_\_ . \_\_\_\_ г., код подразделения/subdivision code \_\_\_\_\_

**ИНН/INN** \_\_\_\_\_

**Место жительства (регистрации)/Residence (registration)address:**

**Почтовый адрес/Mailing address:**

**ДЕПОЗИТАРИЙ / DEPOZITORY**

**Депозитарий ООО "ИК "ФИНПРОИНВЕСТ" / Depository of "IC "FINPROINVEST"**

Лицензия № / License no. 014-14060-000100

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Issued by the Central Bank of the Russian Federation, issue date: 03.05.2018

Фактический адрес Белгородская обл., г. Старый Оскол, мкр Олимпийский, дом 49А, этаж 2, офис 1

Actual address: 49A Olympysky microdistrict, floor 2, office 1, Stary Oskol, Belgorodskaya oblast

Телефон/факс// Telephone /fax:: (4725) 461542

**УВЕДОМЛЕНИЕ О СТАТУСЕ ФАКТИЧЕСКОГО ПОЛУЧАТЕЛЯ ДОХОДА  
NOTIFICATION ON STATUS OF AN ACTUAL INCOME RECIPIENT**

**заполняется впервые/filled  
for the first time**

**подтверждение  
информации/confirmation of  
information**

**изменение данных/ for the  
purpose to amend rendered infor-  
mation**

**Сведения о Клиенте**

**Client details**

ФИО/Полное наименование на русском языке (с указанием организационно-правовой формы) / Last, first and middle names/ /full corporate name in Russian (with indication of legal organizational form):

Полное наименование на иностранном языке/

Complete company name in foreign language:

Данные документа, удостоверяющего личность/ In-  
formation regarding identity document:

КИО (код иностранной организации) (при наличии) /

FCC (code of foreign organization) (if available):

Гражданство/Налоговое резидентство/ Na-  
tionality /tax residency

ОГРН/Регистрационный  
номер/OGRN/Registration number:

ИНН/  
TIN

Договор/  
Agreement:

Инвестиционный счет/Счет  
депо/Investment account/Securities ac-  
count:

Адрес регистрации/Место государ-  
ственной регистрации/Registration  
address/State registration address:

Дата рождения/Дата регистрации/  
Birth date/Registration date:

**РАЗДЕЛ 1. ПОДТВЕРЖДЕНИЕ / SECTION 1. CONFIRMATION**

Подтверждает ли Клиент фактическое право на получение дохода (является Фактическим получателем дохода), право на распоряжение указанным доходом и отсутствие каких-либо обязательств по его передаче иным лицам на основании договорных или любых других взаимоотношений?<sup>1</sup> /Does the Client confirm the actual income right (is an actual income recipient), the right to dispose of the said income and that there have been no obligations of any kind to the third parties for its transfer basing on contractual or other relationships?<sup>1</sup>

Да. В случае ответа ДА, пожалуйста, перейдите к РАЗДЕЛУ 3. / YES. In the case of "YES" response, please go over to SECTION 3.

Нет. В случае ответа НЕТ, пожалуйста, перейдите к РАЗДЕЛУ 2. /NO. In the case of "NO" response, please go over to SECTION 2.

**РАЗДЕЛ 2. ИНФОРМАЦИЯ О ФАКТИЧЕСКОМ ПОЛУЧАТЕЛЕ ДОХОДА/ SECTION 2. INFORMATION ON ACTUAL INCOME RECIPIENT**

№	Ф.И.О/Наименование организации <sup>2</sup> Last, first and middle names/ Corporate name <sup>2</sup>	Сведения о документе, удостоверяющем личность/номер и дата регистрационного документа, орган, выдавший его Information regarding identity document/ № and date of registration document, issuing authority.	Адрес регистрации и фактический адрес Place of registration and place of location	Гражданство/Юрисдикция <sup>3</sup> Nationality / Jurisdiction	Государство налогового резидентства <sup>4</sup> State of tax residence	Основание для признания фактическим получателем дохода <sup>5</sup> (указать все) Grounds of adoption as actual income recipient (specify all )
1						
2						
3						

В случае, если данное уведомление заполняется впервые или заполняется в целях изменения данных, на каждое указанное в настоящем разделе лицо должно быть представлено «Заверение о фактическом праве на доход» по форме приложения к Регламенту, а также комплект документов, подтверждающих наличие фактического права на доход/ In case the present Notification is filled for the first time or is filled for the purpose to amend rendered information, for every specified in the present section person should be provided a Representation of actual income rights as well as set of documents evidencing the presence of actual income rights.

Пожалуйста, перейдите к РАЗДЕЛУ 5./Please go to SECTION 5.

