



**Bank ICBC (Joint-Stock Company)  
(Bank ICBC (JSC))**

APPROVED  
by the Board of Management of  
Bank ICBC (JSC) (Minutes No. 1  
dated January 28, 2020)

## **TERMS AND CONDITIONS**

### **of Depository Activities of Bank ICBC (JSC)**

Moscow

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## Chapter 1. General Provisions

1.1. These 'Terms and Conditions of Depository Activities of Bank ICBC (JSC)' (hereinafter — the 'Terms and Conditions') are developed in accordance with the requirements of the Civil Code of the Russian Federation, Federal Law No. 39-Φ3 On Securities Market dated April 22, 1996 (hereinafter — the 'Federal Law on Securities Market'), Regulation of the Bank Russia No. 503-II On the Procedure for Opening and Maintaining Securities Accounts and Other Accounts by Depositories dated November 13, 2015, Regulation of the Bank of Russia No. 542-II On the Requirements for Carrying out Depository Activities in the Formation of Records on the Basis of the Documents Related to Depository Accounting and Documents Related to Accounting and Transfer of the Rights to Securities when Storing the Above Documents dated March 13, 2016, and other regulations of the Russian Federation, the Basic Standard for Performance of Depository Activities in the Financial Market (hereinafter the 'Basic Standard').

1.2. The English title of these Terms and Conditions is Terms and Conditions of Depository Activities of Bank ICBC (JSC).

1.3. Bank ICBC (JSC) concludes with customers depository agreements of one or more of the following types:

- Owner securities account agreement;
- Nominee securities account agreement;
- Foreign nominee securities account agreement;
- Depository program securities account agreement;
- Agreement for treasury securities account of the issuer (party liable on securities);
- Trustee securities account agreement;
- Foreign authorized securities account agreement.

These Terms and Conditions shall make an integral part of a depository agreement. In the text of these Terms and Conditions, Bank ICBC (JSC) shall also be referred to as the 'Depository.'

1.4. Bank ICBC (JSC) carries out its depository activity under professional securities market participant license for depository operations No. 045-13992-000100 issued by the Bank of Russia on August 18, 2016.

1.5. Bank ICBC (JSC) combines its depository operations with:

- 1) Brokerage activity under professional securities market participant license for carrying out brokerage activity No. 045-13990-100000 issued by the Bank of Russia on August 18, 2016;
- 2) Dealer activity under professional securities market participant license for dealer operations No. 045-13991-010000 issued by the Bank of Russia on August 18, 2016.

1.6. The following terms are used in these Terms and Conditions:

Depositor shall mean any person using the depository services of Bank ICBC (JSC) on storage of securities and/or accounting of rights to securities; a depository agreement shall be concluded between the Depositor and Bank ICBC (JSC);

correspondent depository shall mean a professional participant of the securities market carrying out depository activities as well as a foreign entity incorporated in the states specified in Subclauses 1 and 2 of Clause 2 of Article 51.1 of Federal Law No. 39-Φ3 On Securities Market dated April 22, 1996, acting on behalf of other persons if such entity may under its personal law perform accounting and transfer of rights to securities, in which entity relevant securities accounts are opened for Bank ICBC (JSC);

depository operation originator shall mean the Depositor, the issuer, the Depository, the registrar of security holders (hereinafter the 'registrar'), the correspondent depository where security certificates are kept and/or rights to securities of Depositors of the Depository are accounted, state authorities or their authorized persons, the Bank of Russia as well as the settlement depository, a clearing organization;

authorized representative shall mean an individual or a legal entity acting on behalf or at the expense of the customer that under the law, articles of association of the legal entity (any other document in accordance with the legislation regarding non-resident customers), agreement and/or power of attorney, certificate of an authorized state body or a local government authority provided to Bank ICBC (JSC) is entitled to sign documents originating execution of depository operations as well as carry out other activities provided for under the depository agreement with the Depositor, including by means of remote banking services technologies (including internet banking);

business day shall mean a day that is not recognized in accordance with the legislation of the Russian Federation as a day-off and/or a public holiday.

The remaining terms used in these Terms and Conditions are used in the meanings defined by the legislation or other regulations of the Russian Federation.

1.7. These Terms and Conditions are open and accessible to all parties concerned and are effective insofar as they do not contradict the current legislation of the Russian Federation.

1.8. Free access to the Terms and Conditions regardless of the purposes of obtaining such information shall be granted by Bank ICBC (JSC) by placement of the text of the Terms and Conditions on the official website of Bank ICBC (JSC) in the Internet information and telecommunication network (hereinafter the 'Internet') at <http://www.icbcmoscow.ru>.

1.9. Bank ICBC (JSC) may unilaterally make amendments and modifications to the Terms and Conditions. Bank ICBC (JSC) shall inform the Depositors of all modification and/or amendments at least three (3) days before they take effect by placement of the information on such modification and amendments and the new version of the Terms and Conditions on the official website of Bank ICBC (JSC) in the Internet at <http://www.icbcmoscow.ru>. The date of placement of the information on the Bank ICBC (JSC) website shall be deemed the notice date. The depositor shall obtain information from the Bank ICBC (JSC) website. The Depositor shall be liable for the timely receipt of the above information.

1.10. Notification of Depositors on meetings of shareholders and other corporate actions and events, including those connected with sending voluntary or mandatory offers to the securities owners, on cessation of issuer's operation (liquidation), on limitation of securities transfer operations, and on its revocation, transfer of other information and materials provided for under the federal laws and adopted through the regulations of the Bank of Russia in accordance with those laws shall be performed by Bank ICBC (JSC) by placement of this information on the official website of Bank ICBC (JSC) in the Internet at <http://www.icbcmoscow.ru> not later than on the business day following the date of obtaining such information and materials from the issuer, the registrar, the correspondent depository. The date of notification of Depositors and information transfer shall be the date of their placement on the official website of Bank ICBC (JSC) in the Internet.

Bank ICBC (JSC) shall be liable for timely placement of the above information and materials. The depositor shall independently inspect the respective communications and sections on the official website of Bank ICBC (JSC) in the Internet and, if necessary, transfer the received notices, materials, and information to its customer depositors. The Depositor shall

be liable for the receipt of the above notices, materials, and information. If inspection and obtaining by the Depositor the information placed on the official website of Bank ICBC (JSC) in the Internet are impossible, the Depositor may request the necessary information from Bank ICBC (JSC) by any means specified in the questionnaire submitted to the Depository.

Information about corporate actions and events, other information that is not intended for all Depositors shall not be placed on the official website of Bank ICBC (JSC) in the Internet and shall be directed by Bank ICBC (JSC) to the Depositors, for which it is intended, to the e-mails specified in the questionnaires provided to the Depository.

1.11. In case of Bank ICBC (JSC) obtains from a foreign company or foreign depository the information about a corporate action or corporate event in a foreign language, Bank ICBC (JSC) shall be entitled to direct this information to Depositors also in a foreign language.

1.12. Bank ICBC (JSC) shall not be liable for failure to notify and/or untimely notification of the Depositor of the upcoming corporate action of the issuer, if the issuer (its authorized representative, registrar or correspondent depository, with which Bank ICBC (JSC) has an opened securities account of the nominal holder) has failed to provide or has untimely provided such information. Bank ICBC (JSC) does not render services for completing the documents for participation of the Depositor in the corporate action. The Depositor or its authorized representative shall be liable for the accuracy and correctness of the content of the documents provided by the Depositor to participate in the corporate action.

1.13. Exchange of documents (orders, reports, other documents) between the Depositor and Bank ICBC (JSC) shall be performed in any of the below ways: by hand (via an authorized representative), by courier service, Russian Post, FSUE (hereinafter — the ‘courier services’ and ‘Russian Post, FSUE’), by e-mail, via the SWIFT communication channels, in any other manner provided for under the depository agreement. Correspondence exchange between the Depositor and the Depository via Russian Post, FSUE, shall be performed by registered mail with delivery notification.

1.14. Bank ICBC (JSC) may receive documents from registrars and correspondent depositories in electronic form (in form of electronic documents) on the basis of agreements concluded with them for the exchange of electronic documents.

1.15. Conclusion of depository agreements referred to in Clause 1.3. hereof does not result in transfer to Bank ICBC (JSC) of the title to the Depositor’s securities. Bank ICBC (JSC) may not dispose of the Depositor’s securities, administer them or perform any operations with them on behalf of the Depositor except under written instructions of the Depositor or its authorized representative unless otherwise provided for under the legislation of the Russian Federation and these Terms and Conditions.

1.16. Bank ICBC (JSC) may not make conclusion of a depository agreement with the Depositor conditional to the release of any right secured by any security surrendered to the Depository. Bank ICBC (JSC) shall be liable for the safety of the deposited securities certificates.

1.17. No recovery proceedings can be executed against the Depositor’s securities in Bank ICBC (JSC) under the liabilities of Bank ICBC (JSC).

1.18. The Depositor shall within five (5) business days from the date of such event provide Bank ICBC (JSC) with information on the modification (documents confirming the modifications) of its questionnaire details, payment details, constitutive and other documents that were submitted by the Depositor to Bank ICBC (JSC) earlier, information on modification (prolongation) of powers of the sole executive body of a legal entity and/or authorized

representatives, on reorganization or liquidation of a legal entity, documents confirming modification of the tax status, other information of material importance for proper fulfillment by Bank ICBC (JSC) of its obligations to the Depositor under the depository agreement. Copies of the documents submitted in order to confirm changes of data and documents submitted to Bank ICBC (JSC) at the conclusion of the Depository agreement, may be certified by the analogue of handwritten signature of the sole Executive body of the Depositor – a legal entity or his authorized representative and submitted to Bank ICBC (JSC) in electronic form (in the case of system of electronic document circulation between Bank ICBC (JSC) and the Depositor).

1.19. Bank ICBC (JSC) shall not be liable in the event of any losses suffered by the Depositor in the event of untimely provision of information by the Depositor or its authorized representative or unfairness of such information.

1.20. Bank ICBC (JSC) maintains securities accounts by making and storage the records on such accounts in relation to securities. Registration of rights to the following securities may be performed on securities accounts:

1) Registered stock placed by the Russian issuers (issued by the Russian legal entities ), as well as mortgages, the rights to which may be registered by depositories on securities accounts under the federal laws;

2) Bearer securities subject to mandatory deposit;

3) Foreign financial instruments qualified as securities under Article 44 of the Federal Law On Securities Market, the rights to which may be registered, under the personal law of the person liable on such financial instruments, on accounts opened with the organizations performing registration of rights to securities.

1.21. Bank ICBC (JSC) registers rights to securities for qualified investors in accordance with the legislation of the Russian Federation as well as to securities, which are marketed subject to requirements and restrictions set by the legislation of the Russian Federation for trading in securities intended for qualified investors.

1.22. Operating day of the Depository of Bank ICBC (JSC) is an operating and accounting cycle for the respective calendar day during which all securities account operations for the said calendar date are performed. Upon the expiry of the operating day, the Depository shall not perform any operations at the respective calendar date that could change the number of securities on the securities accounts except for the operations that can be performed at the calendar date of the expired calendar day in accordance with the legislation of the Russian Federation. Information on the operating day of the Depository shall be placed on the official website of Bank ICBC (JSC) in the Internet at <http://www.icbcmoscow.ru>.

## **Chapter 2.       Depository Services**

2.1. For the purposes of proper execution of the securities holders' rights with regard to the securities held by them, Bank ICBC (JSC) in accordance with the procedure stipulated by the depository agreement with the depositor, renders the following depository services:

1) opening and maintenance of the Depositor's separate securities account, any other account with indication of the date and basis for each operation on the account;

2) registration of encumbrances of the Depositor's securities under obligations;

3) delivery to the Depositor of all information on the securities, other financial instruments received by Bank ICBC (JSC) from the issuer, registrar, another correspondent depository;

4) assistance to Depositors in exercising their right to the securities, including the right to participate in the management of joint-stock companies, to receive dividends, profit, and other payments on the securities.

2.2. Bank ICBC (JSC) renders the following associated services related to the depository activities:

1) On behalf of the Depositor, representation of its interests at the general meetings of shareholders;

2) Provision to Depositors of information on securities declared invalid and/or stolen, traced or otherwise included in stopping-lists by their issuers, law-enforcement authorities or regulatory authorities in the securities market;

3) Monitoring of corporate activities of the issuer, informing the Depositor of such activities and possible adverse consequences;

4) Provision to Depositors of information on the issuers the Depository possesses, including the information on their financial standing;

5) Provision to Depositors of information about the securities and about the state of the securities market;

6) Valuation of the securities of the Depositor stored in the Depository;

7) Rendering other services connected to maintenance of the Depositors' securities accounts and assistance in exercising rights to securities, which are not forbidden under the federal laws and other regulations of the Russian Federation.

### **Chapter 3. Methods and principles of securities accounting**

3.1. The Depository shall account for the Depositors' securities in various ways:

using an open method;

using a marked method;

using a closed method.

The Depository may apply any of the aforesaid methods for accounting of rights to securities unless the use of any particular method is mandatory under the applicable legislation.

When the open method for accounting of rights to securities is used, the Depository shall perform depository operations only in respect of a determined number of securities in the Depositor's securities account without specifying individual characteristics of any certificated securities or identifications of any non-certificated securities or any signs of their belonging to a group.

When the marked method of accounting of rights to securities is used, the Depositor performs operations in respect of a securities group, for which both the number of securities and the characteristics of the group, which includes these securities, is specified. Securities groups are formed by securities issuers (persons liable on securities).

When the closed method of registration of rights to securities is used, the Depository shall perform depository operations in respect of any particular security in the Depositor's security account possessing any identifications specified in the Basis Standard or its individual characteristics. The Depository shall store the information on any individual characteristics of a certificated security registered using the closed method.

3.2. The securities are accounted in pieces. For the purpose of depository accounting, one security (one piece) is the minimum par value of marketable securities of a particular issue unless otherwise provided for under the terms of issue and trading of the securities. Accounting



of foreign financial instruments qualified as securities in accordance with the legislation of the Russian Federation may be performed in the units, in which they are accounted in the account opened for Bank ICBC (JSC) with a correspondent depository.

3.3. In the event that fractional parts of securities occur in accordance with the legislation of the Russian Federation, the Depository shall account fractional parts of securities. Rounding of decimal fractions to the specified decimal place shall be performed to the smaller side or by elimination of the fraction part of the number of securities after the specified decimal place. In deposit of securities to the securities account, the fractional parts are combined. Withdrawal of the fraction part of a security without a whole security shall be performed only subject to absence of whole securities except for writing off of the fractional part of a foreign financial instrument, which is qualified as a security in accordance with Article 44 of the Federal Law 'On the Securities Market', and the writing off a fractional part of a security from a nominee securities account or foreign nominee securities account as well as in cases provided for under the legislation of the Russian Federation.

Accounting for fractional parts of shares is carried out in simple fractions.

Accounting of fractional parts of investment units of investment funds and mortgage certificates is performed in decimal fractions with the number of symbols after the point specified in the rules of trust management of investment funds (rules of trust management of a mortgage pool) but no less than five (5) symbols after the point. Emergence of fractional parts of investment units in securities accounts is possible in the event of crediting investment units to such accounts due to their withdrawal, transfer, exchange or split or in the event of writing off such investment units from nominee accounts due to redemption, exchange or transfer of fractional parts of investment units owned by their customers. Decrease of the fractional part of an investment unit in the securities account of the owner of investment units is not allowed where the whole part is available unless such decrease occurs as a result of addition of fractional parts of investment units. Withdrawal from a securities account of a fractional part of an investment unit without its whole part is possible only in the event of redemption, exchange or transfer of investment units with no whole part of the investment unit subject to redemption, exchange or transfer except for withdrawal from nominee securities account, foreign nominee securities account.

3.4. The place of storage for non-certificated securities is the respective registrar or the correspondent depository. The place of storage for certificated securities is the vault of Bank ICBC (JSC) equipped in accordance with the requirements of the Bank of Russia. Bank ICBC (JSC) may use leased vaults or custody services rendered by other organizations where the securities certificates certifying the securities, the rights to which are recorded in the Depository are located. Other organizations (correspondent depositories, registrars), to which securities are transferred on the basis of the custody agreement or other agreement, part of which is the custody agreement, are external places of storage.

## **Chapter 4. Procedure for Conclusion and Termination of a Depository Agreement**

4.1. The reason for the occurrence of the rights and responsibilities of the Depositor and Bank ICBC (JSC) for the rendering depository services is the depository agreement. The depository agreement shall be concluded in simple written form.

Bank ICBC (JSC) concludes with the customer an owner securities account agreement to register property rights and other proprietary rights to securities owned by the customer.

Bank ICBC (JSC) concludes a nominee securities account agreement with the customer that is a legal entity incorporated in accordance with the legislation of the Russian Federation with a license of a professional securities market participant to carry out depository activities.

Bank ICBC (JSC) concludes a foreign nominee securities account agreement with a foreign entity incorporated in a member state of the Organization for Economic Co-operation and Development (OECD), a member or an observer of the Financial Action Task Force on Money Laundering (FATF), and/or member of the Committee of Experts on the Evaluation of Anti-Money Laundering Measures and the Financing of Terrorism (MONEYVAL), or a state, with appropriate authorities (appropriate organizations) of which an agreement providing for a procedure for their interaction, acting on behalf of other parties and performing registration and transfer of rights to securities under its personal law is concluded by the Bank of Russia. Such organization may perform actions related to the exercise of rights to securities without a power of attorney in accordance with directions (orders) from its customers owning the securities.

Bank ICBC (JSC) concludes a depository program securities account agreement with a party that places (has placed) foreign securities representing ordinary registered shares of the Russian issuer under a foreign law.

Bank ICBC (JSC) concludes an agreement for treasury securities account of the issuer (party liable on securities) with the customer, which is the issuer of the securities (party liable on securities) to account for these securities.

Bank ICBC (JSC) concludes a trustee securities account agreement with the customer that is a legal entity under the legislation of the Russian Federation with a license of a professional securities market participant to carry out depository activities on securities management.

Bank ICBC (JSC) concludes a foreign authorized securities account agreement with a foreign legal entity incorporated in a member country of the Organization for Economic Co-operation and Development (OECD), a member or an observer of the Financial Action Task Force on Money Laundering (FATF), and/or member of the Committee of Experts on the Evaluation of Anti-Money Laundering Measures and the Financing of Terrorism (MONEYVAL), or a government with appropriate bodies (appropriate organizations) of which the Bank of Russia concluded an agreement providing for a procedure for their interaction, and that such entity may under its personal law and not being the owner of securities, perform in its name and on behalf of other persons any legal and actual operations with the securities, exercise rights to the securities.

4.2. Bank ICBC (JSC) shall have the right to refuse the customer to conclude a depository agreement in case the customer does not provide the documents specified in Chapter 7 hereof.

4.3. If thirty (30) calendar days prior to the expiration of the depository agreement neither party that has signed the agreement has sent the other party an application to terminate the said agreement, it shall be deemed extended for the same period.

4.4. Each of the parties that have concluded the depository agreement can terminate it unilaterally extrajudicially without explanation.

4.4.1. If the depository agreement is terminated at the instance of Bank ICBC (JSC), a written termination notice shall be sent to the Depositor within the period specified in the Depository agreement.

4.4.2. If the depository agreement is terminated at the instance of the Depositor, the latter shall notify Bank ICBC (JSC) in the manner prescribed by the depository agreement.

4.4.3. The relationship between the parties that have concluded the depository agreement shall be deemed terminated in the event of closure of the securities account after the arrangement of all the settlements between the parties that have concluded the agreement.

4.4.4. Bank ICBC (JSC) shall deliver the securities to the Depositor under the procedure provided for under the agreement concluded.

4.4.5. In the event of termination of the agreement, suspension or revocation of the license for depository operations, Bank ICBC (JSC), based on the Depositor's application for the return of securities shall transfer the securities in accordance with the details specified in the application to the Depositor subject to a counterorder on deposit of the securities as submitted by the Depositor to another professional securities market participant, which opens a personal or securities account for it. In case of revocation of Bank ICBC (JSC)'s license for depository operations, after six (6) months from the day of revocation if the Depositor's application for the return of securities was not received, its securities shall be deposited in the personal account of such Depositor in the Depository performing mandatory deposit of securities. In the case of accounting in the correspondent Depository, which is a foreign organization, of foreign financial instruments qualified as securities not specified in the application of the depositor for the return of securities, or in the absence of such an application, the Depository shall notify the Depositor, as well as the correspondent Depository, which is a foreign organization in which such securities are recorded.

4.4.6. In the event of liquidation of a Depositor that is a legal entity, Bank ICBC (JSC) shall perform operations aimed at depositing the securities registered at its owner's securities account to an unidentified parties account opened by the registrar or the depository performing mandatory deposit of securities.

## **Chapter 5. Procedure for Receipt of Depositors' Orders and other Documents and Execution of Depository Operations**

5.1. Operations in the Depositor's securities account shall be performed by the Depository: Based on orders in an established form received from the Depositor or the Depositor's authorized representatives and prepared in accordance with the Annexes to the Terms and Conditions;

Based on documents determined under separate agreements with the Depositor;

Based on supplementary agreements providing for the procedure of securities account operations without execution of separate orders;

Based on resolutions of authorized state bodies;

Based on the reports of a clearing organization following clearing of operations performed by the Depositor via the exchange;

on other grounds stipulated by the legislation of the Russian Federation, these Terms and Conditions, and the depository agreement.

