

I. Documents submitted by a resident legal entity

- 1) A questionnaire of the Clearing Participant (Client) (Registration Card) in hard-copy and electronic form.
- 2) A notarized copy of the Certificate of Entry in the USRLE issued by the authorized executive body which carries out state registration of legal entities, and confirming entry in the USRLE of state registration of a legal entity (or of a legal entity registered prior to July 1st, 2002).
- 3) Copies of constituent documents of a legal entity with any amendments and supplements marked of registration by the federal executive body authorized for state registration of legal entities. Such copies shall be certified by the federal executive body authorized for state registration of legal entities or notarized (such documents shall not be submitted by State Corporations).
- 4) An extract of the Unified State Register of Legal Entities (USRLE) effective as of the date of submission of documents and issued by the registration body not earlier than 30 days prior to submission of the extract of the Unified State Register of Legal Entities to the Clearing Centre, or a notarized copy of such extract.
- 5) A notarized copy of the Tax Registration Certificate.
- 6) A notarized copy of the information letter of assignment of statistics codes or a copy signed and sealed by the authorized representative of a legal entity.
- 7) Notarized copies of the licenses for licensed activities (if any).
- 8) The information form of the private individual - beneficiary owner in hard copy signed and sealed by the institution director or another authorized person (attached with a notarized copy of the power of attorney confirming authorities of the person for signing such information form) and in electronic form.¹
- 9) For the sole executive (hereinafter referred to as the Director):
 2. a notarized copy of the letter of territorial incorporation of the Bank of Russia with confirmation of agreement upon a Director candidate (for Credit Institutions only);
 3. notarized copy of the federal body letter confirming director candidates (for non-credit institutions);
 4. an original or a notarized copy of the resolution of the authorized body of a legal entity (a notarized extract of the resolution or an original extract signed by a person authorized for signing of such resolution may be submitted as well) of appointment of the sole executive;
 5. a copy of the identification document signed and sealed by the authorized representative of a legal entity, or a letter of a legal entity containing details of the identification document, date and place of birth, residence (registration) address or stay address;
 6. a copy of the Tax Registration Certificate (TIN) signed and sealed by the authorized representative of a legal entity, or a free-form letter with the TIN (if any).
- 10) In case of signing of the Contract of Clearing Services and (or) other documents in accordance with these Clearing Rules on behalf of a legal entity not by the sole executive, a legal entity shall provide the original power of attorney or its notarized copy, or a copy of the power of attorney, certified by its issuer, for such authorized representative. If the power of attorney contains powers for operations with funds or other assets, the following documents shall be submitted additionally:
 7. a copy of the identification document signed and sealed by the authorized representative of a legal entity, or a letter of a legal entity containing details of the identification

¹ Information on beneficiary owners shall not be provided in the cases listed in article 7 of the Federal Law as of 2001/08/07 No.115-FL "On Counteraction of Legitimization (Laundering) of Proceeds of Crime and Financing of Terrorism"

- document, date and place of birth, residence (registration) address or stay address;
8. a copy of the Tax Registration Certificate (TIN) signed and sealed by the authorized representative of a legal entity, or a free-form letter with the TIN (if any);
 - 11) A notarized copy of the signature and seal card of a legal entity.
 - 12) An original or a notarized copy of the resolution of the authorized body of a legal entity (a notarized extract of the resolution or an original extract signed by a person authorized for signing of such resolution may be submitted as well) of approval of any trades concluded with the Clearing Centre in accordance with the Clearing Rules, and the Contract of Clearing Services, if such trades/contract between such legal entity and the Clearing Centre are recognized as interested-party trades pursuant to the effective legislation, otherwise a legal entity shall submit the letter of absence of interest in such trades (contracts).
 - 13) Consent of the persons mentioned in the documents of a legal entity submitted by it to the Clearing Centre in conformity with the Clearing Rules for personal data processing according to the form placed on the Website of the Clearing Centre (if such documents contain any personal data of the subject of personal data in accordance with the Federal Law "On Personal Data" and unless otherwise provided for by the legislation).
 - 14) Other documents that may be requested by the Clearing Centre in necessary cases for any purposes not contradictory to the effective legislation of the Russian Federation.
 - 15) If a private individual, for whom it is required to submit a copy of the identification document signed and sealed by the authorized representative of a legal entity, is a foreign citizen (stateless person), the following documents shall be submitted additionally:
 9. a copy of the document signed and sealed by the authorized representative of a legal entity, which confirms the right of such foreign citizen (stateless person) for stay (residence) in the Russian Federation (residence permit, temporary residence permit, visa, other document confirming in accordance with the legislation of the Russian Federation the right of such foreign citizen or stateless person for stay (residence) in the Russian Federation);
 10. a copy of the migration card signed and sealed by the authorized representative of a legal entity;
 11. a letter containing the information on residence (registration) address or stay address (if such information is not contained in other documents submitted in accordance with this list).
 - 16) Reports listed in Appendix No.5 hereto:
 12. for Credit Institutions - for three last reporting months (except for the income and loss statement), the income and loss statement - for a last reporting quarterly date;
 13. for Non-Credit Institutions - for two last reporting quarters (except for calculation of own funds (capital)), calculation of own funds (capital) - for three last reporting dates;
 14. for Credit Institutions that are professional participants of the securities market - the quarterly report of the professional participant of the securities market (form No. 1100) for a last reporting quarter;
 15. for Credit Institutions that are not professional participants of the securities market - the actual list of affiliated persons (form 0409051) as of the date of document submission².