**РАЗДЕЛ 3.** Претендует ли Клиент на получение льготной налоговой ставки и применение положений соглашения об избежании двойного налогообложения, действующего между Российской Федерацией и государством налогового резидентства в \_\_\_\_\_ году?/ Does the Client claim to get reduced rate contributions and to apply provisions of double taxation convention executed between Russian Federation and country of tax residence in \_\_\_\_\_ year.

- Да. В случае ответа ДА, пожалуйста, перейдите к РАЗДЕЛУ 4./ YES. In the case of “YES” response, please go over to SECTION 4.
- Нет. В случае ответа НЕТ, пожалуйста, перейдите к РАЗДЕЛУ 5./ NO. In the case of “NO” response, please go over to SECTION 5.

В случае, если данное уведомление заполняется впервые или заполняется в целях изменения данных, Клиент обязан предоставить комплект документов, подтверждающих наличие фактического права на доход<sup>6</sup>./ In case the present Notification is filled for the first time or is filled for the purpose to amend rendered information, the Client has to provide set of documents evidencing the actual income right<sup>6</sup>.

**РАЗДЕЛ 4.** Настоящим Клиент подтверждает свою осведомленность о том, что в соответствии с НК РФ обязан предоставить документы (информацию), подтверждающие фактическое право на доход, перед каждой выплатой дохода. Клиент соглашается с тем, что в случае не предоставления или ненадлежащего предоставления (неполной информации, хотя бы одного должным образом не заверенного или не переведенного на русский язык документа) перед очередной выплатой дохода – льготная налоговая ставка (соглашение об избежании двойного налогообложения) применена не будет. /

**SECTION 4.** Herewith the Client confirms his actual knowledge that under the Russian Tax Code he is to provide documents (information) evidencing the actual income right before each payment of income. The Client accepts that in case of failure to provide information or improper information (incorrect information, even one duly uncertified or untranslated into Russian document) before the next payment of income - reduced rate contribution (double taxation convention) would not be applied.

Настоящим Клиент подтверждает свою осведомленность о том, что информация о корпоративных действиях (выплатах доходов по ценным бумагам) в целях определения срока предоставления документов, размещается на официальном сайте ООО «ИК «ФИНПРОИНВЕСТ».

Herewith the Client confirms his actual knowledge that the information regarding corporate actions (including securities income payments) for the purpose of definition of documents provision terms, can be found on official site of IC “FINPROINVEST” LLC.

**РАЗДЕЛ 5.** Настоящим Клиент подтверждает свою осведомленность о том, что в случае, если указанные в настоящем уведомлении данные или уверенность в их достоверности изменятся, у Клиента возникает обязанность предоставить новое Уведомление о статусе фактического получателя дохода./

**SECTION 5.** Herewith the Client confirms his actual knowledge that in case of any amendments in documents provided in the present Notification as well as in confidence of its reliability, the Client is to provide new Notification of actual income recipient status.

Настоящим Клиент подтверждает, что все термины и понятия, используемые в настоящем уведомлении, им изучены и понятны. Клиент осведомлен и согласен с тем, что в случае выявления неполноты, не достоверности, искажения каких-либо указанных в настоящем уведомлении сведений и заверений, вся ответственность возлагается на Клиента. В этом случае Клиент обязуется возместить Брокеру все понесенные убытки, включая, но не ограничиваясь, неустойки, штрафы, государственные пошлины, судебные расходы, а также суммы налоговых платежей и пени в сроки, установленные Регламентом для возмещения расходов. При этом Клиент обязуется безвозмездно участвовать в возможных судебных, административных и/или налоговых спорах, а также своевременно предоставлять необходимые разъяснения и документы по запросу Брокера в ходе и при подготовке к таким спорам. /

Herewith the Client confirms that all notions and terms used in the present Notification are gained insight on. The Client is informed and agrees that in case any deficiency, misrepresentation or miscommunication of information declared in the present Notification of actual income recipient status, Representations of actual income rights and other documents provided by non-resident Client are revealed all responsibility is to be laid on the Client. In that case non-resident Client must compensate Broker for all losses incurred, including but unlimited, penalties, fines, state duties, court fees as well as tax payments and penalties in compensation terms set by the Statement. Provided that the Client is obliged to participate free in potential judicial, administrative and/or tax disputes as well as timely provide all necessary explanations and documents on Broker's demand in the course and as part of preparation for such disputes.

**Приложения<sup>7</sup>**  
**/Annexes<sup>7</sup>:**

Дата/Date: \_\_\_\_\_ Подпись/Signature: \_\_\_\_\_

Должность/  
Position: \_\_\_\_\_ ФИО/ Last, first and  
middle names: \_\_\_\_\_

М.П.