5.2. The Depositor may submit orders and other documents to the Depository personally, via an authorized representative, by post, by e-mail, via the SWIFT communication channels, in any other manner provided for under the depository agreement. Documents are sent by e-mail for information purposes, followed by the provision of the originals.

5.3. Receipt of the Depositor's orders and other documents (hard copies) from the Depositor personally or via an authorized representative shall be performed in the head office of Bank ICBC (JSC) every business day from 10:00 a.m. UTC+3 to 4:00 p.m. UTC+3.

5.4. An order may be submitted to the Depository within thirty (30) calendar days from its execution.

5.5. Bank ICBC (JSC) may accept the Depositor's orders in a form different from that provided in Annexes hereto, provided that they include all information under the Annexes hereto.

5.6. The Depository shall have the right to refuse to accept for execution or execute an order in the following cases:

The documents provided are executed in breach of the requirements of the legislation of the Russian Federation and these Terms and Conditions;

The order is submitted to the Depository in a manner not compliant with the relevant depository agreement or any other agreement with the Depositor or in a manner not provided for hereunder;

The order shall be signed by a person without required authority;

The effective term of the order established under these Terms and Conditions, any other agreement with the Depositor or specified in the order has expired;

If the Depository has any doubts regarding the conformity of the signatures and/or seal card in the order with the samples in the Depository;

During the effective term of the order, the number of securities specified in the order is not sufficient for the depository operation specified in the order;

The order is issued in regard of securities whose individual features differ from the individual features of the securities in the securities account of the Depositor;

The securities, in regard of which the order is given, are under obligations registered by the Depository and the performance of the order will result in breach of those obligations;

The information in the submitted documents does not confirm with the information in the registers of the Depository;

The order contains corrections;

For any other reasons specified in the depository agreement or any other agreement with the Depositor;

The receipt of information on the terms and conditions of pledge and on the pledgee was not confirmed by the correspondent depository receiving the securities, in respect of which the right of pledge was registered, when the securities are withdrawn (transferred) from the Depository;

In accordance with Clause 11 Article 7 of Federal Law No. 115-Φ3 On Combating Legalization (Laundering) of Proceeds from Crime and Financing of Terrorism dated August 7, 2001;

In other cases provided for by the legislation of the Russian Federation.

5.7. The orders of Depositors that are individuals shall be signed by the Depositors or the Depositors' authorized representatives. The orders of Depositors that are legal entities shall be signed by the Depositor's authorized representatives and bear the Depositor's seal (if any).

5.8. The receipt of the Depositor's orders and other documents, as well as the release of the Depository's reporting documents, shall be performed by the Depositor's authorized representatives only.

5.9. The time frame for the execution of depository operations are set out in Chapters 7-12.

5.10. If the Depositor's order includes the time frame and/or condition of its performance, the Depository shall take into account such time frame and/or condition;

5.11. The Depositor may cancel the previously submitted order by sending an order to the Depository prepared in free form with reference to all details of the order to be canceled. The cancellation of a previously submitted order shall be allowed until the time during the business day corresponding to the beginning of its processing, and/or if the securities can be returned into their original state, if the Depositor has not yet sent the order to the registrar or the correspondent depository required for the execution of the Depositor's order.

5.12. A depository operation is completed through delivery by the Depository of a report on operation performance or information on denial of the operation to whom it should be delivered to under the legislation of the Russian Federation.

5.13. The Depository shall provide to the Depositor the report of operation (operations) performed on the nominee securities account opened for the Depositor on the business day of the operation, and the report of operation (operations) performed on a different securities account than the nominee's securities account — not later than the business day following the day of performance of the operation on the respective account. In the event of denial of the operation, the Depository shall notify the Depositor in writing of impossibility of performance of the depository operation specifying the reasons not later than on the business day following the day of the reason for such denial.

5.14. Statement of depository account or the report on the operation performance confirming the right of the Depositor to the securities as of specific calendar dates shall contain information on the number of securities on the Depositor's securities account at the end of the trading day for the relevant calendar date.

If the report on the depository operation (operations) performed on the securities account performed specifies that it has been issued for the purposes of offering to include issues into the agenda, the proposals on nomination of candidates to the management bodies and other bodies of the company or the request for an extraordinary general meeting of shareholders, it may include information about the number of securities at the beginning of the current operating day as specified in the report.

The report may contain information as of any moment. This report does not confirm the right of the Depositor in the securities.

5.15. The Depository's reports and other documents can be sent to the Depositor by any of the following means: by post, personally, by e-mail, via SWIFT communication channels. Reports are sent by e-mail for information purposes, followed by the provision of the originals. The Depository's employee shall provide to the Depositor or its authorized representative it should specify an appropriate report on the operation performed or a copy of the Depositor's order with the Depository's note of impossibility of its performance as well as any other documents against signature in log of documents issued to the depositors. If sent by post, report other documents shall be sent by registered post. When sending documents by post, the report (as well as any other document sent by the Depository) shall be considered received by the addressee on the fifth (5<sup>th</sup>) business day from the date of dispatch. The Depository shall issue of reports and other documents to the Depositors every business day from 10:00 a.m. UTC+3 to 5:00 p.m. UTC+3.

5.16. In the event of conclusion of an additional agreement with the Depositor on the use of the SWIFT system, Bank ICBC (JSC) and the Depositor may use the SWIFT system for preparation and transfer of information under the depository agreement except for the information of operations determined hereunder as administrative ones. Communications transferred by Bank ICBC (JSC) and the Depositor under the depository agreement may be

prepared in accordance with the SWIFT system formats. Communications sent and received via the SWIFT system do not have to be repeated on paper.

## **Chapter 6. Classification of the operation executed by the Depository**

6.1. The Depository uses the following classification of the depository operations:

- inventory operations;
- administrative operations;
- information operations;
- package operations;
- global operations.

6.2. Inventory operations include operations resulting in changes in the balances of securities in the securities accounts or other accounts:

Deposit shall mean receipt of securities for storage and accounting;

Withdrawal shall mean removal of securities from storage and accounting;

transfer shall mean the operation of withdrawal of securities from a securities account (any other account, subaccount of a securities account, other account) with simultaneous depositing to another securities account (any other account, securities subaccount, other account), provided that the quantity of securities in the accounts affected does not change;

Relocation shall mean an operation of withdrawal of securities from a securities account in one storage place and deposit of such securities to a securities account in another storage place.

6.3. Administrative operations include operations resulting in changes in the Depositors' securities account questionnaires and other accounting registers of the Depository, except for balances of securities in the Depositors' securities accounts or other accounts:

Opening securities accounts or other accounts (subaccounts of securities accounts or other accounts);

Closing securities accounts or other accounts (subaccounts of securities accounts or other accounts);

Modification of questionnaire details;

Acceptance of securities issues for servicing;

Termination of servicing of securities issues;

Restriction on transactions with the issue of securities;

Removal of restriction on transactions with the issue of securities.

6.4. Information operations include depository operations related to preparation upon the Depositor's or the Depositor's authorized representative's request of reports and statements on the of securities accounts and other accounting registers of the Depository or on Depository operation performance, preparation of information on securities owners, Depositors, other informational operations.

6.5. Package operations include depository operations that include different operation types as components, i.e. inventory, administrative, information ones:

Securities encumbrance shall mean an operation resulting in making a record on a securities account (any other account) confirming that the securities are encumbered, including in the event of pledge of securities. The operation shall include an inventory operation of withdrawal of securities from one subaccount of the securities account, any other account and the inventory operation of depositing them to the pledged subaccount of the same securities account, the other

account as well as recording the information on encumbrance of securities in accordance with the Russian law;

Securities disposal limitation shall mean an operation upon resulting in making a record (records) on the securities account (any other account) confirming that securities operations are limited for reasons provided for hereunder (on orders of authorized state bodies as well as for any other reasons, including seizure, except for registration of encumbrances of the securities, limitation of operation for corporate action performance, fulfillment of obligations). The operation shall include an inventory operation of withdrawal of securities from one subaccount of the securities account, any other account and the inventory operation of depositing them to a different subaccount of the same account, the other account (sections: blocked, blocked for corporate action, blocked for fulfillment of obligations) as well as recording the information on limitation of securities in accordance with the legislation of the Russian Federation;

Securities encumbrance termination shall mean an operation resulting in making a record on a securities account (any other account) confirming that the securities are released from encumbrance. The operation shall include an inventory operation of withdrawal of securities from the pledged subaccount of the securities account, any other account and the inventory operation of depositing them to another subaccount of the same or any other securities account, the other account as well as recording the information on termination of encumbrance of securities in accordance with the legislation of the Russian Federation;

Termination of securities disposal limitation shall mean an operation resulting in making a record on a securities account (any other account) confirming that any limitations are removed from securities operations for the reasons established under the Terms and Conditions and requirements of the legislation of the Russian Federation. The operation shall include an inventory operation of withdrawal of securities from one subaccount of the securities account (sections: the blocked, blocked for corporate action, blocked for fulfillment of obligations), any other account and the inventory operation of depositing them to a different subaccount of the same account, the other account as well as recording the information on termination of limitation of securities in accordance with the legislation of the Russian Federation;

Suspension of operations in the securities account shall mean an operation, upon which a ban is imposed on some inventory operations on the securities account as a whole or for individual subaccounts of the securities account when the Depository receives information on the Depositor's death, when the Depositor fails to fulfill its obligations to Bank ICBC (JSC), in securities accounts of a liquidated Depositor, in accordance with a resolution of an authorized state body, in other cases. The operation shall include the operation of withdrawal of securities from all subaccounts of the securities account, any other account, and their depositing to the blocked subaccount of the same securities account, the other account. If operations are suspended on the securities account as a whole, the operation includes an administrative operation of blocking the securities account;

Resumption of operations in the securities account shall mean an operation, upon which the ban on inventory operations on the securities account as a whole or for individual subaccounts of the securities account is removed. The operation shall include the operation of withdrawal of securities from the blocked subaccount of the securities account, any other account and their depositing to the subaccounts of the same or different securities account, any other account. If operations were suspended on the securities account as a whole, the operation includes an administrative operation to remove restriction the securities account.

6.6. Global operations shall include depository operation resulting in the change of all or most of accounting registers of the Depository related to that particular issue of securities:

Securities conversion shall mean an operation on exchange of previously placed securities with placed (or marketable) securities of the same issuer with redemption of the former. The operation shall be performed by the inventory operation of securities withdrawal of one issue from the Depositor's securities account and the inventory operation of securities depositing of another issue to the same securities account of the same Depositor on the basis of a report (statement) of the correspondent depositor or the registrar;

Distribution of additional securities among the owners shall mean depositing to securities accounts of the Depositor that has in its securities account a non-zero securities balance as at the date specified by the issuer, pro rata which the additional securities of the new issue are distributed based on a report (statement) of the correspondent depositor or the registrar. The operation is carried out by performing an inventory operation of crediting additional securities of the new issue;

Securities cancellation (redemption) shall mean the inventory operation of securities withdrawal of a redeemed (cancelled) issue from the Depositor's securities account based on a report (statement) of the correspondent depositor or the registrar;

Securities split or consolidation shall mean the inventory operation of securities withdrawal of one or several issues from the Depositor's securities account and depositing securities of any other issue (issues) to the same securities account of the Depositor based on a report (statement) of the correspondent depositor or the registrar;

Consolidation of additional issues of issue-grade securities shall mean the inventory operation of securities withdrawal of additional issues from the Depositor's securities account and depositing the securities of the base issue to the same securities account of the same Depositor on the basis of a report (statement) of the correspondent depositor or the registrar;

Cancellation of the individual number (code) of additional issues of issue-grade securities by making a record in the depository registration system on cancellation of the individual number (code) of an additional securities issue and assignment to the securities of the additional issue of an individual state registration number of the issue, to which this issue is additional;

Payment of income on securities shall mean receipt and transfer of the income on securities payable to the Depositor;

Other operations.

## **Chapter 7. Administrative operations. Opening of securities accounts, other accounts, securities subaccounts**

7.1. Bank ICBC (JSC) shall open a securities account for the customer on the basis of a depository agreement, provided that the Depository submits documents containing information that allows identifying the customer, its representatives, beneficiary owners, and beneficiaries.

7.1.1. Subject of the operation: receipt of documents from the customer required to conclude a depository agreement, introduction into the Depository's accounting registers of complete information on the Depositor enabling performance of operations under these Terms and Conditions.

On the basis of depository agreements, Bank ICBC (JSC) shall open securities accounts for registration of rights to securities:

Owner securities account shall be opened for Depositors to register securities belonging them on the basis of the right of ownership or any other proprietary right;

Nominee securities account shall be opened to register rights to securities, of which the



nominee holder is not the owner and which it registers on behalf of its Depositors;

Foreign nominee securities account shall be opened for a foreign entity acting on behalf of other person;

Depository program securities account is opened for a foreign depository, i.e. a party placing (having placed) under a foreign law the securities confirming rights in regard of issue-grade securities of Russian issuer;

Treasury securities account of the issuer (party liable on securities) shall be opened for the issuer (party liable on securities) for registration of rights to securities issued by it;

The trustee securities account shall be opened for persons who have a license for the right to carry out activities of the trust management of securities (unless the trust management is related only to the exercise by the trustee of the securities rights). On this account, the rights of the trustee in respect of the securities in trust are accounted;

Securities account of a foreign authorized holder shall be opened for a foreign entity;

A trading securities account is a separate securities account complying with the following requirements:

- In such account, those securities are registered, which may be used for the fulfillment and/or securing the fulfillment of obligations allowed for clearing as well as obligations on remuneration payment to a clearing organization and organizations specified in Federal Law No. 7-Φ3 On Clearing, Clearing Activities, and Central Counterparty dated February 7, 2011;

- Operations in this account shall be performed either based on the orders of the clearing organization without the order of the party, for which such account was opened, or based on the order of the party, for which such account was opened, upon consent of the clearing organization.

A trading securities account shall be opened for Depositors subject to concluded owner securities account agreement, or nominee securities account agreement, or foreign nominee securities account agreement, or agreement for treasury securities account of the issuer (party liable on securities), trustee securities account, securities account of a foreign authorized holder. No conclusion of a separate agreement and preparation of a separate Depositor questionnaire is required. A trading account is opened with a reference to the clearing organization that may give directions on that account.

A securities account may be opened for one depositor only, except the cases of opening securities accounts to securities share ownership participants who are not partners under the investment partnership agreement.

The number of securities accounts that may be opened for one Depositor under one depository agreement, including the number of securities accounts of the same type, is not limited.

Except for the above securities accounts in accordance with the legislation of the Russian Federation, the Depository may open other accounts or accounts not intended for registration of rights to securities if the legislation of the Russian Federation provides for opening such accounts, particularly, an unidentified party account. An unidentified party account shall be opened on the basis of the Depository's duty assignment, active securities accounts - on the basis of the order of the depositor, the Depository's duty assignment, upon receipt of a notice on opening of an account for Bank ICBC (JSC) as a nominee from the correspondent depository or the registrar. The account is used for depositing securities in the event of receipt of a document confirming securities depositing to the personal account of Bank ICBC (JSC) acting as a nominee holder in the register of securities owners or securities account of a correspondent

depository, provided that there is no basis for depositing the securities to the securities account of Bank ICBC (JSC).

Securities accounts and other accounts may be opened without simultaneous depositing of securities to them.

#### 7.1.2. Incoming documents:

- 1) Documents to be submitted by individuals who are citizens of the Russian Federation under Annex 1 hereto;
- 2) Documents to be submitted by individuals who are foreign citizens or stateless persons under Annex 2 hereto;
- 3) Documents to be provided by legal entities established under the legislation of the Russian Federation under Annex 3 hereto;
- 4) Documents to be provided by individuals who are individual entrepreneurs or by individuals engaged in private practice in the manner established under the legislation of the Russian Federation under Annex 4 hereto;
- 5) Documents to be provided by legal entities (stand-alone business units of legal entities) established under the legislation of a foreign country under Annex 5 hereto;
- 6) Application to Open a Trading Securities Account(s) under a Previously Concluded Depository Agreement (Annex 11 hereto) in case of opening of a trading securities account;
- 7) Application to Open a Securities Account(s) under a Previously Concluded Depository Agreement (Annex 12 hereto) in case of opening a securities account (accounts) under the depository agreement concluded earlier.

#### 7.1.3. Specifics of document submission by non-residents of the Russian Federation:

- Documents issued out of the Russian Federation shall be legalized in accordance with the legislation of the Russian Federation;
- The said documents may be submitted without legalization in cases provided for under international treaties of the Russian Federation, particularly if the documents were executed in the territory:

Of member states of the Hague Convention Abolishing the Requirement of Legalization for Foreign Public Documents 1961 (in the presence of an apostille, submitted on the same document or a separate sheet by the competent authority of a foreign state in accordance with the requirements of the Convention);

Of member states of the Convention on Legal Assistance and Legal Relations in Civil, Family, and Criminal Matters of 1993;

Of the countries with which the Russian Federation has concluded agreements on legal assistance and legal relations in civil, family, and criminal cases.

- Documents prepared in whole or in any part thereof in a foreign language (with the exception of personal identification documents of individuals, issued by the competent authorities of foreign states, written in several languages, including the Russian language) are submitted with duly certified translation into the Russian language. An exception is the identity documents of natural, issued by the competent authorities of foreign states, provided that the individual has a document certifying the right of their legal stay on the territory of the Russian Federation;

- In the preparation of the banking sample signatures and seal card it is allowed to specify the line-by-line translation of the card's fields into a foreign language, the signature of all persons authorized to sign shall be certified by a notary, the seal on the documents shall be provided, if any.

7.1.4. For the purpose of conclusion of a depository agreement, Bank ICBC (JSC) may accept a certified extract from internal documents executed in the course of its activity or a certified extract from documents directly connected with the operation of the customer and executed in the course of activity of legal entities (authorities) in charge of the customer. The extract from internal documents executed in the course of the customer's activities shall be confirmed in the manner established under the legislation of the Russian Federation or by the customer with indication of the full name of the officer confirming the extract, handwritten signature, and seal (stamp, if none) of the customer. The extract from documents directly connected with the operation of the customer and executed in course of activities of legal entities (authorities) in charge of the customer shall be confirmed in the manner established under the legislation of the Russian Federation or by the legal entity (authority) in charge of the customer with indication of the full name and title of the person confirming the extract, handwritten signature, and seal (stamp, if none) of the legal entity (authority) unless established otherwise by the relevant legal entity (authority).

7.1.5. If the customer submitted to Bank ICBC (JSC) the aforesaid documents earlier in connection with opening of an account in Bank ICBC (JSC) or conclusion with Bank ICBC (JSC) of an agreement, contract, etc., including not related to opening of an account, depository agreement, no repeated submission of documents shall be required for conclusion of a depository agreement or in the course of rendering the depository services.

7.1.6. Outgoing documents:

Report on the operation performance — a certificate of opening (closing) a securities account (Annex 15 to the Terms and Conditions).

7.1.7. Performance schedule:

- 1) Acceptance of all incoming documents — T<sup>1</sup> day;
- 2) Document check up, identification of a customer, beneficiary owner, beneficiary, customer's authorized representative — T+3 day<sup>2</sup>;
- 3) Approval of a depository agreement — T+6 day;
- 4) Signature of a depository agreement — T+8 day;
- 5) Operation execution — T+9 day;
- 6) Issue of the operation performance report to the Depositor — T+10 day.

7.2. The following subaccounts may be opened for the Depositor within the framework of the securities account:

1) Basic subaccount, for which there are no limitations for operations permitted under these Terms and Conditions. The subaccount shall be opened in case of opening a securities account for the Depositor without additional orders;

2) Trading subaccount, intended for reflection of trading operations in the exchanges. The subaccount shall be opened in the event of opening for the Depositor of a trading securities account (clearing organizations are Non-bank Credit Institution — central counterparty National Clearing Center (Joint-Stock Company) (NBCI NCC (JSC)) or Non-Bank Credit Institution National Settlement Depository, Joint Stock Company (NBCI NSD, JSC) without any additional orders of the Depositor;

3) Re-registration subaccount intended for the registration of securities, for which the Depository received an order for relocation of securities. A report should be received on

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<sup>1</sup> hereinafter – the “day” shall mean a business day unless specified otherwise

<sup>2</sup> Hereinafter the maximum performance time is specified

withdrawal of securities by the correspondent depository or the registrar where the said securities were registered, but there should be no report on depositing the securities by the correspondent depository or the registrar where the securities will be registered. The subaccount is also used in withdrawal of securities with preliminary recording of the fact of limitation of operations with securities for the respective subaccount;

4) Pledged subaccount, intended for registration of encumbrance of rights to securities;

5) Blocked for corporate operations subaccount intended for registration of securities, in regard of which corporate operations of the issuer are expected;

6) Blocked for fulfillment of obligations subaccount intended for registration of encumbrance of the Depositor's securities with transaction obligations. Securities operations are blocked in the event of conclusion between Bank ICBC (JSC) and the Depositor of a brokerage agreement when Bank ICBC (JSC) receives an order to enter into an operation with securities not via the exchange;

7) Blocked subaccount, intended for registration of restriction of rights to securities except for the cases described in paragraphs 5—7 of this Clause;

8) Surplus subaccount intended for the registration of surplus securities emerging in the course of a global operation upon the issuer's order or resulting from discovery of surplus securities certificates in the vault of Bank ICBC (JSC) (subaccount shall be opened in unidentified party securities account);

9) Shortage subaccount intended for registration of shortage of securities identified in the course of an audit.

10) Certificates in custody subaccount intended for registration of certificated securities certificates of which are in securities.