To identify any legal entity and its representatives that are private individuals and (or) beneficiaries, the Clearing Centre may, if necessary, request any additional documents (data) and require clarification of the information contained in early submitted documents.

The documents submitted by a legal entity shall be effective as of the date of their submission to the Clearing Centre.

Such submitted documents shall be accompanied with the cover letter containing the list of the documents submitted to the Clearing Centre, made using MS EXCEL add-in "List of Documents" placed on the Website of the Clearing Centre.

² As of the date of submission of the list of affiliated persons, any information contained in it shall comply with the latest actual information on affiliated persons provided to the Bank of Russia.

II. Documents submitted by a non-resident legal entity

- 1) A questionnaire of the Clearing Participant (Client) (Registration Card) in hard-copy and electronic form.
- 2) A questionnaire of the Non-Resident Bank (for Non-Resident Banks).
- 3) Effective editions of constituent documents and all amendments thereto.
- 4) A document confirming state registration of a legal entity.
- 5) A document confirming powers of directors of a legal entity or powers of attorney for authorized representatives.
- 6) For the persons authorized to act on behalf of a legal entity:
 16. copies of passports and other documents which, in accordance with the legislation of the Russian Federation, are identification documents and contain signatures of the persons authorized to act on behalf of a legal entity which are signed and sealed by the authorized representative of a legal entity;
 17. copies of the Tax Registration Certificates (TIN) signed and sealed by the authorized representative of a legal entity, or a free-form letter with the TIN (if any).
- 7) A document confirming tax registration of a legal entity in the Russian Federation (copy notarized or certified by a legal entity itself) (if any).
- 8) Consent of the persons mentioned in the documents of a legal entity, submitted by it to the Clearing Centre in conformity with the Clearing Rules, for personal data processing according to the form placed on the Website of the Clearing Centre (if such documents contain any personal data of the subject of personal data in accordance with the Federal Law "On Personal Data" and unless otherwise provided for by the legislation).
- 9) A duly executed special permission (license or other ground) issued by the authorized body of the state of a non-resident legal entity for activities which, under the national legislation of the state of a non-resident legal entity, are possible in case of existence of such special permission of the authorized body.
- 10) The information form of the private individual - beneficiary owner in hard copy signed and sealed by the institution director or another authorized person (attached with a notarized copy of the power of attorney confirming authorities of the person for signing such information form) and in electronic form³
- 11) If a private individual, for whom it is required to submit a copy of the identification document signed and sealed by the authorized representative of a legal entity, is a foreign citizen (stateless person), the following documents shall be submitted additionally:
 18. a copy of the document signed and sealed by the authorized representative of a legal entity, which confirms the right of such foreign citizen (stateless person) for stay (residence) in the Russian Federation (residence permit, temporary residence permit, visa, other document confirming, in accordance with the legislation of the Russian Federation, the right of such foreign citizen or stateless person for stay (residence) in the Russian Federation);
 19. a copy of the migration card signed and sealed by the authorized representative of a legal entity;
 20. a letter containing the information on residence (registration) address or stay address (if such information is not contained in other documents submitted in accordance with this list).

³ Information on beneficiary owners shall not be provided in the cases listed in article 7 of the Federal Law as of 2001/08/07 No.115-FL "On Counteraction of Legitimization (Laundering) of Proceeds of Crime and Financing of Terrorism"

Any documents (except for copies of passports) executed in the territory of foreign states shall be legalized or apostilled, unless otherwise provided for by the international treaties of the Russian Federation.

Any documents (except for copies of passports and documents containing signatures) executed in foreign language shall be translated into Russian. Translation correctness and translator's signature authenticity shall be notarized.

Any documents submitted by a legal entity shall be effective as of the date of their submission to the Clearing Centre.