**СЛУЖЕБНЫЕ ОТМЕТКИ/ FOR OFFICE USE ONLY**

Принято/Accepted:

Дата/Date	Должность/Position	ФИО сотрудника/ Officer's last, first and middle names	Подпись сотрудника/Officer's signature

<sup>1</sup> Лицом, имеющим фактическое право на доходы, признается лицо, которое в силу прямого и (или) косвенного участия в организации, либо контроля над организацией, либо в силу иных обстоятельств имеет право самостоятельно пользоваться и (или) распоряжаться этим доходом, либо лицо, в интересах которого иное лицо правомочно распоряжаться таким доходом. При определении лица, имеющего фактическое право на доходы, учитываются функции, выполняемые лицами, а также принимаемые ими риски (статья 7 НК РФ).

Лицо признается имеющим фактическое право на получение дохода, если такое лицо является непосредственным выгодоприобретателем такого дохода, то есть лицом, которое фактически получает выгоду от выплачиваемого дохода и определяет его дальнейшую экономическую судьбу. При определении фактического права на получение дохода учитываются выполняемые функции, имеющиеся полномочия и принимаемые риски лица, претендующего на применение положений международного договора Российской Федерации, в отношении выплачиваемого дохода (статья 312 НК РФ).

An actual income recipient is considered to be an individual that under direct and (or) indirect participation in the Company or control over the Company or due to other circumstances is entitled to use and (or) independently dispose such income or an individual in whose interests another individual has legal capacity to dispose such income. In determination of actual income recipient functions performed by individuals as well as accepted risks are to be taken into consideration (Article 7 of the Tax Code of Russian Federation).

An individual is considered to be an actual income recipient if such an individual is a direct beneficiary of such income i.e. an individual actually receiving the profit from paid income and determining its further economic application. In determination of actual income recipient taken into consideration are fulfilled functions, powers possessed as well as accepted risks of an individual claiming the right to application of provisions of the international tax treaty with the Russian Federation regarding the paid income (clause 312 of Tax code of RF).

<sup>2</sup> В латинской и русской транскрипции.  
In Roman and Russian transliterations.

<sup>3</sup> С указанием всех стран, гражданином которых/к юрисдикции которых является/относится фактический получатель дохода.  
To indicate all countries of nationality/jurisdiction of actual income recipient.

<sup>4</sup> При наличии нескольких налоговых резидентств – также указываются реквизиты документа о принятом уполномоченными органами государств решении о налоговом статусе в рамках взаимосогласительной процедуры.  
In case of several tax residences it is necessary to indicate document details regarding the adopted by state authorized bodies resolution of tax position in the framework of the mutual agreement procedures.

<sup>5</sup> Доля владения (участия) в обществе, договор (с указанием его сути), основание права распоряжения (управления), основания ограничения в принятии всех рисков по сделкам, заключенным по договору, родственные связи, нормативно-правовые акты и так далее, копия паспорта, письменные заверения в отсутствии/либо подтверждение гражданства другого государства, документальное подтверждение налогового резидентства, выписка из ЕГРЮЛ (если юридическое лицо учреждено в соответствии с законодательством Российской Федерации), документ, подтверждающий, что иностранная организация имеет постоянное местонахождение в таком государстве (например: налоговый сертификат, сертификат о резидентстве и так далее), заверения и их документальное подтверждение (например: заверенная аудиторами финансовая отчетность организации с аудиторским пояснением к

ней) о том, что коммерческая деятельность такой организации осуществляется с использованием ее собственного квалифицированного персонала и активов в государстве (на территории) ее постоянного местонахождения.

The interest (stockholding) in the Company, the Contract (specifying its purpose), title of disposal (management), grounds for limitation in all risks-taking in transactions of concluded contracts, kinships, regulatory legal acts, etc., copy of passport, written representations of absent or confirmed nationality of other country, documentary confirmation of tax residence, extract from the Unified State Register of Legal Entities (in case the Legal Entity is incorporated according to the legislation of Russian Federation), document evidencing that foreign company has its Registered Office in such country (e.g. tax certificate, non-foreign certificate, etc.), representations and documentary confirmation (e.g. audited accounts of the Company with auditors notes) that business activity of the Company is carried by the aid of its own staff and assets in the host country (inside the territory).

- <sup>6</sup> Заверение о фактическом праве на доход, Финансовая отчетность (последняя, заверенная аудитором), Гарантийное письмо о месте нахождения и деятельности организации, Гарантийное письмо о предоставлении следующей отчетности.

Representation of actual income rights on form prescribed by the accounts of the Company (recent audited), letter of guarantee of the place of location and business of the Company, letter of guarantee of following accounts presentation.

- <sup>7</sup> Указываются все документы, поименованные в Разделе 2, с указанием количества листов каждого и формы предоставления (оригинал, заверенный нотариальный перевод, заверенная копия), сшивка единым пакетом всех документов не допускается

To indicate all documents listed in Section 2 specifying for each number of pages and presentation form (original, notarized translation, notarized copy). Stitching of all document as a single package is not permitted.