11) Certificates in custody, certificates checked, reissued, in transit subaccount intended for registration of certificated securities, certificates of which are being accepted or issued, undergo authenticity check-up, are reissued, have been seized by the law enforcement authorities.

The subaccounts: under re-registration, blocked, pledged, blocked for conducting corporate actions, blocked for fulfillment of obligations, excess, shortage, certificates in custody, certificates checked, reissued, in transit — are opened on the basis of the Depository's duty assignment, including admission to the Depository the report of the correspondent Depository on the admission of securities to the relevant subaccount, open on account of the nominal holder of Bank ICBC (JSC) in the Depository-correspondent.

The list of securities subaccounts is not exhaustive and may be modified or extended by the Depository. On the Depositor's orders made in an informal form requesting opening of a necessary subaccounts, other subaccounts may be opened by the Depository.

#### 7.2.1. Incoming documents:

Depository agreement, the Depository-correspondent's report, the Depository's duty assignment, the Depositor's letter, Application to Open a Trading Securities Account(s) under a Previously Concluded Depository Agreement (Annex 11 hereto) in the event of opening of the basic and trading subaccount in the trading securities account or Application to Open a Securities Account(s) under a Previously Concluded Depository Agreement (Annex 12 hereto) in case of opening of the basic subaccount in a securities account opened under the depository agreement concluded earlier.

#### 7.2.2. Outgoing documents:

Report on operation performance is a certificate of opening (closing) a securities subaccount (Annex 16 to the Terms and Conditions).

### 7.2.3. Performance schedule:

- 1) acceptance of incoming documents — T day;
- 2) operation execution — T+1 day;
- 3) issue of the operation performance completion report — T+2 day.

## **Chapter 8. Administrative operations. Closing of securities accounts, modifying the questionnaire details, other administrative operations**

### 8.1. Closing of securities accounts is arranged in the following cases:

- In the event of termination of contractual relationships between Bank ICBC (JSC) and the Depositor;
- Upon the Depositor's application in writing (Annex 14 to the Terms and Conditions for Legal Entities, Annex 13 to the Terms and Conditions for individuals);
- Upon resolution of authorized state bodies in accordance with the legislation of the Russian Federation; upon resolution of authorized state bodies in accordance with the legislation of the Russian Federation;
- At the Depository's initiative if for a year no operations were performed in the account (for a zero balance account);
- Closing of the depositor-credit institution securities account is carried out in case of revocation by the Bank of Russia of the license for banking operations with simultaneous termination of the Depository agreement, in the absence of securities on the depositor's securities account on the basis of the decision of the Bank of Russia.

Closing of a securities account of deceased Depositor in the event of absence of any securities in the securities account shall be performed on the basis of the notarized copy of the certificate of death of the Depositor, or certificate of inheritance rights, or an effective court ruling on declaring the Depositor dead, or any other document confirming the Depositor's death in accordance with the legislation of the Russian Federation.

Closing of the securities account in the event of the Depositor's liquidation with simultaneous termination of the depository agreement in the event of absence of any securities in the Depositor's securities account shall be performed on the basis of a document confirming making an entry into the Uniform State Register of Legal Entities on liquidation of legal entity (entry on removal of legal entity from the Uniform State Register of Legal Entities as not operating).

Closing of a securities account in the event of reorganization of the predecessor Depositor that is a legal entity shall be performed on the basis of a copy of transfer certificate (in the event of merger, accession or reorganization) and dividing balance sheet (in the event of splitting up or spin-off) confirmed by the successor as well as of a notarized copy of a document confirming making an entry into the Uniform State Register of Legal Entities on incorporation of the successor legal entity.

Other accounts shall be closed upon duty assignments of the Depository. No securities account (other account) may be closed if the balance in the personal accounts is positive. Neither closed account may be reopened. When closing the securities account all subaccounts opened in it shall be closed.

Subject of the operation: recording information in the Depository's registers, which would ensure impossibility of any operations in the account. Information on a closed securities account shall be stored for five (5) years from the date of closing the account.

#### 8.1.1. Incoming documents:

the Depository's duty assignment, the Depositor's application (Annexes 13, 14 hereto), order of an authorized state bodies, an original or a notarized copy of certificate of death of the Depositor that is an individual, certificate of inheritance rights, effective court ruling on declaring the Depositor deceased or any other document confirming death of the Depositor that is an individual in accordance with the legislation of the Russian Federation, a document confirming making an entry into the Uniform State Register of Legal Entities on liquidation of legal entity (entry on removal of legal entity from the Uniform State Register of Legal Entities as not operating), a copy of transfer certificate (in the event of merger, accession of reorganization) and dividing balance sheet (in the event of splitting up or spin-off) confirmed by the successor, a notarized copy of a document confirming making an entry into the Uniform State Register of Legal Entities on incorporation of the successor legal entity, decision of the Bank of Russia on revocation of banking license, other documents.

#### 8.1.2. Outgoing documents:

Report on operation performance — a certificate of opening (closing) a securities account (Annex 15 to the Terms and Conditions).

#### 8.1.3. Performance schedule:

- 1) acceptance of incoming documents — T day;
- 2) operation execution — T+1 day;
- 3) issue of the operation performance completion report — T+2 day.

If the Depositor has any successors, the report on operation performance shall be the last document to be submitted.

#### 8.2. Closing of securities subaccounts is arranged in the following cases:

- Closing of a securities account;
- Upon the Depositor's letter;
- At the Depository's instance, in cases not contravening the legislation of the Russian Federation and these Terms and Conditions.

#### 8.2.1. Incoming documents:

The Depository's duty assignment, the Depositor's application (Annexes 13, 14 to the Terms and Conditions), the Depositor's letter requesting closing of the subaccount, decision of the Bank of Russia on revocation of banking license, other documents.

#### 8.2.2. Outgoing documents:

Report on operation performance is a certificate of opening (closing) a securities subaccount (Annex 16 to the Terms and Conditions).

#### 8.2.3. Performance schedule:

- 1) Acceptance of incoming documents — T day;
- 2) Operation execution — T+1 day;
- 3) Issue of the operation performance completion report — T+2 day.

8.3. In the event of modification of the questionnaire details, the Depositor shall provide relevant information to the Depository.

8.3.1. Subject of the operation: registration in the Depository of modifications in the Depositor's details.

#### 8.3.2. Incoming documents:

- Depository Order to Register Changes in the Customer Information Form (Legal Entity/Individual) (Annex 17 to the Terms and Conditions). In the event of reorganization of the Depositor that is a legal entity, the order shall be signed by the Depositor's successor;

- The questionnaire containing all necessary modifications and executed in accordance with the requirements of these Terms and Conditions (Annex 6 to the Terms and Conditions, Annex 7 to the Terms and Conditions). In the event of reorganization of the Depositor that is a legal entity, the questionnaire shall be signed by the Depositor's successor;

- Documents confirming the modifications made, including documents received from the Uniform State Register of Legal Entities, for a foreign legal entity, from a trade register or any other accounting register of the state where the legal entity is registered, other documents. In the event of the Depositor's reorganization, a copy of transfer certificate shall be provided confirmed by the reorganized legal entity or an extract from the transfer certificate signed by the head and the chief accountant of the legal entity.

#### 8.3.3. Outgoing documents:

- Report on the execution of administrative operation (Annex 28 to the Terms and Conditions);

- the copy of the new questionnaire provided by the Depositor, with a signature of the Depository's employee.

#### 8.3.4. Performance schedule:

- 1) receipt of order for registration of modifications in the customer questionnaire for a legal entity or individual and other documents — T day;

- 2) operation execution — T+2 day;

- 3) issuing a report on modifications of the questionnaire — T+3 day.

8.4. Securities shall be deemed accepted for service to the Depository after the presentation in the accounting records of Depository of the data allowing the unique identification of the issue of securities, and for non-issue-grade certificated securities — from the moment of receipt by the Depository of the duly executed securities.

8.4.1. The originator of the receipt of a securities issue for servicing may be:

the Depository;

the Depositor;

the issuer of that issue;

the registrar;

another depository, with which the Depository has a nominee security account.

8.4.2. For non-issue-grade certificated securities the receipt of duly executed securities shall serve the basis for the receipt of securities for servicing.

8.4.3. When receiving a securities issue for servicing, the Depository, beside the information received from the originator, shall use the information from one of the below documents provided to the Depository or received by the Depository in the course of performance of the procedure for acceptance of securities issues for servicing and including information sufficient for identification of the securities issue and for their issuer:

A copy of registered decision on issuance (in electronic form);

A copy of a notice of the registration body on the registration of the securities issue (in electronic form);

A copy of the terms of issuance and trading of the securities (in electronic form);

Information in disclosure databases on issuers and their securities issues maintained by the regulatory authority or a self-regulated organization;

Information provided by other depositories, international clearing agencies, international and Russian information agencies as well as financial institutions, including via the Internet.

8.4.4. The depository may refuse the acceptance to the person initiating the procedure of acceptance of a securities issue for servicing specifying the reason for such refusal.

8.4.5. The depository may not accept securities for servicing if:

- The securities are declared redeemable before being deposited in the Depository;
- An order or notice is received for this securities issue on suspension of operations;
- The receipt of such securities is prohibited by law, an act of state authority, resolutions of self-regulated organizations, of which the Depository is a member;
- The Depository has any doubts regarding the authenticity of securities certificates;
- There is no legal basis for depository registration of a particular type of non-issue-grade securities.

8.4.6. If the Depositor is the originator of the receipt of a securities issue for servicing, the Depository shall send to the depositor a report on the execution of the administrative operation not later than the next day after the execution of the operation (in the case of sending a report to the nominee holder — on the day of execution of the operation) (Annex 28 to the Terms and Conditions).

8.5. Termination of servicing of securities issues in the Depository shall be performed on the following grounds:

- Expiry of the term of the securities trading and/or their maturity;
- Resolution of a regulatory body to declare the securities issue void or to cancel the issue;
- Modification of terms and conditions of securities trading making any further servicing impossible;
- Liquidation or reorganization of the securities issuer;
- At the Depository's initiative;
- Entry into force of a court ruling on the invalidity of the securities issue;
- Conversion of the securities;
- Consolidation of additional securities issues and assigning a uniform state registration number to them.

8.5.1. The Depository may not stop servicing a securities issue if the securities of this issue are registered in the Depositor's securities account.

8.5.2. Upon the termination of servicing of the securities issue, the Depository shall store the information on the securities issue for five (5) years.

8.6. Restriction on transactions with the issue of securities is made in connection with receipt to the Depository of documents from the registrar, the correspondent depository, authorized bodies, information from the issuer, other documents according to the legislation of the Russian Federation containing information on restriction of transactions with the issue of securities.

8.6.1. Subject of the operation: registration in the Depository restriction on transactions with the issue of securities.

8.6.2. Incoming documents:

- documents from the registrar or the correspondent depository, authorized bodies, issuer, other documents.

8.6.3. Outgoing documents:

- Report on the execution of administrative operation issued to the Depositor (Annex 28 to the Terms and Conditions).

8.6.4. Performance schedule:

- 1) receipt of incoming documents - T day;



- 2) execution of the operation-day - T day;
- 3) issuance of the report – T+1 day (issuance of the report to the nominee holder — T day).

8.7. Removal of the restriction on transactions with the issue of securities is made in connection with receipt to the Depository of documents from the registrar, the correspondent depository, authorized bodies, information from the issuer, other documents according to the legislation of the Russian Federation containing information of removal on restriction of transactions with the issue of securities.

8.7.1. Subject of the operation: registration in the Depository of removal of restriction on transactions with the issue of securities.

8.7.2. Incoming documents:

– documents from the registrar, the correspondent depository, authorized bodies, issuer, other documents.

8.7.3. Outgoing documents:

– Report on the execution of administrative operation issued to the Depositor (Annex 28 to the Terms and Conditions).

8.7.4. Performance schedule:

- 1) receipt of incoming documents — T day;
- 2) execution of the operation-day — T day;
- 3) issuance of the report — T+1 day (issuance of the report to the nominee holder — T day).

## **Chapter 9. Inventory operations**

9.1. The Depository shall arrange deposit of securities to the Depositor's securities account in case of their deposit to personal account (securities account) of a nominee holder of Bank ICBC (JSC) in the register of securities owners (correspondent depository).

9.1.1. Subject of the operation: the deposit of securities to the Depositor's securities account in reregistration of securities in the name of Bank ICBC (JSC) as a nominal holder in the register of securities owners of in deposit of securities to a securities account of a nominee holder of Bank ICBC (JSC) in a correspondent depository (except for depositing securities upon performance by the Depositor of transactions concluded in the trading system of the exchange for the Depositors' trading securities accounts).

9.1.2. Incoming documents:

– The Depository Order for the deposit of securities to the securities account (Annex 18 to the Terms and Conditions). If the order includes the time frame and/or terms and conditions of its performance, the Depository shall take into account such time frame and/or terms and conditions;

– In the event the Depositor concludes a transaction not via the exchange within the framework of brokerage services rendered by Bank ICBC (JSC), a copy of the order for transaction conclusion not via the exchange and an original or a copy of the agreement for transaction not via the exchange;

– Notice from the registrar, report of the correspondent depository on the performance of the operation on securities deposit to the personal account (securities account) of a nominee holder of Bank ICBC (JSC);

– Other documents upon the Depository's request in accordance with the legislation of the Russian Federation and regulations of Bank of Russia.

Where it is impossible to definitively correlate the notice from the registrar (report of the correspondent depository) and the depository order, the Depository may demand that under the procedure (Terms and Conditions of Depository Activities) of the correspondent depository, the Depositor should provide additional documents in accordance with the requirements of the correspondent depository or registrar, particularly the originals or notarized copies of agreements, which are the basis for operation performance, notices (reports) on operation performance, other documents.

#### 9.1.3. Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- statement of securities account (Annex 27 to the Terms and Conditions), shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

#### 9.1.4. Performance schedule:

- 1) Receipt from the Depositor of the order for depositing securities to the securities account, other required documents, receipt by the Depository of a copy of the order for transaction conclusion not via the exchange and an original or a copy of the agreement for transaction not via the exchange — T day;
- 2) Receipt of the notice (report) from the registrar or correspondent depository on deposit of securities to the personal account (securities account) of Bank ICBC (JSC) as a nominee holder in the register of securities owners (correspondent depository) — M day;
- 3) deposit of securities to the ‘unidentified party’ account (if M day is before T day) — day M;
- 4) Transfer of securities from an ‘unidentified party’ account to the Depositor’s securities account (if M day is before T day) — T day;
- 5) Deposit of securities to the securities account of the Depositor (if T day coincides with M day) — M day.

The deposit of securities to the Depositor’s securities account shall be performed only upon positive completion of comparison of the details of the Depositor’s order with the details of the notice from the registrar (report of the correspondent depository) on performance of the deposit of securities to the personal account (securities account) of the nominal holder;

- 6) Issuance of outgoing documents to the Depositor: if T day is before M day — M+1 day (on the nominee securities account — M day); if M day is before T day — T+1 day (on the nominee securities account — T day).

In the event of deposit to the Depositor’s securities account of securities received as a result of return or of securities improperly acquired by other parties due to an error (or of securities, to which they were converted,) as well as in a month from the date of deposit of securities to an unidentified party account of another depository/registrar, the Depository’s report on deposit of securities to the Depositor’s securities account provided to the Depositor shall include reference to the fact that the securities were deposited to the securities account due to their return to that securities account, from which such securities were withdrawn, or securities, which were converted to them.

9.2. The Depository shall arrange withdrawal of securities from the Depositor’s securities account in their withdrawal from a personal account (securities account) of a nominee holder of Bank ICBC (JSC) in the register of securities owners (correspondent depository).

#### 9.2.1. Subject of the operation: the withdrawal of securities from the Depositor’s securities

account for reregistration of securities from the personal account of Bank ICBC (JSC) as a nominal holder in the register of securities owners or in the withdrawal of securities from a securities account of a nominee holder of Bank ICBC (JSC) in a correspondent depository (except for withdrawal of securities upon performance by the Depositor (the Depositor's authorized representative) of transactions concluded via the trading system of the exchange for the Depositors' trading securities accounts).

#### 9.2.2. Incoming documents:

- The Depository Order to Withdrawal Securities from securities account (Annex 19 to the Terms and Conditions) with reference to the personal account (securities account) number in the register of securities owners (in the correspondent depository), to which the securities withdrawn should be deposited as well as other necessary details. If the order includes the time frame and/or terms and conditions of its performance, the Depository shall take into account such time frame and/or terms and conditions;

- In the event the Depositor concludes a transaction not via the exchange within the framework of brokerage services rendered by Bank ICBC (JSC), a copy of the order for transaction conclusion not via the exchange and an original or a copy of the agreement for transaction not via the exchange;

- Notice from the registrar (report of the correspondent depository) on the performance of the operation on securities withdrawal from the personal account (securities account) of a nominee holder of the Depository;

- Other documents at the Depository's request.

The Depository may demand that the Depositor should, under the procedure (Terms and Conditions of Depository Activities) of another depository, provide additional documents in accordance with the requirements of another depository/registrar, particularly the originals or notarized copies of agreements, which are the basis for operation performance, notices (reports) on operation performance, other documents.

#### 9.2.3. Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);

- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions);

- Notice (statement, report) of the registrar or correspondent depository on performance of the operation on withdrawal of specified securities from the account of Bank ICBC (JSC) (on the request of the Depositor or another operation originator).

#### 9.2.4. Performance schedule:

- 1) Receipt from the Depositor of the order for withdrawal of securities from the securities account with the Depository — T day;

- 2) Sending to the registrar of transfer order, other necessary documents (or depository order to the correspondent depository) for reregistration of securities from the personal account (securities account) of a nominee holder of Bank ICBC (JSC) in the register of securities owners (correspondent depository) to the account specified by the Depositor in its depository order — T+1 day;

- 3) Recording of the fact of limitation of operations with securities specified by the Depositor in its depository order, by transferring securities to reregistration subaccount of the same securities account of the Depositor, delivery of the operation report to the Depositor —

T+H day, where H is the day when the Depository received a report from the correspondent depository on recording the fact of limitation of operations with securities;

4) Receipt of the notice from the registrar (report of the correspondent depositor) on the performance of operation on withdrawal of securities from the nominee personal account (securities account) in the register of securities owners (correspondent depository) of the Depository — T+H+M day, where M is time during which the registrar (correspondent depository) performed the transfer order (depository order) of the Depository and provided the Depository a notice or a report on the operation performed;

5) Withdrawal of securities specified in the Depositor's order from its securities account — T+H+M day;

6) Issue to the Depositor of outgoing documents — T+H+M+1 day (on the nominee securities account — T day).

In the event of refusal of the registrar or the correspondent depository to perform the reregistration of the ownership rights, the Depository shall provide a copy of such refusal to the Depositor. If such refusal is due to erroneous actions of the Depositor, the latter shall compensate Bank ICBC (JSC) for the expenses for the performance of such order. The Depositor's order shall be deemed performed.

9.3. The Depository performs operations on transfer of securities between securities accounts and between subaccounts of the same securities account.

9.3.1. Subject of the operation: making records on the withdrawal of securities from a subaccount of one securities account and their depositing to a subaccount of another securities account or the withdrawal of securities from one subaccount of a securities account and their depositing to another subaccount of the same securities account.

9.3.2. Incoming documents:

- Transfer Order of the originator Depositor or the Depository (if the originator of this operation is the Depository, authorized state bodies or the issuer) (Annex 20 to the Terms and Conditions);

- Depository Order of the beneficiary Depositor (in the event of securities transfer from securities account of one Depositor to securities account of another Depositor);

- The Depository's duty assignment (if necessary, in cases of securities transfer under the legislation of the Russian Federation, including in cases specified herein);

- Other documents.

9.3.3. Outgoing documents:

- report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);

- statement of securities account (Annex 27 to the Terms and Conditions), shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

9.3.4. Performance schedule:

- 1) receipt of the originator depositor's order — T day;

- 2) receipt of the beneficiary depositor's order — N day;

- 3) securities transfer — day T+1 (if N<T), N+1 (if T<N);

- 4) issue of reports to the Depositors — T+2 day (if N<T), N+2 day (if T<N).

9.4. The depository shall perform operations on relocation (change of place of securities storage).

9.4.1. Subject of the operation: making records on relocation (change of securities storage

place). In relocation of securities, the balance of securities registered in the Depositor's securities account does not change. In addition, an operation is performed of withdrawal of the securities relocated from a securities account in one storage place and deposit to a securities account in another storage place.

#### 9.4.2. Incoming documents:

- The Depository Order to Change Securities Storage Place (Annex 21 to the Terms and Conditions);

- notice from the registrar (report of the correspondent depositor) on the operation on the nominee personal account (securities account) of the Depository (if such operation resulted in increase or decrease of the balance in the nominee personal account (securities account) of the Depository in the register of securities owners (correspondent depository));

- Other documents at the Depository's request.

#### 9.4.3. Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);

- Statement of securities account (Annex 27 to the Terms and Conditions), shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

#### 9.4.4. Performance schedule:

- 1) Receipt of orders for relocation of securities — T day;

- 2) Sending to the registrar of transfer order, sending to the correspondent depository of depository order, other necessary documents for withdrawal of securities from the nominee personal account (securities account) of Bank ICBC (JSC) in the register of securities owners (correspondent depository) — T day;

- 3) Sending to the registrar of transfer order, other necessary documents (sending a depository order to the correspondent depository) for deposit of securities to the nominee personal account (securities account) of Bank ICBC (JSC) in the register of securities owners (correspondent depository) — T+1 day;

- 4) Recording of the fact of limitation of operations with securities specified by the Depositor in its depository order, in the Depositor's securities account by transferring securities to the reregistration subaccount — T+H day, where H is the day when the Depository received a report from the correspondent depository, from which the securities are transferred; the report on recording of the fact of limitation of operations with securities or of securities withdrawal;

- 5) Receipt of notices from the registrar (reports of the correspondent depositor) on the performance of operation on deposit or withdrawal of securities to the nominee personal account (securities account) (from the personal account or securities account) in the register of securities owners (correspondent depository) of the Depository and reflecting of the operation on securities accounts in the Depository — T+H+M+1 day, where M is time, during which the registrar (correspondent depository) performed the transfer order (depository order) of the Depository and provided the Depository a notice or a report on the operation performed;

- 6) Issue to the Depositor of outgoing documents — T+H+M+1 day (on the nominee securities account — T+H+M day).

9.5. The Depository arranges recordkeeping of securities on Depositor's operations via the exchanges.

9.5.1. Subject of the operation: securities deposit to and/or withdrawal from the Depositors' securities accounts executed by the Depository upon performance by the Depositor (its

authorized representative) of transactions concluded and calculated in the trading system of the exchange.

#### 9.5.2. Incoming documents:

- Reports of the clearing organization based on the trades via the exchange (including an extract from the register of transactions accepted for clearing);
- Any other information on the results of trades via the exchange;
- orders for transactions with securities within the framework of rendering brokerage services to the Depositor by the Bank ICBC (JSC) (applications for transactions);
- The Depositor's order on the trading securities account opened with the Depository and agreement of the clearing organization to the order on the trading securities account of Bank ICBC (JSC) as a nominee holder where the rights to the securities specified in the order are registered;
- Report on operations performed in the nominee trading securities account of Bank ICBC (JSC) in the correspondent depository;
- Other documents.

#### 9.5.3. Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

#### 9.5.4. Performance schedule:

- 1) Receipt by the Bank ICBC (JSC), which provides brokerage services to the Depositor, an application for transactions – T+1 day;
- 2) Receipt of the report of the clearing organization following the trades, other information following the trades via the exchange, the Depositor's order on the trading securities account opened with the Depository — T+1 day;
- 3) Receipt of the report on operations performed in the nominee trading securities account of Bank ICBC (JSC) in the correspondent depository, reconciliation of the specified report with the report of the clearing organization. In the event of absence of any discrepancies, reflection of the operation in securities accounts in the Depository — T+1 day. In the event of any discrepancies, a request shall be sent to the correspondent depository and the clearing organization to identify the reasons for the discrepancies and receipt of correct incoming documents. Reflection of the operation on the securities accounts after their receipt) — T+1 day;
- 4) Issue to the Depositor of outgoing documents — T+1 day (on the nominee securities account — T day).

9.6. The Depository accepts for storage and accounting the issues of non-issue-grade certificated securities for their lock-up.

9.6.1. Subject of the operation: acceptance for storage and accounting of non-issue-grade certificated securities to the Depositor's securities account.

In order to obtain an opinion on the authenticity of the certificate of an non-issue-grade security, Bank ICBC (JSC) may transfer it for examination.

Bank ICBC (JSC) shall not be liable for the invalidity of non-issue-grade certificated securities accepted for storage and accounting as well as for the fulfillment of obligations thereon.

#### 9.6.2. Incoming documents:

- Depositor's order for receipt of certificated securities for storage and accounting (Annex 22 hereto);
- Conclusion on the authenticity of the security certificate;
- Documents confirming the receipt of the certificated securities in the vault of Bank ICBC (JSC) or a report on operation performed in the nominee securities account of Bank ICBC (JSC) in the depository storage place.

9.6.3. In the receipt by the Depository of non-issue-grade certificated securities, a Certificate of Securities Delivery and Receipt shall be drawn up in two copies, which specifies the securities and documents provided to the Depositor's authorized representative. One copy shall be delivered to the Depositor, the other copy remains in the Depository.

#### 9.6.4. Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions), shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions);
- Securities transfer and acceptance certificates.

9.6.5. Performance schedule: deposit of definitive non-issue-grade certificated securities to a securities account upon their transfer for depository registration shall be performed not later than on the business day following the day of the latest of the following:

- Receipt of the Depositor's order and other incoming documents — T day;
- Transfer of non-issue-grade certificated securities to Bank ICBC (JSC) for their depository accounting — T day;

Issuance of reports on the operation and certificates of transfer and acceptance of securities — T+1 day (on the nominee securities account — T day).

9.7. The depository withdraws from storage and accounting the issues of non-issue-grade certificated securities.

9.7.1. Subject of the operation: issuance of certificates of non-issue-grade certificated securities and the withdrawal of issued securities from the securities account of the Depositor.

#### 9.7.2. Incoming documents:

- Depositor's order for withdrawal of certificated securities from storage and accounting (Annex 23 hereto);
- Documents confirming the release of the definitive non-issue-grade certificated securities or a report on operation performed on the nominee securities account of the depository in the correspondent depository, in the vault of Bank ICBC (JSC).

9.7.3. In the issue by the Depository of non-issue-grade certificated securities, a Certificate of Securities Delivery and Receipt shall be drawn up in two copies, which specifies the securities and documents provided to the Depositor's authorized representative. One copy shall be delivered to the Depositor, the other copy remains in the Depository.

#### 9.7.4. Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions), shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions);

- Securities transfer and acceptance certificates.

#### 9.7.5. Performance schedule:

- 1) Receipt of the Depositor's order and other incoming documents — T day;
- 2) Withdrawal of non-issue-grade certificated securities from a securities account upon termination of their depository registration shall be performed not later than on the business day following the day of the latest of the following:
  - Receipt of the Depositor's order and other incoming documents — T+1 day;
  - Transfer of certificated securities to the Depositor (M) — M+1 day;
- 3) Issuance of reports on the operation and certificates of transfer and acceptance of securities — T+2 day or M+2 day (on the nominee securities account — T+1 day or M+1 day).

### **Chapter 10. Package operations. Encumbrance of securities with obligations. Limitation of the securities disposal. Operations in unidentified party account**

10.1. The Depository shall register any encumbrance of the Depositor's securities with obligations.

The Depository shall make a record on encumbrance of securities on the owner securities account, trustee securities account or foreign authorized holder securities account subject to availability of information enabling identification of the person in whose favor the encumbrance is made, as well as the original or a notarized copy of the document, based on which the securities are encumbered.

Registration of the securities encumbrance shall be performed by making a credit entry in the pledged subaccount where the rights to encumbered securities are registered.

The record (records) on the encumbrance of securities shall include the following information:

- 1) Information which helps to identify the securities encumbered and the number of such securities;
- 2) Manner and terms of securities encumbrance;
- 3) Date and basis for registration of securities encumbrance;
- 4) Information on the person in whose favor the encumbrance allowing to identify the specified person is established, according to the paragraph the third point 2 of article 51.6 of the Federal law 'On the securities market'.

Registration of modification of the terms and conditions of encumbrance of securities is performed by making a record of the new encumbrance terms and conditions in the records of securities encumbrance.

In registration of charge over securities, the Depositor may open several pledged subaccount in the Depositor's securities account corresponding to different pledge agreements.

If the pledgee is not a Depositor of the Depository or Bank ICBC (JSC) has not concluded with it any other agreement, under which a package of documents necessary to identify the pledgee was provided, the pledgee shall provide to the Bank ICBC (JSC) the information on the state registration of legal entity, the original sample signatures, and seal card, or a notarized copy of the original sample signatures and seal card, or the original or a copy of the original sample signatures and seal card certified by the bank, to which such card was provided earlier as well as originals or notarized copies of documents executed in accordance with the legislation of the Russian Federation confirming the relevant powers of persons entitled to sign documents



on behalf of a legal entity.

1) Subject of the operation: execution of securities withdrawal from one subaccount of the Depositor's securities account and their depositing to the pledged subaccount of the same securities account.

The Depositor originates the operation.

2) Incoming documents:

- The Depository Order to Transfer Securities (Annex 20 to the Terms and Conditions);
- A copy of securities pledge agreement, any other document determining the terms and conditions of encumbrance of securities with obligations;
- Other documents in accordance with federal laws and regulations of the Russian Federation.

3) Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions);
- Information on pledged securities shall be provided upon the request of a pledgee (which may and may not be a Depositor of the Depository).

The pledgee's request shall include:

- Full name of the pledge holder that is an individual or full name of the pledge holder that is a legal entity;
- Full name of the pledger that is an individual or full name of the pledger that is a legal entity;
- Number and date of pledge agreement (another document, based on which the securities were pledged);
- Securities issue name;
- Security state registration number (ISIN code);
- Number of securities;
- Other information.

The Depository's report based on the pledgee's request received shall contain:

- Time and date, for which the information is confirmed;
- Full name, address, and telephone number of the Depository;
- Full name of the pledger that is an individual or full name of the pledger that is a legal entity;
- Number of pledgee's securities account, in which the pledged securities are registered;
- Number and date of pledge agreement (another document, based on which the securities were pledged);
- Securities issue name;
- Security state registration number (ISIN code);
- Number of securities;
- Other information.

4) Performance schedule:

- a) Receipt of the Depositor's order for transfer of securities and other documents — T day;
- b) Identification of the securities pledgee — T+3 day;
- c) Registration of encumbrance of securities — T+4 day;

d) Issue of report to the Depositor — T+5 day (on the nominee securities account — T+4 day);

e) Receipt of the pledgee's request for operation report — T day;

f) Issuance of the report to the pledgee — N+1 day.

10.2. The Depository registers the restriction of securities disposal.

Registration of restriction of securities operations shall be performed in the owner securities account, the depository program securities account, the trustee securities account, the foreign authorized holder securities account.

Registration of the restriction of securities disposal shall be performed by making a credit entry in the subaccount where the rights to restricted disposal securities are registered.

The record (records) on restriction of disposal of securities shall include the following information:

1) Information, which helps to identify the securities, for which the restriction is set and the number of such securities;

2) Description of the restriction of disposal of securities (seizure, blocking or ban on operations with securities);

3) Date and basis of registration of the restriction of disposal of securities.

To register the fact of restriction of securities operations, subaccounts are opened in the securities account depending of the type of restrictions.

Withdrawal of securities, for which the Depositor recorded (registered) restrictions on securities operations was registered, shall not be permitted except for the cases provided for under the legislation of the Russian Federation.

10.2.1. The restriction of securities operations shall be performed in the event of change of the place of storage of securities (relocation) where a report is received on withdrawal of securities by the correspondent depository or the registrar where the said securities were registered, but there should be no report on depositing the securities by the correspondent depository or the registrar where the securities will be registered as well as during the period of securities reregistration.

1) Subject of the operation: execution of securities withdrawal from the subaccount of the Depositor's securities account where the securities are registered and depositing of the same securities to the reregistration subaccount of the same securities account.

The Depositor originates the operation.

2) Incoming documents:

– The Depository Order to Withdrawal Securities (Annex 19 to the Terms and Conditions) or the Depository Order to Change Securities Storage Place (Annex 21 to the Terms and Conditions);

– Other documents in accordance with federal laws and regulations of the Russian Federation.

3) Outgoing documents:

– Report on depository operation (operations) performed (Annex 26 to the Terms and Conditions);

– Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

4) Performance schedule:

a) Receipt of the Depositor's order for withdrawal of securities or the Depositor's order

for change of the place of storage of the securities — T day;

b) Sending of the order and other necessary documents to the correspondent depository or to the registrar — T+1 day;

c) Recording of the fact of limitation of operations with securities specified by the Depositor in its depository order in the Depositor's securities account by transferring securities to the reregistration subaccount — T+H+1 day, where H is the period, during which the Depository received a report from the correspondent depository, from which the securities are transferred on recording of the fact of limitation of operations with securities or of securities withdrawal;

d) Receipt of notices from the registrar (reports of the correspondent depository) on the performance of operation on deposit or withdrawal of securities to the nominee personal account (securities account) (from the personal account or securities account) in the register of securities owners (correspondent depository) of the Depository and presentation of the operation on securities accounts in the Depository — T+H+M+1 day, where M is time, during which the registrar (correspondent depository) performed the transfer order (depository order) of the Depository and provided the Depository a notice or a report on the operation performed;

e) Issue to the Depositor of outgoing documents — T+H+M+2 day (on the nominee securities account — T+H+M+1 day).

10.2.2. Restriction of securities operations shall be performed upon order of the authorized state bodies, as well as on other grounds, including seizure, except for accounting of collateral encumbrances of securities, limiting of operations for corporate action, for the fulfillment of obligations.

After the Bank ICBC (JSC) receives the communication on seizure of securities accounts of its Depositors from the Depositor that is a nominee holder or a foreign nominee holder, the Depository shall make a record on placement of a relevant restriction on the nominee securities account, foreign nominee securities account.

1) Subject of the operation: execution of securities withdrawal from the subaccount of the Depositor's securities account where the securities are registered and depositing of the same securities to the blocked subaccount of the same securities account.

The Depositor or competent authorities originate the operation.

2) Incoming documents:

- Documents of the competent authorities (court ruling, a certified copy of court ruling, executive writ, other executive documents confirmed by the authorities that issued them, ruling (order) of enforcement officer, judge's ruling on permission of seizure procedure in respect of property and of protocol on seizure of securities, instructions, acts of the Bank of Russia, other documents of authorized state bodies provided for under the current legislation of the Russian Federation;

- Other documents in accordance with federal laws and regulations of the Russian Federation.

3) Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);

- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions);

4) Performance schedule:

- a) Receipt of the incoming documents — T day;
- b) Registration of encumbrance of securities — T+1 day;
- c) Issue of report to the Depositor — T+2 day (on the nominee securities account — T+1 day).

10.2.3. Restriction of securities operations shall be performed in the event of the issuer's corporate actions.

1) Subject of the operation: execution of securities withdrawal from the subaccount of the Depositor's securities account where the securities are registered and depositing of the same securities to the subaccount 'blocked for corporate action' of the same securities account.

The issuer originates the operation.

2) Incoming documents:

- The Depositor's application (order, instruction, direction) on repurchase (acquisition), transfer of securities in cases provided for under Articles 72, 76, 843, 847 of Federal Law No. 2018-Φ3 On Joint-stock Companies dated December 26, 1995;

- Report (statement) confirming blocking or release of securities in the nominee personal account (securities account) of Bank ICBC (JSC) with the registrar (correspondent depository) in connection with the issuer's corporate actions;

- Other documents in accordance with federal laws and regulations of the Russian Federation.

3) Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);

- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions);

4) Performance schedule:

- a) Acceptance of incoming documents — T day; In the event of operations with securities repurchased under Article 848 of Federal Law No. 208-Φ3 On Joint-stock Companies dated December 26, 1995, the Depositor's application (order, instruction, direction) shall not be provided;

- b) Registration of encumbrance of securities — T+1 day;

- c) Issue of report to the Depositor — T+1 day (on the nominee securities account — T day);

10.2.4. Restriction of securities operations shall be performed in the event of the fulfillment of the Depositor's obligations.

1) Subject of the operation: execution of securities withdrawal from the subaccount of the Depositor's securities account where the securities are registered and depositing of the same securities to the subaccount 'blocked for fulfillment of obligations' of the same Depositor's securities account in the event of conclusion between Bank ICBC (JSC) and the Depositor of a brokerage agreement where the order for transaction conclusion not via the exchange is received by Bank ICBC (JSC).

The Depositor originates the operation.

2) Incoming documents:

- A copy of an order for transaction conclusion not via the exchange;

- An original or a copy of the agreement for transaction conclusion not via the exchange;

- Other documents.

3) Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

4) Performance schedule:

- a) Acceptance of incoming documents — T day;
- b) Transfer of securities from the 'pledged' subaccount — T+1 day;
- c) Issue of report to the Depositor — T+2 day (on the nominee securities account — T+1 day);

10.3. The Depository registers termination of encumbrance of securities with obligations.

Registration of termination of the securities encumbrance shall be performed by making a debit entry in the 'pledged' subaccount where the rights to encumbered securities are registered. The record is made in the same securities account, in which the record of securities encumbrance with obligations.

The record (records) on the termination of encumbrance of securities shall include the following information:

- Information, which helps to identify the securities, of which the encumbrance is terminated and the number of such securities;
- Information on the encumbrance of securities, which is terminated or a reference to such encumbrance;
- Date and basis for registration of securities encumbrance termination.

In the event of cessation of pledge registration in accordance with the legislation of the Russian Federation on pledge and the order signed by the pledger and the pledgee, the securities shall be transferred from the 'pledged' subaccount to the securities subaccount specified by the Depositor.

If at the moment of securities withdrawal from a securities account a right of pledge was registered by the Depository for such securities, deposit of such securities to the owner's securities account, trustee securities account or foreign authorized holder securities shall be performed simultaneously with the registration of the right of pledge in relation to the deposited securities under the same terms and conditions. In the event of withdrawal of such securities from the nominee securities account of Bank ICBC (JSC) with the registrar or correspondent depository, information on the terms and conditions of the pledge shall be provided to the respective registrar or the Depository.

1) Subject of the operation: execution of operation on withdrawal of securities from the Depositor's securities subaccount where they were transferred during registration of securities encumbrance with obligations.

The Depositor or the pledgee originates the operation.

2) Incoming documents:

- The Depository Order to Transfer Securities (Annex 20 to the Terms and Conditions). In the event of pledge termination, the pledger and the pledgee shall sign the said order. If the pledged securities were sold without legal proceedings in trading or left to the pledgee, the pledgee shall sign the order;
- Resolution (ruling) of the enforcement officer in the event that the pledged securities were sold in trading under a court ruling.

Other documents in accordance with federal laws and regulations of the Russian Federation.

3) Outgoing documents:

- report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- statement of securities account (Annex 27 to the Terms and Conditions), shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

4) Performance schedule:

- a) Acceptance of incoming documents — T day;
- b) Transfer of securities from the 'pledged' subaccount — T+1 day;
- c) Issue of report to the Depositor — T+2 day (on the nominee securities account — T+1 day);

10.4. The Depository registers the termination of restriction of securities disposal.

Registration of the termination of the restriction of securities disposal shall be performed by making a debit entry in the subaccount where the rights to restricted disposal securities are registered.

The record (records) on removal of restriction of disposal of securities shall include the following information:

- Information, which helps to identify the securities, for which the restriction is removed and the number of such securities;
- Date and basis of registration of the removal of the restriction of disposal of securities.

1) Subject of the operation: execution of operation on withdrawal of securities from the Depositor's securities subaccount where they were transferred during restriction registration.

The originator of the operation is Depositor, authorized bodies or the issuer.

2) Incoming documents:

- Documents of the authorized bodies (court ruling, (a certified copy of court ruling) including injunction, ruling of enforcement officer, determination of the person or body in whose proceeding the criminal case is when the seizure of securities is not necessary any more, other executive documents certified by the issuing bodies, acts of the Bank of Russia, other documents of authorized state bodies provided for under the current legislation of the Russian Federation);

- Communications from the Depositor that is a nominee holder or a foreign nominee holder on removal of attachment from the securities accounts of its Depositors;

- Notices from the registrar (reports of the correspondent depository) confirming release of securities in the nominee personal account (securities account) of Bank ICBC (JSC) with the registrar (correspondent depository) — in the event of registration of blocking of securities redeemable in accordance with the legislation of the Russian Federation;

- Other documents in accordance with federal laws and regulations of the Russian Federation.

3) Outgoing documents:

- Report on depository operation (operations) performed (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

4) Performance schedule:

- a) Receipt of the incoming documents — T day;
- b) Operation performance — T+1 day;
- c) Issue of report to the Depositor — T+2 day or the day following the day of operation execution (on the nominee securities account — T+1 day or day of operation execution).

10.5. The Depository performs suspension of securities account operations.

10.5.1. The Depository shall suspend operations on the Depositor's securities accounts upon receipt of information on the Depositor's death.

1) Subject of the operation: suspension by the Depository of securities operations on the securities accounts upon receipt of information on the Depositor's death.

The originator of the operation is the Depository.

2) Incoming documents:

- The certificate of death of the Depositor (any other document confirming the Depositor's death);

- Request of notary public or court containing information on the Depositor's death;

- Other documents in accordance with the legislation of the Russian Federation.

3) Outgoing documents:

- Report on the execution of administrative operation (Annex 28 to the Terms and Conditions);

- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided at request of notary public or court.

4) Performance schedule:

- a) Receipt of the certificate of death of the Depositor, request of notary public or court containing information on the Depositor's death, other incoming documents — T day;

- b) Registration of suspension of securities operation by transfer of securities to the 'blocked' subaccount — T+1 day;

- c) Sending to Depositors of reports on suspension of securities account operations — T+1 day.

10.5.2. The Depository shall suspend operations on the Depositor's securities accounts or over separate subaccounts of the Depositor in the event of non-fulfillment by the Depositor of financial obligations to Bank ICBC (JSC) in accordance with these Terms and Conditions.

1) Subject of the operation: suspension by the Depository of securities operations on the securities account or securities subaccounts in the event of non-fulfillment by the Depositor of financial obligations to Bank ICBC (JSC).

The originator of the operation is the Depository.

2) Incoming documents:

- Duty assignment of the Depository.

3) Outgoing documents:

- a) Report on the execution of administrative operation (Annex 28 to the Terms and Conditions) — in case of suspension of operations on securities account as a whole;

- b) Report on suspension of securities account operations directed to the Depositor — Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions) — in case of suspension of operations on securities subaccounts.

4) Performance schedule:

- a) Preparation of the Depository's duty assignment in the event of non-fulfillment by the Depositor of financial obligations in accordance with these Terms and Conditions — T day;

- b) Registration of suspension of securities operation by transfer to the 'blocked'

subaccount — T day;

c) Sending reports to the Depositor — T+1 day (on the nominee securities account — T day).

10.5.3. The Depository shall also suspend operations on the liquidated Depositor's securities accounts in the event of cancellation of the Depositor's license.

1) Subject of the operation: suspension by the Depository of securities operations on the liquidated Depositor's securities accounts as well as in the event of cancellation of license of the Depositor that is a legal entity.

The originator of the operation is the Depository.

2) Incoming documents:

– Resolution of authorized bodies on liquidation of the Depositor or on cancellation of the Depositor's license;

– Information from Uniform State Register of Legal Entities on the procedure for liquidation of the Depositor that is a legal entity;

– Information or document on the start of procedure for liquidation of the Depositor that is a foreign legal entity (a foreign organization that is not a legal entity) under the legislation of the country, under which it was established;

– Other documents in accordance with the legislation of the Russian Federation.

3) Outgoing documents:

– Report on suspension of securities account operations directed to the Depositor — Report on the execution of administrative operation (Annex 28 to the Terms and Conditions).

4) Performance schedule:

a) Receipt by the Depository of the resolution of competent authorities on liquidation of the Depositor or on cancellation of the Depositor's license, other documents — T day;

b) Registration of suspension of securities operation — T+1 day;

c) Sending to the Depositor of the report on suspension of securities account operations — T+2 day (on the nominee securities account — T+1 day).

10.5.4. The Depository shall suspend operations on the Depositor's securities accounts (securities subaccounts) in accordance with the resolution of authorized state bodies, including in connection with an instruction of regulatory authorities in the securities market, and in other cases provided for under the legislation of the Russian Federation.

1) Subject of the operation: suspension by the Depository of securities operations in the securities account due to a resolution of authorized state bodies, including instruction of regulatory authorities in the securities market.

The originator of the operation is state authority, the Depository.

2) Incoming documents:

– Resolution of authorized state bodies;

– Other documents in accordance with the legislation of the Russian Federation.

3) Outgoing documents:

– Reports on suspension of securities account operations directed to the Depositor:

a) Report on the execution of administrative operation (Annex 28 to the Terms and Conditions) — in case of suspension of operations on securities account as a whole;

b) Report on suspension of securities account operations directed to the Depositor — Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions) — in case of suspension of operations on securities subaccounts.

4) Performance schedule:



- a) Receipt of resolution of authorized bodies, other incoming documents — T day;
- b) Registration of suspension of securities operation — T day;
- c) Sending reports to the Depositor — T+1 day (on the nominee securities account — T day).

10.6. The Depository shall resume securities account operations.

10.6.1. The Depository shall resume operations on the Depositor's securities accounts upon receipt by the Depository of information on transfer of title to the securities of the deceased Depositor by inheritance to any other persons under the will or law.

1) Subject of the operation: resumption by the Depository of operations on securities account upon receipt by the Depository of information on transfer of title to the securities of the deceased Depositor by inheritance to any other persons under the will or law.

The originator of the operation is the Depository.

2) Incoming documents that serve the basis for withdrawal of securities from the testator's account:

- Certificate of inheritance rights;
- Orders signed by the heirs;
- Agreement for division of inherited estate signed by all the share ownership participants or their authorized representatives in the presence of an employee of the Depository or notarized and containing specification of the number of securities due to each share ownership participant (original or copy confirmed by court or notarized);
- Court resolution;
- Other documents in accordance with the legislation of the Russian Federation.

3) Outgoing documents:

– Reports on securities accounts directed to the persons, to whom passed the right of ownership of the securities to Depositor:

a) Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);

b) Report on the execution of administrative operation (Annex 28 to the Terms and Conditions).

4) Performance schedule:

a) Receipt of the certificate of inheritance rights, court resolution, orders, agreement for division of inherited property, other incoming documents — T day. Division of securities according to the shares specified in the certificate of inheritance rights or the court resolution shall be performed by the Depository only subject to availability of Depository Orders for depositing of securities (Annex 18 hereto) signed by all the share ownership participants or by their authorized representatives in the presence of an employee of Bank ICBC (JSC) or notarized;

b) Transfer of securities to the heirs' securities accounts opened with the Depository, correspondent depository or registrar — T+1 day;

c) Sending to Depositors of reports on securities accounts — T+2 day;

10.6.2. The Depository shall resume operations on the Depositor's securities accounts or separate securities subaccounts in the event of fulfillment by the Depositor of financial obligations to Bank ICBC (JSC) in accordance with these Terms and Conditions.

1) Subject of the operation: resumption by the Depository of securities operations on the securities account (securities subaccounts) in the event of fulfillment by the Depositor of financial obligations to Bank ICBC (JSC) in accordance with these Terms and Conditions.

The originator of the operation is the Depository.

2) Incoming documents:

- Duty assignment of the Depository.

3) Outgoing documents:

- Reports on securities accounts directed to the Depositors:

- a. Report on the execution of administrative operation (Annex 28 to the Terms and Conditions) — in case of suspension of operations on securities account as a whole;

- b. Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions) — in case of suspension of operations on securities subaccounts.

4) Performance schedule:

- a) Preparation of the Depository's duty assignment in the event of fulfillment by the Depositor of financial obligations in accordance with these Terms and Conditions — T day;

- б) Registration of resumption of securities operation — T day;

- в) Sending to Depositors of reports on securities accounts — T+1 day.

10.6.3. The Depository shall also resume operations on the liquidated Depositor's securities accounts in the event of cancellation of the Depositor's license.

1) Subject of the operation: resumption by the Depository of securities operations on the liquidated Depositor's securities accounts as well as in the event of cancellation of the Depositor's license.

The originator of the operation is the Depository.

2) Incoming documents:

- Information from Uniform State Register of Legal Entities on termination of the procedure for liquidation of the Depositor that is a legal entity;

- Information or document on liquidation of the Depositor that is a foreign legal entity (a foreign organization that is not a legal entity) under the legislation of the country, under which it was established;

- Orders on the securities account of the Depositor under liquidation initiated by persons in the liquidation committee specified in the card with sample signatures of such persons;

- Order of depository Depositor for withdrawal of securities to owner accounts (in the event of cancellation of license of the depository Depositor);

- Other documents in accordance with the legislation of the Russian Federation.

3) Outgoing documents:

- Sending to Depositors of reports on securities accounts — Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions), Certificate of opening (closing) a securities account (Annex 15 to the Terms and Conditions).

4) Performance schedule:

- a) Receipt of incoming documents — T day;

- б) Sending to the registrar or the correspondent depository of an order for transfer of securities to the details specified in the order or to an unidentified party account opened by the registrar or the correspondent depository performing centralized storage of securities — T+1 day;

- в) Receipt of the report from the registrar or of the correspondent depository on the performance of operation — N+1 day;

- г) Withdrawal of securities from the Depositor's securities account — N+1 day;

д) Closing of securities account and sending of reports to Depositors and other originators of orders on the securities account of the Depositor under liquidation and the depository Depositor on the event of cancellation of the license of the depository Depositor — N+2 day.

10.6.4. The Depository shall resume operations on the Depositor's securities accounts in accordance with the resolution of the authorized state bodies, including in connection with an instruction of regulatory authorities in the securities market, and in other cases provided for under the legislation of the Russian Federation.

1) Subject of the operation: resumption by the Depository of securities operations in the securities account of Depositor (securities subaccounts) due to a resolution of authorized state bodies, including instruction of regulatory authorities in the securities market.

The originator of the operation is state authority, the Depository.

2) Incoming documents:

- Resolution of authorized bodies;
- Other documents in accordance with the legislation of the Russian Federation.

3) Outgoing documents:

– Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions) or report on the execution of administrative operation (Annex 28 to the Terms and Conditions);

– Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

4) Performance schedule:

- a) Receipt of resolution of authorized bodies, other incoming documents — T day;
- b) Registration of resumption of securities operation — T day;
- c) Sending to Depositors of reports on resumption of securities account operations — T+1 day (on the nominee securities account — T day).

10.7. Bank ICBC (JSC) performs operations on the securities account of unidentified parties.

1) Subject of the operation: deposit and/or withdrawal of securities to/from an unidentified parties securities account.

Securities are subject to depositing to an unidentified party securities account if there are no reasons to deposit them to the Depositor's securities account.

Securities are subject to withdrawal from an unidentified party securities account in the event of:

– Return of securities in accordance with the legislation of the Russian Federation based on reporting documents provided by the registrar or a correspondence depository having opened a nominee securities account for Bank ICBC (JSC), which documents contain information on the erroneous nature of the record on the deposit of such securities or the securities they were converted from to the said account;

– After one (1) month from the date of the deposit of such securities or the securities they were converted from to the said account;

– Where upon the registrar's request Bank ICBC (JSC), for which the registrar opened a nominee account, provides to such registrar the order for withdrawal of securities from such account and deposit of them to the account of another party registered with the registrar claiming the erroneous nature of the order provided by the registrar, based on which the securities were withdrawn from its account and deposited in the nominee account of Bank ICBC

(JSC);

- In the event of receipt of documents making it possible to clearly identify the ownership of the securities.

2) Incoming documents:

- Report, other documents received from the correspondent depository or registrar;
- The Depository Order for the deposit of securities to the securities account (Annex 18 to the Terms and Conditions);

- Other documents in accordance with the legislation of the Russian Federation.

3) Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);

- Statement of securities account (Annex 27 to the Terms and Conditions), shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

4) Performance schedule:

a) Receipt by the Depository of the document confirming depositing of securities to an account of Bank ICBC (JSC) as a nominee holder opened with the registrar or the correspondent depository — T day;

b) Depositing of securities to an unidentified parties account in the absence of reasons for depositing of securities to the Depositor's securities account — T+1 day;

c) Receipt by the Depository of the document confirming withdrawal of securities from the account of Bank ICBC (JSC) as a nominee holder opened with the registrar or the correspondent depository, receipt of the Depositor's order for depositing of securities — T day;

d) Withdrawal of securities from the unidentified party securities account — T+1 day;

e) Issuance to the Depository of the report on depository operation (operations) performed on the securities account in the event of operation on the Depositor's securities account — T+2 day (on the nominee securities account — T+1 day).

## **Chapter 11. Global operations**

11.1. The depository performs the conversion of the securities.

Subject of the operation: replacement (withdrawal-deposit) in securities accounts of securities of one issue by securities of another issue in accordance with the ratio determined by the issuer within the time frame determined by resolution of the issuer's governing body.

Conversion may be:

Mandatory, implying indisputable replacement of all marketable securities of the issue to be replaced with the new one;

Voluntary implying only replacement of the securities of the issue, the owners of which gave their consent to that.

11.1.1. Incoming documents provided for mandatory conversion:

- Copies of the documents of the issuer to conduct the conversion operation with an indication of its term — subject to the provision of these documents by the registrar or depository correspondent;

- Notice on the conversion operation performed from the registrar or report on conversion operation performed in the correspondent depository in which that securities issue is registered on the deposit of the required number of the securities of the converted issue to the account of

Bank ICBC (JSC).

11.1.2. Outgoing documents, provided for mandatory conversion:

- Information messages to Depositors;
- Copies of documents of the issuer, which are the basis for operation performance (if any);
- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

11.1.3. Performance schedule of the mandatory conversion:

- 1) Receipt of the notice on the conversion operation performed from the registrar (report on conversion operation performed in the correspondent depository, in which that securities issue is registered) on the deposit of the required number of the securities of the converted issue to the account of Bank ICBC, (JSC) — T day;
- 2) Acceptance of securities of the new issue for servicing — T day;
- 3) Performance of conversion operation by withdrawal of old issue securities from securities accounts and deposit of an appropriate number of new issue securities — T day;
- 4) Termination of servicing of securities of the old issue — T+1 day;
- 5) Delivery of reports, placement of conversion information on the website of Bank ICBC (JSC) — T+1 day (on the nominee securities account — T day).

If after the conversion the number of securities belonging to some of the Depositors is a fraction, the question of redemption of fractional shares shall be resolved in accordance with the regulations of the Russian Federations and the issuer's instructions.

11.1.4. Voluntary conversion of registered securities is performed in several stages due to the necessity to inform the securities owners of their rights to perform the conversion of their securities as well as to inform the issue of such necessity.

1) Incoming documents at the first stage:

- Copies of the documents of the issuer to conduct the conversion operation with an indication of its term, subject to the provision of these documents by the registrar or depository correspondent;
- Information message to Depositors on availability for them and/or their customers of additional rights arising from ownership of securities of the issue, for which the voluntary conversion is possible and on the actions necessary to exercise those rights (including the issuer's decision);
- Questionnaire (signature list, other document) to determine the number of securities for conversion — determined by the issuer.

2) Performance schedule of the first stage:

- Receipt of information and materials from the issuer, the registrar or the correspondent depository to Bank ICBC (JSC) — T day;
- Sending to Depositors of information and materials received from the issuer, registrar or correspondent depository (transfer of documents in electronic form is allowed, if permitted by the legislation of the Russian Federation) — T+1 day.

3) Incoming documents at the second stage:

Report of Depositors with questionnaires filled up by the owners with indication of the number (total or partial) of securities owned and kept and/or registered in the Depository subject

to conversion under the issuance terms and conditions.

4) Outgoing documents at the second stage:

Information report to the registrar or correspondent depository or the issuer of the converted issue on the number of securities of that issue subject to conversion and on the owners willing to perform the conversion (with particular numbers for each of them).

5) Performance schedule of the second stage:

- Receipt of information from the issuer, the registrar or the correspondent depository — T day;
- Receipt of completed forms from the Depositor — within the time frame determined by the Depository — (T+M), where M is the period determined in the information message of the Depository, within which the information from the Depositor should be obtained;
- Recording of the fact of limitation of operations with securities of the converted issue in the subaccount blocked for conversion — on the date of receipt of completed forms from the Depositor referred to in Sub-clause 1 of this Clause;
- Processing of the information received and delivery of the necessary documents to the issuer, registrar or the correspondent depository — not later than the time determined by the issuer.

6) Absence of the Depositor's report with the questionnaire results within the time frame determined by the issuer and conveyed by the Depository in the information message shall be the grounds for the Depository to send the report without taking into account the Depositor's information. In this event, the Depository may refrain from the conversion operation in regard of this Depositor's securities. The Depositor shall bear full responsibility.

7) Incoming documents at the third stage:

Notice from the registrar from the Depository's nominee account on the operation performed (report on operation performed in the correspondent depository) specifying the number of new issue securities in the accounts of Bank ICBC (JSC).

8) Outgoing documents at the third stage:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

9) Performance schedule at the third stage:

- Receipt of the notice on the conversion operation performed from the registrar (report on conversion operation performed in the correspondent depository, in which that securities issue is registered) on the deposit of the required number of the securities of the converted issue to the account of Bank ICBC (JSC) (T day);
- Acceptance of securities of the new issue for servicing — T day;
- Performance of conversion operation by withdrawal of old issue securities from securities accounts and deposit of an appropriate number of new issue securities — T day;
- Termination of servicing of securities of the old issue — T+1 day;
- Delivery of reports — T+1 day (on the nominee securities account — T day).

11.2. The procedure for exchange, split, and consolidation operations is similar to the procedure for the mandatory conversion operation.

11.3. The depository performs operations of distribution of additional securities among the owners.

11.3.1. Subject of the operation: deposit of securities in accordance with the issuer's decision to the Depositors' securities accounts with non-zero security balances at the date specified by the issuer, pro rata which balances additional securities shall be deposited.

Modification of balances in securities accounts shall be performed in strict compliance with the issuer's decision on distribution of additional securities and the statement of the registrar or correspondent depositor on the number of securities deposited actually to the nominee securities account of Bank ICBC (JSC). In the event of discrepancy between the estimated figures and the actual number of deposited securities, the Depository shall not perform the operation until the disputable situation is settled.

11.3.2. Incoming documents:

- A copy of the securities issuer's decision on distribution of additional securities among the owners;
- Notice from the registrar or a report of the correspondent depository, which registers these securities and in which the securities account of Bank ICBC (JSC) is opened, on deposit of the required number of securities to the account of Bank ICBC (JSC).

11.3.3. Outgoing documents;

- Information messages to Depositors on the oncoming corporate action with copies of documents motivating the operation (documents may be sent electronically) and, if necessary, a request for the receipt of additional securities (if the issuer grants the right of option);
- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

11.3.4. Performance schedule:

- 1) Receipt of the notice on the operation performed from the registrar (report on operation performed in the correspondent depository) on the deposit of the additional number of the securities to the account of Bank ICBC (JSC) (T day);
- 2) Acceptance of securities of the new issue for servicing in the Depository — T day;
- 3) Performance of operation by deposit of an appropriate number of additional issue securities to the Depositors' securities accounts — T day (on the nominee securities account — T day);
- 4) Delivery of reports to the Depositors — T+1 day.

11.4. The Depository performs operations of consolidation of additional issues of issue-grade securities.

11.4.1. Subject of the operation: performance of consolidation of additional issues of issue-grade securities in securities accounts.

11.4.2. Incoming documents:

- A copy of the securities issuer's decision on consolidation of additional securities among the owners;
- Notice from the registrar or report of the correspondent depository, which registers these securities and in which the securities account of Bank ICBC (JSC) is opened, on the performance of consolidation operation in the account of Bank ICBC (JSC).

11.4.3. Outgoing documents:

- Information messages to Depositors;
- Copies of documents of the registrar or correspondent depository, which are the basis

for operation performance (if necessary);

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions), shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

#### 11.4.4. Performance schedule:

- 1) Receipt of the report from the registrar or of the correspondent depository on the performance of consolidation operation — T day;
- 2) Writing off and depositing of issues of securities subject to consolidation in accordance with the report of the registrar or correspondent depository — T day;
- 3) Reconciliation of the balance of the issuer's securities specified in the notice and the balance of the issuer's securities registered in the owner securities accounts — T day;
- 4) Delivery of reports to the Depositors — T+1 day (on the nominee securities account — T day).

The depository shall ensure the performance of the issue consolidation operation so that the information on the securities and operations with them before the issue consolidation remained in the depository records, in the Depositors' securities accounts.

11.5. The depository performs operations of cancellation of the individual number (code) of an additional securities issue.

11.5.1. Subject of the operation: performance of the procedure for cancellation of the individual number (code) of an additional securities issue and consolidation of the securities of the additional issue and the securities of the issue, to which it is additional.

#### 11.5.2. Incoming documents:

- Notice from the registrar or report of the correspondent depository, which registers these securities and in which the securities account of Bank ICBC (JSC) is opened, on the performance of the operation of cancellation of the code of an additional securities issue.

#### 11.5.3. Outgoing documents:

- Information messages to Depositors;
- Copies of documents of the registrar or correspondent depository, which are the basis for operation performance (if necessary);
- Report on the execution of administrative operation (Annex 28 to the Terms and Conditions).

#### 11.5.4. Performance schedule:

- 1) Receipt of the notice from the registrar or report of the correspondent depository — T day;
- 2) Performance of the operation of cancellation of the individual code of an additional issue by making a record in the securities issue questionnaire of cancellation of the individual number (code) of an additional securities issue and assignment to the securities of the additional issue of an individual state registration number of the issue, to which this issue is additional — T day;
- 3) Delivery of reports to the Depositors — T+1 day (on the nominee securities account — T day).

11.5.5. The depository shall ensure the performance of the code cancellation operation so that the information on the securities of the additional issue and operations with them before



the code cancellation operation remained in the depository records, in the Depositors' securities accounts.

11.6. The depository performs operations of cancellation (redemption) of a securities issue, acquisition by a joint-stock company of outstanding shares, repurchase of securities, preemptive right to acquire securities.

11.6.1. Subject of the operation: performance by the Depository of actions on the exercise of rights of securities owners concerning acquisition by a joint-stock company of outstanding shares, repurchase of securities, preemptive right to acquire securities as well as actions on withdrawal from the Depositors' securities accounts of securities of a canceled (redeemed) securities issue, repurchased securities.

Cancellation (redemption) of securities is performed in the event of:

liquidation of the issuer;

issuer's decision on cancellation or redemption of securities;

resolution of an authorized body to declare the securities issue void or invalid.

11.6.2. Incoming documents:

- A resolution (or its copy) of an authorized body to declare the securities issue void or invalid;

- A copy of the securities issuer's resolution on performance of actions necessary to cancel the issue with a reference to the time of cancellation of the issue, fully or partially;

- Notice from the registrar or report of the correspondent depository on the performance of the securities cancellation operation;

- Confirmation of the executive body keeping the Uniform State Register of Legal Entities;

- Information on liquidation of the legal entity that is the issuer of the securities;

- Information received from the registrar or correspondent depository concerning acquisition by a joint-stock company of outstanding shares, repurchase of securities, preemptive right to acquire securities;

- Depository Order for the implementation of rights to securities (participation in corporate action) made on form of Annex 24 hereto, Depositors' applications, orders, instructions.

11.6.3. Outgoing documents:

- Information messages to the Depositors on cancellation of securities, acquisition by a joint-stock company of outstanding shares, repurchase of securities, preemptive right to acquire securities, copies of documents motivating operation performance (documents may be transmitted electronically);

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);

- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

11.6.4. Schedule execution of cancellation of securities:

- 1) Receipt of the notice from the registrar or report of the correspondent depository on cancellation of securities and copies of documents motivating operation performance (documents may be transmitted electronically) — T day;

2) Withdrawal of securities declared void (invalid) or otherwise provided for under the legislation of the Russian Federation from the Depositors' securities accounts with the Depository — T+1 day;

3) Delivery of reports to the Depositors — T+2 day.

11.6.5. Performance schedule for acquisition by a joint-stock company of outstanding shares, repurchase of securities, preemptive right to acquire securities:

1) Receipt of information (documents) from the registrar or correspondent depositor on repurchase of securities or acquisition by a joint-stock company of outstanding shares or on possibility of exercise of the preemptive right for shareholders to acquire shares of a joint-stock company alienated under onerous transactions placed in a public offering — T day;

2) Transfer of the information received to Depositors (electronic transfer is permitted) specifying the term of document preparation in accordance with the time frame specified by the registrar or the correspondent depository — T+1 day;

3) Receipt from the Depositor of an application for sale of securities subject to repurchase, acquisition or direction (instruction, application) for purchase of outstanding securities of a person having a preemptive right to acquire shares of a joint-stock company alienated under onerous transactions — N day;

4) Transfer of securities subject to repurchase, acquisition, to the blocked for corporate action subaccount — N day;

5) Delivery of the application (direction, instruction) received from the Depositor to the registrar or correspondent depository — N+1 day;

6) Receipt of notice from the registrar or report from the correspondent depositor on withdrawal of repurchased securities or on depositing of securities or information on revocation by a shareholder of its request (offer) for repurchase of securities or acquisition by a joint-stock company of outstanding shares or possibility of exercise of the preemptive right for shareholders to acquire shares of a joint-stock company — M day;

7) Withdrawal of repurchased securities from the Depositors' securities accounts (the subaccount blocked for corporate action) or depositing of securities to the Depositors' securities accounts with the Depository or return of securities from the subaccount blocked for corporate action in case of receipt of information on revocation by a shareholder of its request (offer) for repurchase of securities or acquisition by the joint-stock company of placed shares — M day;

8) Delivery of reports to Depositors together with the information on revocation by a shareholder of its request (offer) for repurchase of securities or acquire by the joint-stock company of placed shares — M+1 day (on the nominee securities account — M day);

9) Receipt of monetary funds to the account of Bank ICBC (JSC) in connection with the sale of securities by their owners — K day;

10) Transfer of monetary funds received in the account of Bank ICBC (JSC) in connection with the sale of securities by their owners to the Depositor's accounts — K+1 day.

Peculiarities of operations of redemption (cancellation) of particular securities issues, acquisition by a joint-stock company of outstanding shares, repurchase of securities, preemptive right to acquire securities are determined under the legislation of the Russian Federation, securities issue and trading terms.

If the resolution on securities issue or any other document regulating their issue and trading provides for recording the fact of limitation of operations with the securities before redemption or repurchase, the limitation of operations with securities shall be arranged in the manner and

within the time frame under the instructions of the issuer, the registrar, the correspondent depository or in accordance with the legislation of the Russian Federation.

If upon the request of the issuer, the registrar of the correspondent depository a securities owners list should be provided, the execution of the list is performed under the procedure of drawing up a list of owners of securities of the issuer, registrar, correspondent depository, including provision of necessary documents and observance of the operation schedule.

If the legislation of the Russian Federation, terms and conditions of the securities issue and trading, other documents provide for an opportunity of request of early repurchase of securities, the Depositors willing to request early repurchase of their securities or the Depositors performing instructions of securities owners to request early repurchase of securities shall provide to the Depository the documents provided for under the terms and conditions of securities early repurchase request, as well as under the Terms and Conditions, only during the period established for the securities early repurchase request.

The form of the request for securities repurchase by the issuer, the list of additional documents to be provided by the Depositor to the Depository, the terms and conditions of repurchase, including recording of limitations of the operations with the securities requested for early repurchase, shall be determined under the terms and conditions of securities early repurchase request and shall be brought to the information of the Depositors in the Depository's information messages.

11.7. The depository shall arrange redemption and exchange of investment units.

Investment units can be accepted for service to the Depository if the trust management rules of the corresponding mutual fund allow for registration of the rights for investment units on the securities account with the Depository.

11.7.1. For redemption of investment units of investment funds, the Depository submits application for redemption of investment units to the respective management company of a mutual investment fund to the registrar or correspondent depository. After the registrar performs operation of their redemption, their withdrawal from the securities account with the Depository shall be made.

1) Subject of the operation: performance by the Depository of actions aimed at redemption of investment units of a mutual investment fund.

2) Incoming documents:

- Depository Order to Withdrawal Securities made on form of Annex 19 to the Terms and Conditions (the 'additional information' field contains the 'redemption of investment units');
- Documents proving acquisition of investment units (e.g., broker's report);
- Signed original questionnaire made on form of the correspondent depository (in case of redemption of investment units through the correspondent depository).

3) Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions).

4) Performance schedule:

- a) Receipt of the depository orders of Depositor on redemption of investment units; documents confirming the acquisition of investment units; signed questionnaire made on form of the correspondent depository (in case of operations on redemption of investment units

through the correspondent depository) — T day;

b) Sending by the management company of a corresponding mutual investment fund application for redemption of investment units — T+1 day;

c) If the units are in the nominee account in the correspondent depository, sending of the order and the questionnaire to the correspondent depository — T+1 day;

d) Performing a depository operation to record limitations of operations with units for delivery on the securities account — T+1 day;

e) Receipt of the notification of completion of the operation on the account of Bank ICBC (JSC) as the nominal holder issued by the registrar on the results of completing the operation for redemption of investment units — T+2+M day, where M is the time period, during which, in accordance with the rules of trust management of the respective investment fund, the necessary actions for redemption of investment units were carried out; ends on the day of the notice by the registrar on the results of completion of the operation for redemption of investment units or receipt of the report of the correspondent depository — in case of redemption of investment units via the correspondent depository — T+2+M+N day, where N is the time frame, within which orders for submission of applications to the managing company of the fund are performed in accordance with the rules (terms and conditions of depository activities) of the correspondent depository;

f) Performance of depository operation to write-off investments units from the securities account of the Depositor:

- In case of investment units redemption operation through a registrar — T+2+M day;
- In case of investment units redemption operation through a correspondent depository — T+2+M+N day;

g) Issue of report to the Depositor:

- In case of investment units redemption operation through a registrar – operating T+2+M+1 day (on the nominee securities account — T+2+M day);
- In case of performance of the operation on investment units redemption through a correspondent depository — T+2+M+N+1 day (on the nominee securities account — T+2+M+N day).

11.7.2. Exchange of investment units of open (interval) mutual investment fund represents filing an application to the management company of the corresponding mutual investment fund to exchange the investment units of open (interval) investment fund to the investment units of another open (interval) investment fund held in trust by the same management company. Withdrawal and deposit of investment units is made on the results of the respective operations by the registrar.

1) Subject of the operation: performance by the Depository of actions aimed at exchange of investment units of a mutual investment fund.

2) Incoming documents:

The Depository Order for the deposit and Withdrawal Securities to and from the securities account (Annexes 18, 19 to the Terms and Conditions). 'Exchange of investment units' to be specified in the 'additional information' field.

3) Outgoing documents:

- Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions);
- Statement of securities account (Annex 27 to the Terms and Conditions) shall be provided based on the Depository Order to perform an information operation (Annex 25 to the

Terms and Conditions).

4) Performance schedule:

- a) Receipt of the Depositor's order for redemption of investment units — T day;
- b) Sending by the management company of a corresponding mutual investment fund application for exchange of investment units — T+1 day;
- c) If the units are in the nominee account in the correspondent depository, sending of the request for exchange of investment units to the correspondent depository;
- d) Performing a depository operation to record limitations of operations with units on the securities account — T+1 day;
- e) Receipt of the notification of completion of the operation on the account of Bank ICBC (JSC) as the nominal holder issued by the registrar on the results of completing the operation for exchange of investment units — T+2+M day, where M is the time frame, during which, in accordance with the rules of trust management of the respective investment fund, the necessary actions for exchange of investment units were carried out, ends on the day of the notice by the registrar on the results of completion of the operation for redemption of investment units or receipt of the report of the correspondent depository in case of redemption of investment units via the correspondent depository — T+2+M+N day, where N is the time frame, within which orders for submission of applications to the managing company of the fund are performed in accordance with the rules (terms and conditions of depository activities) of the correspondent depository;
- f) Performance of depository operations to write off and deposit investment units from the securities account or to the securities account;
  - In case of investment units exchange operation through the registrar — T+2+M day;
  - In case of investment units exchange operation through a correspondent depository — T+2+M+N day;
- g) issue of report to the Depositor:
  - In case of investment units exchange operation through the registrar — T+2+M+1 day (on the nominee securities account — T+2+M day);
  - In case of investment units exchange operation through a correspondent depository — T+2+M+N+1 day (on the nominee securities account — T+2+M+N day);

11.8. The Depository shall arrange payment of income on the Depositor's securities.

Bank ICBC (JSC) shall receive the interest, coupon and dividend income due to the Depositors on the securities of the Depositor.

11.8.1. The income on government securities shall be transferred to the Depositor, taking into account specific features established under the legislation of the Russian Federation.

11.8.2. The income on non-government securities shall be transferred to Depositors and customers of the Depository, which is a nominee holder (foreign nominee holder) by wire transfer only:

- The income payable to the Depositor shall be transferred to banking account specified in the Depositor's questionnaire;
- The income payable to the customers of the Depositor, which is the nominee holder (foreign nominee holder) shall be transferred to the bank account specified in the questionnaire of the Depositor, which is the nominee holder (foreign nominee holder);
- The income payable on securities in trust management in the trustee account (foreign authorized holder) shall be transferred to the banking account specified in the questionnaire of the trustee depositor (foreign authorized holder).

11.8.3. The income on securities payable to Depositors that are nominee holders or trustees that are professional securities market participants shall be transferred not later than on the business day following the day of crediting the funds to the account of Bank ICBC (JSC), and the income payable to other Depositors — within five (5) business days after the day of receipt of respective payments and within fifteen (15) business days after the date when the Depository performing centralized storage discloses the information on transfer to its Depositors of payments due to them.

11.8.4. In the event of absence in the questionnaire of the Depositor of information on banking details for the transfer of income on securities, non-provision or untimely provision of orders for modification of Depositor's questionnaire details or of a new questionnaire of the Depositor, Bank ICBC (JSC) shall transfer the income on securities within five (5) business days from the date of modification by the Depositor of the Depositor's questionnaire details.

11.8.5. If the Depositor wishes to receive the income to a bank account different from that specified in the Depositor's questionnaire, it should send an appropriate written notice to the Depository with the description of the securities, income accrual type and period, and details for income transfer. Bank ICBC (JSC) shall transfer the income to the account specified in the written notice if such notice was received before the transfer to the account specified in the Depositor's questionnaire.

11.8.6. The depository shall not render services related to receipt and transfer of the income on securities via Bank ICBC (JSC) if such income is transferred by the issuer or payment agent directly to holders of such securities or trustees.

11.8.7. In each transfer of the income on securities payable to the Depositor, an announcement on payment and income transfer is provided to the Depositor made on form of Annex 29 to the Terms and Conditions.

11.8.8. If, when paying the income on securities, the Depository is a tax agent, the taxes shall be withdrawn in accordance with the current legislation of the Russian Federation.

## **Chapter 12. Information operations**

12.1. Reports (statements) shall be provided to Depositors by the Depository following the results of depository operations as well as based on the Depositor's requests.

12.1.1. Incoming documents in case of issuing a report (statement) at request:

- Depositor's request – Depository Order to perform an information operation (Annex 25 to the Terms and Conditions);
- Request of a pledge holder, which is not a Depositor of the Depository — Depository Order to perform an information operation (Annex 25 to the Terms and Conditions);
- Other persons' requests.

12.1.2. Outgoing documents: report (statement) on request.

12.1.3. Performance schedule:

- 1) Receipt of the Depositor's (pledgee's, other person's) request — T day;
- 2) Issue of a report (statement) on the request of the Depositor — T+3 day;
- 3) Release of report to a pledgee (which is or is not a Depositor of the Depository) — T+3 day;
- 4) Release of report upon the request of any other party — within the period determined under the legislation of the Russian Federation, T+5 day.

12.1.4. Tentative list of possible information requests and the Depository's reports to them

is given in Table 1.

Table 1.

**List of possible requests and the Depository's reports**

<b>Information required by the Depositor</b>	<b>Depositor's request name</b>	<b>Depository reporting document</b>
securities account status	Depository Order to perform an information operation (Annex 25 to the Terms and Conditions)	Statement of securities account (Annex 27 to the Terms and Conditions)
securities account operations	Depository Order to perform an information operation (Annex 25 to the Terms and Conditions)	Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions)
information about securities pledged	request of a pledgee (which may and may not be a Depositor of the Depository) in free form	Depository's response in free form in accordance with the information requested
other requests	securities order in a free form	Depository's response in free form in accordance with the information requested

Information on the Depositor, as well as on its operations in the securities account or on securities in that account, may be provided by the Depository to other parties under the Depositor's written direction based on the requests of such parties.

**12.2. Preparation of the securities owners list.**

12.2.1. Subject of the operation: preparation and provision to a correspondent depository or registrar of a list of Depositors entitled under the legislation of the Russian Federation to exercise of rights attached to securities registered in their securities accounts.

To prepare the list of securities owners, Bank ICBC (JSC) as a nominee holder of securities shall, if necessary, provide to the correspondent depository or registrar information on parties in whose securities accounts with the Depository the respective securities are registered.

**12.2.2. Incoming documents:**

- A copy of resolution on corporate action of an appropriate governing body of the issuer certified by the authorized person;
- A request for preparation of a securities owners list from the correspondent depository or registrar as of the date determined by the issuer with indication of the securities balance in the nominee securities account (personal account) of Bank ICBC (JSC) signed by the authorized person of the registrar or correspondent depository or received in electronic form (in the form of electronic documents);
- Other documents in accordance with the legislation of the Russian Federation, requirements of registrars or correspondent depositories.

**12.2.3. Outgoing documents:**

- requests on the necessity of provision of the owners list to Depositors which are nominee Holders in whose securities accounts with the Depository there are non-zero balances of securities, for which the owners list is prepared (electronic transfer of documents is possible with later provision of the originals);

- Information related to the securities owners list preparation received from the registrar or correspondent depository;
- Statements of securities accounts of Depositors, which are nominee holders on the securities balances in the nominee securities accounts (foreign nominee holders) with the Depository as of the date determined by the issuer;
- A report in the form of a consolidated list of securities owners with reference to the number of securities, for which the list is drawn up as at the date specified by the issuer.

#### 12.2.4. Performance schedule:

- 1) Receipt of the request from the correspondent depository or registrar on preparation of a list of securities owners as at the date specified by the issuer — T day;
- 2) Preparation and dispatching to Depositors of requests for information on the owners of securities, on which information is collected and which are registered in the nominee securities accounts (foreign nominee securities accounts) opened with the Depository (documents may be transferred electronically, by fax, with further provision of the originals within ten (10) business days) — T+1 day;
- 3) Formation and transfer to the correspondent depository or registrar the consolidated list of securities owners with reference to the number of securities, for which the list is drawn up as at the end of the day specified by the issuer, in the manner and within the time frame established by the legislation.

12.2.5. In cases provided for under the legislation of the Russian Federation, the information provided by the Depository may also include information on the expression of will of the person exercising rights to the securities. Information (direction, instruction) on the expression of the will of the person exercising rights to the securities shall be delivered by the depositor to the Depository on paper according to the form Order for exercise of rights on securities (participation in corporate action) (Annex 24 to the Terms and Conditions). The Depository shall transfer the received information (direction, instruction) on the expression of the will of the person exercising rights to the securities to the registrar or correspondent depository electronically (in the form of electronic documents) not later than on the business day following the day of entry of the said information to the Depository.

The depository may refrain from giving the registrar or correspondent depository the information on persons exercising rights to securities if such persons failed to provide such information in the manner and within the time frame provided for under the Terms and Conditions.

In case the a nominee holder, a foreign nominee holder failed to provide the information to be included in the list delivered to the correspondent depository or registrar, the Depository shall provide the information on such nominee holders, foreign nominee holders as well as on the securities registered in the unidentified party accounts additionally to the list.

The list of persons entitled to participate in the general meeting of shareholders based on the shares, to which the rights are confirmed by securities of a foreign issuer, shall include the person for whom a depository program securities account is opened. Information on the holders of shares, to which the rights are confirmed by securities of a foreign issuer shall be provided to the Depository under the procedure similar to that set forth in this Clause of the Terms and Conditions with indication of the number of shares belonging to each of the said holders in accordance with the legislation of the Russian Federation.

If the securities are pledged at the time of drawing up of the list of their owners, the recipient of income shall be determined based on the pledge order.



## **Chapter 13. Features of registration of securities intended for qualified investors and limited recourse securities**

13.1. Qualified investors recognized as such by the managing company, broker or other parties in cases provided for under the legislation of the Russian Federation shall provide the following documents to Bank ICBC (JSC):

- The original, a notarized copy of the documents confirming that the Depositor was recognized as a qualified investor by the managing company, broker or other parties in cases provided for under the legislation of the Russian Federation (hereafter — the ‘person recognizing as qualified investor’) or a copy certified by the person recognizing as a qualified investor.

13.2. The Depository shall deposit securities intended for qualified investors and limited recourse securities to owner securities accounts, nominee securities accounts, foreign nominee securities accounts, foreign authorized securities accounts.

13.3. Deposit of securities intended for qualified investors to nominee securities accounts of Depositors shall be performed without limitations.

13.4. Deposit of securities intended for qualified investors to owner securities accounts shall be performed based on confirming documents specified in Clause 13.1 hereof in the following cases:

- 1) The owner securities account is opened for a person that is a qualified investor under Federal Law No. 39-Φ3 On Securities Market dated April 22, 1996;

- 2) The securities were acquired via a broker or by the trustee under trust management;

- 3) The securities were acquired not via a broker by a person that is not a qualified investor:

- By the issuer of the said securities (person liable on the said securities);

- By a foreign legal entity;

- As a result of universal succession;

- As a result of exchange (conversion) of other securities of the same issuer (party liable under the security) to the said securities at the issuer’s (party liable under the security) discretion;

- As a result of the issuer (party liable under the security) reorganization;

- As a result of distribution of additional securities among the owners of such securities;

- As a result of exercise of the preemptive right to acquire the securities of the same issuer (party liable under the security);

- As a result of placement of additional shares of the issuer if such securities were acquired by the parent company owning over 50% of shares of that issuer;

- As a result of universal succession or distribution of property of a liquidated legal entity;

- As a result of compliance with the requirements of law and/or terms and conditions of a trust deed on transfer of property to the trustor;

- 4) A Depositor, which is not a qualified investor at the date of delivery of the order for deposit of the said securities, provided to the Depository a document confirming that it was a qualified investor at the date of transaction with the said securities;

- 5) Foreign securities not allowed for public offering and/or public trading in the Russian Federation were acquired not via a broker by a person that is not a qualified investor:

- By a foreign legal entity or an individual;

- Under the terms and conditions of the employment agreement or in relation to the performance by the individual of his/her duties provided for under the employment agreement or in relation to participation of the individual in the Board of Directors (Supervisory Board) of

a legal entity;

- As a result of exchange (conversion) of other securities of the same issuer (party liable under the security) to the said securities at the issuer's (party liable under the security) discretion;
- As a result of distribution of additional securities among the owners of such securities;
- As a result of exercise of rights secured under Russian depository receipts;
- As a result of distribution of property of a liquidated legal entity;
- As a result of the issuer (party liable under the security) reorganization;
- As a result of placement of additional shares of the issuer if such securities were acquired by the parent company owning over 50% of shares of that issuer;
- As a result of exercise of the preemptive right to acquire the securities of the same issuer (party liable under the security);
- As a result of universal succession or distribution of property of a liquidated legal entity;
- As a result of compliance with the requirements of law and/or terms and conditions of a trust deed on transfer of property to the trustor.

13.5. Investment units intended for qualified investors are deposited to the owner securities account if they are issued based on the request submitted by Bank ICBC (JSC).

13.6. For deposit of securities intended for qualified investors, the Depositor that is the owner of the securities shall provide the following confirming documents to the Depository:

- 1) For persons who acquired the securities through a broker or for whom the securities were acquired by a trustee in a trust – the broker's or the trustee's report, respectively;
- 2) For persons who acquired the securities not via a broker or trustee — documents confirming the acquisition of the deposited securities based on the grounds provided for in Clause 13.4 of the Terms and Conditions.

13.7. For deposit of foreign securities intended for qualified investors to the Depositor's account based on the terms and conditions of the employment agreement or in relation to performance of his/her duties provided for under an employment agreement or in relation to participation in the Board of Directors (Supervisory Board) of a legal entity, the Depositor shall specify in the order for deposit of such securities the employment agreement under or in relation to the performance of his/her duties, under which the securities are deposited, or any other agreement, based on which the securities are deposited in relation to the Depositor's functions as a member of the Board of Directors (Supervisory Board) of a legal entity.

13.8. A depositor that is a foreign individual or a foreign legal entity may provide and receive, not via the broker, the securities intended for qualified investors as a guaranty of fulfillment of obligations.

13.9. The depositor may without a broker provide securities intended for qualified investors as a guaranty of obligation fulfillment if the lender on such obligations is a broker recognizing such person a qualified investor in relation to the securities provided as a guaranty.

13.10. Bank ICBC (JSC) shall refuse to accept and/or execute an order for deposit of securities intended for qualified investors to the Depositor's securities account if such deposit fails to comply with the requirements of these Terms and Conditions and the requirements of the legislation of the Russian Federation. Bank ICBC (JSC) shall transfer (return) the said securities to the account from which they were withdrawn to the nominee account opened for Bank ICBC (JSC) and notify the Depositor within not more than three (3) days on the rejection of deposit of the securities to its securities account.

13.11. The Depository shall deny depositing of limited recourse securities to the owner securities account in the absence of any reasons for their depositing as well as in the event of failure to provide the documents specified in Clause 13.1 hereof. In the event of such denial, the said securities shall be returned to the account they were withdrawn from with simultaneous withdrawal from the Depositors' securities accounts.

#### **Chapter 14. Registration of foreign financial instruments not qualified as securities**

14.1. Bank ICBC (JSC) shall provide Depositors with services on registration of foreign financial instruments that are not qualified as securities received by the Depositor in the course of corporate actions in respect of securities that were registered in the securities account opened by such Depositor with Bank ICBC (JSC) and deposited to an account of Bank ICBC (JSC) as a person acting on behalf of other persons for registration of rights to securities by a correspondent depository.

14.2. Bank ICBC (JSC) ensures separate registration of foreign financial instruments not qualified as securities in accounts specially opened for this purpose specifying that such financial instruments are not qualified as securities under the requirements of the legislation of the Russian Federation.

14.3. When opening an account for registration of foreign financial instruments not qualified as securities, the following subaccounts may be opened:

- Basic, that is opened when the account is opened for the Depositor for registration of foreign financial instruments not qualified as securities without any additional orders;
- Reregistration subaccount, intended for the registration of foreign financial instruments not qualified as securities, for which the Depository received an order for relocation of securities. Also a report is received on withdrawal of the foreign financial instruments not qualified as securities from the correspondent depository where the said foreign financial instruments were registered but no report is received on the operation of depositing the said foreign financial instruments from the correspondent depository where the said foreign financial instruments are to be registered;
- Blocked, intended for registration of restriction on disposal of foreign financial instruments not qualified as securities pursuant to acts or instructions of state authorities or the Bank of Russia as well as for seizure reflection;
- Blocked for corporate operations subaccount intended for registration of foreign financial instruments that are not qualified as securities, in regard of which corporate operations of the issuer are expected.

Subaccounts: under reregistration, blocked, blocked for conducting corporate actions – are opened on the basis of the correspondent Depository report or Depository's duty assignment.

14.4. Registration of foreign financial instruments not qualified as securities shall be performed in the manner similar to depository registration of rights to securities in accordance with these Terms and Conditions.

14.5. Registration of foreign financial instruments not qualified as securities shall be performed under additional agreements to depository agreements concluded with Depositors.

14.6. For foreign financial instruments not qualified as securities the Depository shall perform only global operations, operations of depositing of foreign financial instruments and operations of withdrawal of foreign financial instruments for the purpose of transfer to accounts

opened with foreign institutions performing registration of rights to such financial instruments and in the event such financial instruments are qualified as securities.

14.7. The procedure for operations with foreign financial instruments not qualified as securities is similar to the procedure for depository operations specified herein.

14.8. Based on the results of operations that are not qualified as securities, the Depository shall prepare reports and statements to Depositors different from securities account operations, which are not a confirmation of rights to such instruments.

14.9. The Depositor shall pay for the services of Bank ICBC (JSC) on registration of foreign financial instruments not qualified as securities and operations on them in the same manner and in accordance with the tariffs of Bank ICBC (JSC) on depository activities (Annex 30 hereto) established for storage and/or registration of securities in foreign or international accounting systems under the depository agreement concluded with the Depositor. Services on registration of foreign financial instruments not qualified as securities and related operation shall be subject to VAT. The tariff rate increases by the amount of VAT.

14.10. In the event of qualification of foreign financial instruments not qualified as securities in accordance with the legislation of the Russian Federation, transfer of foreign financial instruments not qualified as securities is permitted to the basic subaccount of the Depositor's relevant account under the correspondent Depository report (other information).

## **Chapter 15. Verification of the number of securities with registrars and correspondent depositories**

15.1. The verification of compliance of the amount of securities recorded in the Depository with the amount of securities on securities accounts opened for Bank ICBC (JSC) with registrars, correspondent depositories, foreign organizations registering rights to securities shall be arranged on the basis of reports (statements) received from the above entities.

15.2. In accordance with Article 8.5 of Federal Law No. 39-Φ3 On Securities Market dated April 22, 1996, reconciliation of the number of securities recorded by the Depository on securities accounts, on which the rights to securities are accounted for, and on unidentified persons account, and the number of the same securities recorded on personal accounts (securities account) of the nominee holder open for Bank ICBC (JSC) with the registrar (correspondent depository), on accounts opened for Bank ICBC (JSC) by foreign organizations registering rights to securities, as a person acting on behalf of other persons, is carried out every business day.

15.3. In case of discrepancy in the number of securities recorded by the Depository on securities accounts, on which the rights to securities are accounted for, and on unidentified persons account, and the number of the same securities recorded on personal accounts (securities account) of the nominee holder open for Bank ICBC (JSC) with the registrar (correspondent depository), on accounts opened for Bank ICBC (JSC) by foreign organizations registering rights to securities, as a person acting on behalf of other persons, the Depository shall notify the Bank of Russia not later than the business day following the day when the said violation was found or should have been found and eliminate the said violation.

15.4. The reconciliation shall be carried out by the Depository based on the information on the number of securities registered in securities accounts and the information from the following documents:

- 1) In the event of reconciliation between the Depository and a registrar, in the most recent letter on operations on personal account or statement;
- 2) In the event of reconciliation between the Depository and a correspondent depository, in the most recent statement or report on operation (operations) performed in the Depository's securities account;
- 3) In the event of reconciliation between the Depository and a foreign entity accounting rights to securities, in the most recent document provided to the Depository containing information on operations and number of securities in the account of a party acting on behalf of other parties opened for the Depository in this foreign entity.

## **Chapter 16. Verification of the number of securities with Depositors**

16.1. Verification of the number of securities on the Depositor's securities account is carried out within the terms established by the legislation, but at least once a year. Such verification can be initiated by both the Depository and the Depositor.

16.2. The Depository shall verify the number of securities on the Depositor's securities account in the following order:

- monthly with Depositors-nominee holders (foreign nominee holders) as of the first day of each calendar month by sending to the Depositor-nominee holder (foreign nominee holder) the statement of securities account (Annex 27 to the Terms and Conditions) no later than the 5th working day of the month following the reporting month;
- annually with all Depositors as of the first day of each calendar year by sending to the Depositor the statement of securities account (Annex 27 to Terms and Conditions) not later than the 10th working day of the year following reporting.

16.3. Verification of the number of securities account at the initiative of the Depositor is carried out in the following order.

- 1) The Depositor sends to the Depository the Depository Order to perform an information operation (Annex 25 to the Terms and Conditions), in which he requests a statement of securities account on a certain date.
- 2) The Depository forms the statement of securities account (Annex 27 to the Terms and Conditions) which directs to the Depositor not later than the third working day after day of receipt of the specified order.

16.4. In case of discrepancy of the Depositor's accounting data with the data of the Depository, the Depositor shall send to the Depository a notification of discrepancy of the data (hereinafter — the Notification) in a free form no later than 1 (one) working day after receipt of the statement.

16.5. When you receive a Notification the Depository shall forward to the Depositor no later than the next working day Report on depository operation (operations) performed on the securities account (Annex 26 to the Terms and Conditions) for the period from the date of the last verification until the date of this report.

16.6. To identify the causes of discrepancies, the Depository and the Depositor shall have the right to request from each other additional information, copies of primary documents, including copies of the Depositor's orders and reports of the Depository. The decision on the order of elimination of the revealed discrepancies is made jointly by the Depository and the Depositor following the results of consideration of the submitted documents.

16.7. In case of non-receipt by the Depository of objections from the Depositor within 10

working days from the date of sending the statement of securities account, the balances are considered confirmed.

## **Chapter 17. Contra entries in securities accounts (other accounts)**

17.1. The entries in securities accounts, in which rights to securities are registered, are final from the moment they are made, i.e. they may not be modified or canceled by the Depository except for the cases when such entry was made without the Depositor's order or without any other document motivating an operation performance or with a breach of the terms of such order or any other document (adjustable entry).

17.2. In the event of discovery of any error in an adjustable entry the depository may make a contra entry in the securities account (accounts) necessary to remove the error during the operating day, provided that no report on operation performed or securities account statement reflecting the erroneous information were sent to the depositor.

17.3. Upon discovery of an error in an otherwise adjustable entry, the Depository may make contra entries necessary to remove the error subject consent of the Depositor or any other person on whose behalf or request the contra entries may be made in accordance with the legislation of the Russian Federation, except for correction of errors in entries that can be corrected only in cases provided for under the legislation of the Russian Federation. In the event of an error, the Depository shall send the Depositor a notice on the error made and the activities to be carried out to remove it. The Depository may make corrective records only upon receipt of the Depositor's consent granted in the manner specified in the Depositor's questionnaire.

17.4. The depositor shall return the securities it (its Depositors) acquired improperly as a result of an error in the personal account (securities account) opened for Bank ICBC (JSC) or the securities they were converted to as well as return the income received and repair the damages in accordance with the civil legislation of the Russian Federation. Bank ICBC (JSC) shall account the securities unjustifiably deposited to its personal account (securities account) on the unidentified party account. Bank ICBC (JSC) shall return these securities or securities, into which they are converted, in not later than one (1) business day from the receipt of the relevant accounting documents.

17.5. If a discrepancy is identified in the Depository's securities accounts as a result of reconciliation carried out by the depository in accordance with the legislation of the Russian Federation in respect of the number of securities registered by the registrar in the accounts of Bank ICBC (JSC), by the correspondent depository in the securities accounts of Bank ICBC (JSC), by a foreign company registering rights to securities, on the accounts open for Bank ICBC (JSC), as a person acting on behalf of other persons, the Depository shall inform the Bank of Russia of such discrepancy and eliminate such violations not later than on the business day following the day when such discrepancy was identified or was expected to be identified:

- 1) if the number of securities registered by the Depository is exceeds the number of the same securities registered in the accounts of Bank ICBC (JSC) in the register of securities owners or correspondent depository or foreign company registering rights to securities, the Depository shall, under a duty assignment, withdraw from the securities accounts, on which the rights to securities are registered, and the accounts of unidentified persons, the securities exceeding the number of securities in the accounts in the register of securities owners or correspondent depository or foreign company registering right to the securities. No other securities account operations shall be performed in relation to such securities before such

withdrawal;

2) The depository shall deposit similar securities to the securities accounts and the unidentified parties account, from which the securities were withdrawn under this Clause to the number of securities withdrawn from respective accounts within five (5) business days upon withdrawal or compensate the damages inflicted on the Depositors in accordance with agreements and additional agreements concluded with the Depositors taking into account the requirements of the legislation of the Russian Federation.

In case the discrepancy in the amount of securities mentioned above in this Sub-clause was due to the actions of the registrar or correspondent depository, the Depository shall have the right of recourse to the relevant person in the amount of damages reimbursed by the Depository, including the costs incurred by the Depository for fulfillment of obligations on depositing the securities. The Depository shall be exempt from the duties of depositing the securities provided for in this Sub-clause, if the withdrawal of the securities was due to the actions of a correspondent depository (foreign company registering rights to securities, as a person acting on behalf of others), the depositor (customer) of which it became in accordance with the written instructions of the Depositor.

## **Chapter 18. Confidential information**

18.1. The Depository shall ensure confidentiality of information in the Depositors' securities, including information on operations on the accounts and other information on the Depositors that it may come to know in the course of depository activities.

18.2. Information on the customers' (Depositors') securities accounts may be provided only to the customers themselves, their authorized persons, the Bank of Russia to the extent of its powers in audit of the Depository's activities. Such information may be provided to other state authorities and their officers only in cases provided for under the federal laws. Depositories may upon the Depositor's written order provide information on such Depositor and its securities account operations to any third parties.

18.3. The Depository shall be liable for any damage inflicted on the Depositor in the event of confidential information disclosure in accordance with the legislation of the Russian Federation.

18.4. The Depositor agrees that any confidential information about it, including the information in the Depositor questionnaires registered in the Depository, may be disclosed to the issuer, the registrar, another depository without the Depositor's consent based on the data of the Depository's system for depository accounting in cases provided for under the legislation of the Russian Federation. The Depositor shall be liable for the fairness of information provided to the Depository and for prompt renewal of the questionnaire details.

18.5. In accordance with Federal Law No. 152-Φ3 On Personal Data dated July 27, 2006, Bank ICBC (JSC) is a personal data processor for the purposes provided for under the legislation of the Russian Federation as well as for the purposes of performance of the depository agreement concluded with the Depositor in rendering the services permitted under federal laws and other regulations related to keeping the Depositor's securities accounts and assistance in exercise of rights to securities. The Depositor that is an individual as well as individuals that are authorized representatives of Depositors shall grant their consent to personal data processing.

18.6. The end period of personal data processing is five (5) years after termination of contractual relationships with Bank ICBC (JSC). Withdrawal of consent for personal data processing is performed by sending a respective written application in free form to Bank ICBC (JSC). The consent shall be deemed canceled on the business day following the day of receipt by Bank ICBC (JSC) of the written notice of consent withdrawal. In the event of consent withdrawal, Bank ICBC (JSC) shall stop processing of the personal data from the business day following the day of receipt of the notice on consent withdrawal except for the cases determined under the legislation of the Russian Federation.

## **Chapter 19.     Depository Service Payment and Payment Procedure**

19.1. Services rendered by the Depository shall be paid by the Depositor in the amount and within the time frame determined under the tariffs and these Terms and Conditions.

The commissions charged for the Depository's services are not subject to value added tax.

19.2. Additionally, the Depositor shall compensate for the expenses incurred by Bank ICBC (JSC) in performance of the Depositor's orders (payment for the services of registrars, transfer agents, correspondent depositories, etc.), if the tariffs of Bank ICBC (JSC) for depository activities (Annex 30 to the Terms and Conditions) stipulate otherwise. Any expenses in a foreign currency shall be translated in Russian rubles at the rate of the Bank of Russia on the day of payment by Bank ICBC (JSC) of such expenses.

19.3. Below are the methods of payment for the Depository's services:

- Under the Depositor's prior acceptance in the form of request for writing-off the fee for depository services (Annex 10 hereto) subject to availability of funds in the Depositor's accounts for settlements on securities operations, other accounts opened for the Depositor with Bank ICBC (JSC). The Depositor shall grant the Depository an unconditional right to debit without any additional order the payment for the services from any of the Depositor's account opened with Bank ICBC (JSC) in the amount and within the time frame specified under these Terms and Conditions;

- In the absence of sufficient funds on the above-mentioned accounts or in the absence of pre-acceptance of the Depositor made on form of Annex 10 to the Terms and Conditions, the Depository shall invoice the Depositor for the services rendered. The invoice shall be issued by the Depository not later than on the fifth (5<sup>th</sup>) business day of the month following the reporting month.

19.4. The Depository shall transfer the invoice to the Depositor in any of the following ways:

- personally,
- by mail,
- by e-mail followed by the provision of originals,
- other means specified in the questionnaire of the Depositor.

19.5. The Depositor shall pay the invoice by transfer of funds to the details specified in the invoice within ten (10) business days from the date of sending the invoice. The date of crediting the Depository's account shall be the date of payment.

In case of violation of terms of payment by the Depositor of the invoices issued by the Depository, the Depositor shall pay a penalty of 0.5% of the invoice amount for each day of delay.



If an invoice for the services rendered by the Depository was sent to the Depositor and there are funds in the accounts specified in Clause 18.3, Bank ICBC (JSC) may write off the amount specified in the invoice in the manner provided for under Clause 18.3 hereof.

19.6. The Depository may withhold amounts of the Depositor's debt to the Depository from the amounts of income payable to the Depositor on the securities kept and/or registered in the Depository or from other payments to the depositor performed by the Depository. Thus, the income (other payments) transferred to the Depositor shall be reduced by the amount of the Depositor's debt to the Depository.

19.7. The Depository may refrain from performance of the Depositor's orders by suspending operations on the Depositor's securities account (securities subaccounts) on the basis of the Depository's duty assignment by sending a relevant notice to the Depositor in the event that the Depositor fails to pay for the Depository's services till the Depositor fulfills its payment obligations in full, including the penalty as of the payment day. Upon fulfillment by the Depositor of all financial obligations to Bank ICBC (JSC), operations on the Depositor's securities account shall be resumed on the basis of the Depository's duty assignment.

## **Chapter 20. Procedure for Depositor Complaint and Inquiry Examination**

20.1. For the purposes of this section, complaint shall mean a written or oral application of the Depositor containing a claim that the employees of Bank ICBC (JSC) violated its rights and lawful interests. A request shall mean any written application of the Depositor to the Depository, except for the complaint, aimed at the receipt of any information the Depositor may need, which should be provided under the legislation or internal regulations of the Depository and which does not require the Depository to perform an information operation as well as to eliminate possible errors made by employees of the Depository.

20.2. The Depositor's complaints can be oral and/or made in writing. The oral complaint may be expressed by the Depositor (its representative) during direct servicing or during telephone conversations. A written complaint may come in the form of a written statement of an individual, a letter of an individual or legal entity on paper, in the form of electronic documents through the channels of the system of the client-bank (if any), a messages via e-mail. The oral complaint may be personally expressed by the Depositor (its representative) to any employee of Bank ICBC (JSC)

20.3. The depositors' requests shall be accepted by the employees of the Depository in writing made on form of Depository's Application (Annex 31 to the Terms and Conditions) on a daily basis except for days off.

20.4. Written complaints are accepted in an arbitrary form.

20.5. Written complaints and requests that do not contain information about the full name of the legal entity, name, surname, patronymic (if any) of an individual or the location (address) of the Depositor, shall be recognized anonymous and not considered, except in cases when the applicant is (was) a customer of Bank ICBC (JSC) and can be identified unambiguously.

20.6. The complaint containing obscene or offensive language, threats to life, health, and property of the officer of Bank ICBC (JSC), as well as members of his/her family, shall be left without an answer on the merits of the raised questions therein. The person submitting such a complaint may be pointed to the inadmissibility of the abuse of the right to complaint.

20.7. With regard to the complaint, the text of which cannot be read, the Depositor, if its name or surname and e-mail address are readable, within three (3) working days of receipt of the complaint shall be sent a reasoned response on leaving the complaint without consideration.

20.8. The complaint shall not be considered, if the terms of storage of the documents relied upon by the Depositor in the complaint have expired.

20.9. Complaints and requests not subject to review except for those specified in Clause 19.5 of the Terms and Conditions shall be sent to whom it may concern within fifteen (15) days from the date of receipt with a simultaneous notice to the Depositor.

20.10. Complaints and requests shall be considered within no later than ten (10) business days from the date of their receipt.

20.11. A repeated complaint or request may be dismissed without prejudice if the repeated application contains no new information and all reasons in it were considered carefully and objectively and the Depositor was given an answer. In this case a notice shall be sent to the Depositor of dismissing the complaint or request without prejudice with a reference to the previously given answer.

20.12. If the answer on the merits of the issues raised in the complaint cannot be given without the disclosure of information protected by the legislation of the Russian Federation, including the components of the commercial or other secret protected by law, the Depositor (or its representative), which have sent the application, shall be notified on inability to give an answer on the merits of the issues raised in it because of the inadmissibility of disclosure of the above information.

20.13. In the course of consideration, the Depository may request additional documents and information from the Depositor.

20.14. The response to the complaint or request to the Depositor should contain a motivated reaction to each argument used by the depositor, with a reference to respective requirements of the legislation of the Russian Federation, including regulations of the Bank of Russia, documents of Bank ICBC (JSC), agreements related to this matter, as well as to the actual circumstances of the matter under consideration.

## **Chapter 21. Final provisions**

21.1. These Terms and Conditions enter into force from February 03, 2020.

21.2. From the date of entry into force of these Terms and Conditions, the 'Terms and Conditions of Depository Activities of Bank ICBC (JSC)' approved by Protocol No. 36 of the Board of Management of Bank ICBC (JSC) dated December 17, 2019, shall cease to be valid.

21.3. If the standards of these Terms and Conditions come into collision with the norms of the legislation of the Russian Federation, the norms of the applicable legislation shall prevail.

President

Li Wencong

Annex 1  
to the 'Terms and Conditions  
of Depository Activities of  
Bank ICBC (JSC)'

**List of documents required for conclusion of a depository agreement  
with an individual who is the citizen of the Russian Federation**

1. Original or notarized copy of identity document.
2. Customer questionnaire for an Individual (Annex 6 to the Terms and Conditions).
3. Original or notarized copy of TIN (Taxpayer Identification Number) assignment certificate (if any).
4. Original or notarized copy of a power of attorney in the name of the authorized representative of an individual relating to the right of signature of orders and other documents on behalf of the individual as well as the original or a notarized copy of the document confirming the identity of the authorized representative of the individual.
5. Consent to the Processing of Personal Data and use by Bank ICBC (JSC) (Annex 8 hereto) and Consent to the Processing of Personal Data (Annex 9 hereto) of the customer and its authorized representative (if any).
6. Other documents at the discretion of Bank ICBC (JSC).

Annex 2  
to the 'Terms and Conditions  
of Depository Activities of  
Bank ICBC (JSC)'

**List of documents required for conclusion of a depository agreement  
with an individual who is a foreign citizen or a person without nationality**

1. Customer's identity document issued by competent authorities of foreign states (to be provided with its notarized Russian translation).
2. Original or copy certified by the customer's authorized person, the migration card.
3. Original, notarized copy or copy certified by the customer's authorized person of the document confirming the right of stay in the territory of the Russian Federation (one of the below):
  - the Russian Federation residence permit;
  - temporary residence permit;
  - visa;
  - other document confirming the right of a foreign citizen or a stateless person to stay (residence) in the Russian Federation.
4. Customer questionnaire for an Individual (Annex 6 to the Terms and Conditions).
5. Original or notarized copy of TIN (Taxpayer Identification Number) assignment certificate (if any).
6. If the individual is a refugee, he/she shall provide the original or a notarized copy of certificate of consideration of application for refugee status, issued by the diplomatic or consular office of the Russian Federation or the immigration control post or a territorial body of the federal executive authority responsible for the migration service or a refugee certificate.
7. Original or notarized copy of a power of attorney in the name of the authorized representative of an individual relating to the right of signature of orders and other documents on behalf of the individual as well as the original or a notarized copy of the document confirming the identity of the authorized representative of the individual.
8. Consent to the Processing of Personal Data and use by Bank ICBC (JSC) (Annex 8 hereto) and Consent to the Processing of Personal Data (Annex 9 hereto) of the customer and its authorized representative (if any).
9. Other documents at the discretion of Bank ICBC (JSC).

**List of documents required for conclusion of a depository agreement  
with a legal entity incorporated in accordance with the legislation of the  
Russian Federation**

1. Customer Information Form (Legal Entity) (Annex 7 to the Terms and Conditions).
2. Original or notarized or certified by a registration authority copies of constituent documents of legal entity corresponding to the requirements of the legislation of the Russian Federation to the organizational and legal forms, as modified and amended, valid on the date of submission.
3. Original or notarized copy of certificate of entry into the Unified State Register of Legal Entities about the legal entity registered before July 1, 2002 (for organizations registered before July 1, 2002).
4. Original or notarized copy or copy certified by a competent authority of the certificate of state registration of legal entity or notarized copy of the certificate of an entry in the Uniform State Register of Legal Entities (for entities registered after January 1, 2017).
5. The original or notarized copies of certificates on modifications to the Unified State Register of Legal Entities on state registration of modifications to the constituent documents.
6. Original or notarized copy of the certificate of tax registration of a legal entity incorporated in accordance with the legislation of the Russian Federation, in the location in the territory of the Russian Federation or any other document issued by the tax authority in cases provided for under the legislation of the Russian Federation (if any).
7. Originals or notarized copies of licenses (permits) issued to the legal entity in the manner established by the legislation of the Russian Federation to engage in activities subject to licensing if such licenses are directly related to the customer's ability to conclude a relevant depository agreement.
8. originals or notarized copies of documents or copies of documents certified by the authorized person of the entity confirming the powers of the person acting on behalf of the legal entity without a power of attorney (orders of appointment and/or protocols of the relevant authorities on the election (appointment) to the position).
9. Original or notarized copy of the power of attorney executed in accordance with the Russian legislation for persons having the right to provide and receive documents to/from Bank ICBC (JSC).
10. Original of the notarizes sample signatures and seal card or a notarized copy of the notarizes sample signatures and seal card. The sample signatures and seal card does not have to be provided in the event that the depository agreement provides that orders on the Depositor's securities accounts shall be performed only with the use of an analogue of the manual signature.
11. Originals or notarized copies or copies certified by an authorized person of the entity of documents (resolutions, orders, directions) on provision of the right of signature to persons possessing the right of signature on behalf of the legal entity.

12. Originals or notarized copies of documents confirming the identity of persons entitled to act on behalf of the legal entity without a power of attorney and persons entitled to sign documents on behalf of the legal entity.

13. Originals or notarized copies of the powers of attorney executed in accordance with the legislation of the Russian Federation for persons entitled to sign documents on behalf of the legal entity.

14. Notarized copies of letters or copies of letters of the territorial division of the Bank of Russia printed from the official website of the Bank of Russia and certified by the legal entities as regards the approval or persons whose appointment to such positions is subject to such approval and possessing the right to sign depository orders and other documents on behalf of the legal entity (for credit institutions only).

15. Information (documents) on financial standing (provide any items listed below):

- Copies of annual accounting reporting (financial statements) (balance sheet, profit and loss statement);
- And/or copies of annual (or quarterly) tax reporting with notes of the tax authority on their acceptance or without such notes with a copy attached of the notice of delivery of registered mail with the list of enclosures (if sent by mail) or a copy of paper delivery confirmation (if sent electronically);
- And/or a copy of the auditor opinion on the annual report for the previous year, in which the fairness of the financial (accounting) reporting is confirmed as well as compliance of the accounting standards with the legislation of the Russian Federation;
- And/or a certificate of fulfillment by the taxpayer (levy payer, tax agent) of its obligation on payment of taxes, levies, penalties, fines issued by the tax authority;
- And/or information on the absence of any legal entity insolvency (bankruptcy) proceedings, effective resolutions of law courts on its insolvency (bankruptcy), any liquidation procedures as of the date of delivery of the documents to the credit institution;
- And/or notice of bank accounts held in other Russian and foreign banks issued by the tax authority and also, based on the said information, the information about lists No. 1, 2 of unpaid documents and outstanding loans issued by the Russian and foreign banks;
- And/or information on the rating of the legal entity in the Internet on the websites of international rating agencies (Standard & Poor's, Fitch-Ratings, Moody's Investors Service, etc.) and national rating agencies.

16. The financial standing of legal entities, the period of activity of which does not exceed three (3) months from the date of registration, shall be confirmed by:

- Information about the absence of a default by the entity on fulfillment of its financial obligations due to lack of funds in bank accounts;
- And/or information on the absence of any legal entity insolvency (bankruptcy) proceedings, effective resolutions of law courts on its insolvency (bankruptcy), any liquidation procedures as of the date of delivery of the documents to Bank ICBC (JSC);
- And/or certificate from the credit institution, in which the legal entity was previously or is currently in service, on accounts (deposits) opened with the credit institution, specifying the accounts balances (if any);
- Or written confirmation of absence of the aforesaid documents and their provision as they are received.

17. Information on the goodwill of the legal entity (in free form in writing, if available):

- Notes of other customers of Bank ICBC (JSC) having business relations with the legal

entity;

- And/or notes of other credit institutions the legal entity used to be serviced by with estimation by those credit institutions of the goodwill of the legal entity.

In the absence of the possibility of obtaining information about the goodwill of the legal entity in the form of the above documents, Bank ICBC (JSC) shall use the following documents in order to determine and verify the customer's business reputation:

- Feedback or other information on the goodwill of the legal entity in free form in writing, obtained from third parties (suppliers, partners, etc.);
- And/or information on the goodwill of the legal entity in free form in writing, provided by the entity being identified itself;
- And/or information on the goodwill in free form in writing received by Bank ICBC (JSC) from other legally available sources of information (Internet, etc.);
- Documents confirming the origin of funds and/or other property of the Customer; documents confirming the information on the place of performance or actual location of the legal entity, its permanent governing authority, other body or person entitled to act on behalf of the legal entity without a power of attorney (copies of documents confirming ownership of building, premises; lease (sublease) agreement and/or other documents confirming the location at the registered address of the legal entity or similar documents confirming the information on actual location of its permanent governing authority, other bodies), etc. (to be provided only by non-credit institutions).

18. Consent to the Processing of Personal Data and use by Bank ICBC (JSC) (Annex 8 hereto) and Consent to the Processing of Personal Data (Annex 9 hereto) of the customer's authorized representative.

19. Information on the legal entity accepted for servicing/serviced in Bank ICBC (JSC) made on form of Bank ICBC (JSC), or the information on the branch/representative office of the legal entity accepted for servicing/serviced in Bank ICBC (JSC) made on form of Bank ICBC (JSC) (for the branch/representative office of a legal entity), or the questionnaire of the Customer that is a financial market entity made on form of Bank ICBC (JSC) (for a credit institution) or made on form of the credit institution if such form contains all necessary information in accordance with the legislation of the Russian Federation, information on the beneficiary owner made on form of Bank ICBC (JSC), information on the individual that is the sole executive body of the legal entity made on form of Bank ICBC (JSC).

20. Other documents at the discretion of Bank ICBC (JSC).

21. To open an account for a branch and/or representative office of the legal entity, in addition to the documents specified above, the following documents shall be provided:

- Original or a notarized copy of the regulation on the branch (representative office) of a legal entity;
- Documents confirming the powers of the head of a branch (representative office) of the legal entity;
- Original or notarized copy of the notice on registration of the legal entity with the tax authority at the location of the branch (representative office) of the legal entity.

22. To open depository program securities account, the Depositor that is a foreign entity shall additionally provide a copy of a permission for placement and/or trading of issue-grade securities of Russian issuers outside the Russian Federation by placement under a foreign law of foreign issuers' securities confirming the rights as regards the issue-grade securities of

Russian issuers, issued under Article 16 of Federal Law No. 39-Φ3 On Securities Market dated April 22, 1996.

23. To open a foreign authorized securities account, the Depositor that is a foreign entity shall also provide:

- documents confirming that the foreign legal entity was incorporated in a member country of the Organization for Economic Co-operation and Development (OECD), a member or an observer of the Financial Action Task Force on Money Laundering (FATF), and/or member of the Committee of Experts on the Evaluation of Anti-Money Laundering Measures and the Financing of Terrorism (MONEYVAL), or a state, with appropriate authorities (appropriate organizations) of which the Bank of Russia concluded an agreement providing for a procedure for their interaction, and that such entity may, under its personal law and not being the owner of securities, perform in its name and on behalf of other persons any legal and actual operations with the securities, exercise rights to the securities;

- or application signed by an authorized representative of the Depositor confirming that the foreign entity may under its personal law, and not being the owner of securities, perform in its name and on behalf of other persons any legal and actual operations with the securities, exercise rights to the securities. Such application may be executed as a separate document or may be part of another document.



Annex 4  
to the 'Terms and Conditions  
of Depository Activities of  
Bank ICBC (JSC)'

**List of documents required for conclusion of a depository agreement  
with and individual entrepreneur or an individual engaged in private  
practice in accordance with the legislation of the Russian Federation**

1. Customer's identity document.
2. Certificate of state registration of individual entrepreneur (original or notarized copy). Individual entrepreneurs registered before January 1, 2004, shall provide a copy of the certificate of entry in the Unified State Register of Individual Entrepreneurs before January 1, 2004 issued by an authorized federal executive body, or other documents prescribed by the legislation.
3. Information on the insurance number of the individual ledger account of a person insured in the mandatory pension insurance system (if any).
4. Certificate of registration with the tax authority (original, notarized copy) (if any, in the event of conclusion of a depository agreement with an individual engaged in private practice in the manner established under the legislation of the Russian Federation, the document is mandatory).
5. Extract from the Unified State Register of Individual Entrepreneurs, issued not earlier than thirty (30) days, original (if the updated data are not yet available on the Federal Tax Service website).
6. Licenses (patents) issued to an individual entrepreneur or a person engaged in private practice in the manner established under the legislation of the Russian Federation to perform activities subject to licensing (regulated by issuance of a patent) if such licenses (patents) are directly related to the customer's ability to conclude a depository agreement.
7. In the event of conclusion of a depository agreement with a notary public or a lawyer, the document shall be additionally provided confirming the powers of the notary public (appointment to the position) issued by the judicial bodies of the constituent subjects of the Russian Federation or the document confirming the lawyer's registration in the lawyer register and the document confirming the incorporation of the legal office, respectively.
8. Notarized sample signatures and seal card. The sample signatures and seal card does not have to be provided in the event that the depository agreement provides that orders on the Depositor's securities accounts shall be performed only with the use of an analogue of the manual signature.
9. Originals or notarized copies or copies certified by the customer of documents on provision of the right of signature to persons possessing the right of signature on behalf of the customer.
10. Originals or notarized copies of documents confirming the identity of persons entitled to act on behalf of the customer without a power of attorney and persons entitled to sign documents on behalf of the customer.
11. Originals or notarized copies of the powers of attorney executed in accordance with the legislation of the Russian Federation for persons entitled to sign documents on behalf of the customer.

12. Notice on assignment of codes of state statistical observation by the state statistical bodies certified by the individual entrepreneur or an individual engaged in private practice (if any).

13. Customer questionnaire for an Individual (to the Terms and Conditions).

14. Consent to the Processing of Personal Data and use by Bank ICBC (JSC) (Annex 8 hereto) and Consent to the Processing of Personal Data (Annex 9 hereto) of the customer and its authorized representative (if any).

15. Documents confirming the information on the customer's actual location (documents confirming ownership of buildings, premises, lease (sublease) agreements and/or other documents confirming the presence at the registration address or similar documents confirming the information on the customer's actual location).

16. Individual entrepreneur which is a foreign citizen or an individual engaged in private practice in the manner established under the legislation of the Russian Federation that is a foreign citizen, shall additionally provide the original or a copy certified by the customer's authorized person of the migration card and the original, a notarized copy or a copy certified by the customer's authorized person of the document confirming the right of the foreign citizen to stay in the Russian Federation (one of the below):

- residence permit;
- temporary residence permit;
- visa;
- any other document confirming the right of a foreign citizen or a person without citizenship to stay (residence) in the Russian Federation under the legislation of the Russian Federation.

17. Information (documents) on financial standing (provide any items listed below):

- Copy of annual accounting reporting as of the last reporting date (balance sheet, profit and loss statement) with notes of the tax authority on their acceptance or without such notes with the notice of delivery of registered mail with the list of enclosures (if sent by mail) or a copy of paper delivery confirmation (if sent electronically);
- And/or copies of annual (quarterly) tax reporting (for the last reporting dates) with notes of the tax authority on their acceptance or without such notes with a copy attached of the notice of delivery of registered mail with the list of enclosures (if sent by mail) or a copy of paper delivery confirmation (if sent electronically);
- And/or a copy of the auditor opinion on the annual report for the previous year, in which the fairness of the accounting (financial) reporting is confirmed, as well as compliance of the accounting standards with the legislation of the Russian Federation;
- And/or a certificate of fulfillment by the taxpayer (levy payer, tax agent) of its obligation on payment of taxes, levies, penalties, fines issued by the tax authority (issued not earlier than one (1) month);
- And/or information on the absence of any legal entity insolvency (bankruptcy) proceedings, effective resolutions of law courts on its insolvency (bankruptcy), any liquidation procedures as of the date of delivery of the documents to Bank ICBC (JSC);
- And/or notice of bank accounts held in other Russian and foreign banks issued by the tax authority and also, based on the said information, the information about lists No. 1, 2 of unpaid documents and outstanding loans issued by the Russian and foreign banks;
- And/or information on the rating of the legal entity in the Internet on the websites of international rating agencies (Standard & Poor's, Fitch-Ratings, Moody's Investors Service,

etc.) and national rating agencies.

18. The financial standing of individual entrepreneurs, the period of activity of which does not exceed three (3) months from the date of registration, shall be confirmed by:

- Information about the absence of a default by the individual entrepreneur on fulfillment of its financial obligations due to lack of funds in bank accounts;
- And/or information on the absence of any individual entrepreneur insolvency (bankruptcy) proceedings, effective resolutions of law courts on its insolvency (bankruptcy), any liquidation procedures as of the date of delivery of the documents to Bank ICBC (JSC);
- And/or certificate from the credit institution, in which the individual entrepreneur was previously or is currently in service, on accounts (deposits) opened with the credit institution, specifying the accounts balances (if any).

19. Information on goodwill (in free form in writing, if available):

- Notes of other customers of Bank ICBC (JSC) having business relations with the individual entrepreneur;
- And/or notes of other credit organizations the individual entrepreneur used to be serviced by with estimation by those credit organizations of the goodwill of the individual entrepreneur.

20. Information on the individual entrepreneur accepted for servicing or serviced in Bank ICBC (JSC) made on form of Bank ICBC (JSC), information on the beneficiary owner made on form of Bank ICBC (JSC).

21. Other documents at the discretion of Bank ICBC (JSC).

Annex 5  
to the 'Terms and Conditions  
of Depository Activities of  
Bank ICBC (JSC)'

**List of documents for conclusion of a depository agreement with a legal entity (stand-alone units of legal entities) incorporated in accordance with the legislation of a foreign state**

1. Customer Information Form (Legal Entity) (Annex 7 to the Terms and Conditions).
2. Other documents confirming the legal status of the company in accordance with the legislation of the country, in which the legal entity was incorporated:
  - Constituent documents;
  - Documents confirming payment of state fee for the registration of a legal entity;
  - Extract from the commercial register (if available in accordance with the legislation of the country of registration) issued not earlier than six (6) months before the date of submission.
3. Documents confirming the powers of the sole executive body (the head) of the legal entity (the decision on appointment, order, etc.).
4. Power(s) of attorney granting relevant rights to authorized representatives of the entity (the right to sign documents on behalf of the entity, submit and receive documents, sign orders for operations on securities account and other documents, etc.).
5. Copies of identity documents of authorized representatives of the customers, properly certified.
6. Certificate of registration of a foreign company with the tax authority in the territory of the Russian Federation (if any).
7. Licenses (permits) issued to the legal entity to perform its activities subject to licensing (if any) if such licenses are related directly to the customer's ability to conclude the relevant depository agreement.
8. Permit of the national (central) bank of the foreign state if such permit is required for conclusion of a depository agreement in accordance with international treaties involving the Russian Federation.
9. Banking sample signatures and seal card (album of samples of signatures) or a document with the signatures and stamp, issued in accordance with the legislation of the foreign country; The sample signatures and seal card does not have to be provided in the event that the depository agreement provides that orders on the Depositor's securities accounts are performed only with the use of an analogue of the manual signature.
10. Documents confirming the powers of the persons specified in the banking sample signatures and seal card, or album of sample signatures, or a document with sample signatures and a seal issued in accordance with the laws of a foreign state (orders of appointment, orders and/or powers of attorney granting authority to sign).
11. Information (documents) on the financial standing of non-resident legal entities (any of the below at the customer's discretion):
  - A copy of the financial report for the last reporting period provided by a non-resident legal entity to the authorized state bodies at the place of registration or activity (in the absence of a financial report for the last reporting period, a financial report for the previous reporting period shall be provided) indicating information on a stately available source of information

containing the financial report (if available);

- And/or a copy of the auditor opinion on the annual report for the previous year, in which the fairness of the financial (accounting) reporting is confirmed, as well as compliance of the accounting standards with the legislation of the place of location (registration) of a legal entity;
- And/or certificate from the credit institution, in which the non-resident legal entity was previously or is currently in service, on accounts (deposits) opened with the credit institution, specifying the accounts balances;
- And/or copy of annual accounting reporting as of the last reporting date (balance sheet, profit and loss statement) with notes of the tax authority on their acceptance or without such notes with a copy of the notice of delivery of registered mail with the list of enclosures (if sent by mail) or a copy of paper delivery confirmation (if sent electronically);
- And/or copy of annual (quarterly) tax reporting (for the last reporting dates) with notes of the tax authority on their acceptance or without such notes with a copy attached of the notice of delivery of registered mail with the list of enclosures (if sent by mail) or a copy of paper delivery confirmation (if sent electronically);
- And/or a copy of the auditor opinion on the annual report for the previous year, in which the fairness of the financial (accounting) reporting is confirmed, as well as compliance of the accounting standards with the legislation of the Russian Federation;
- And/or a certificate of fulfillment by the taxpayer of its obligation on payment of taxes, levies, penalties, fines issued by the tax authority (issued not earlier than one (1) month);
- And/or information on the absence of any legal entity insolvency (bankruptcy) proceedings, effective resolutions of law courts on its insolvency (bankruptcy), any liquidation procedures as of the date of delivery of the documents to the credit institution;
- And/or notice of bank accounts held in other Russian and foreign banks issued by the tax authority and also, based on the said information, the information about lists No. 1, 2 of unpaid documents and outstanding loans issued by the Russian and foreign banks;
- And/or information on the rating of the legal entity in the Internet on the websites of international rating agencies (Standard & Poor's, Fitch-Ratings, Moody's Investors Service, etc.) and national rating agencies.

Legal entities whose operation period is less than three (3) months from the day of incorporation and does not permit presentation to Bank ICBC (JSC) of the above documents shall submit a written confirmation of unavailability of such documents and provide the documents as they are received.

12. Information on the goodwill of the legal entity (in free form in writing, if available):

- Notes of other customers of Bank ICBC (JSC) having business relations with the legal entity;
- And/or notes of other credit institutions the legal entity used to be serviced by with estimation by those credit institutions of the goodwill of the legal entity.

13. Consent to the Processing of Personal Data and use by Bank ICBC (JSC) (Annex 8 hereto) and Consent to Cross-Border Transfer of Personal Data (Annex 9 hereto) of the customer's authorized representative.

14. Authorized representative of the customer that is a foreign citizen or a person without nationality residing in the territory of the Russian Federation, shall, beside the identity document, provide the original, a notarized copy or a copy certified by the customer's authorized person of a document confirming the right of stay in the territory of the Russian Federation (residence permit, temporary residence permit, visa, any other document) as well as

the original or a copy certified by the customer's authorized person of the migration card.

15. Information on the legal entity accepted for servicing/served in Bank ICBC (JSC) made on form of Bank ICBC (JSC), or the information on the branch/representative office of the legal entity accepted for servicing/served in Bank ICBC (JSC) made on form of Bank ICBC (JSC) (for the branch/representative office of a legal entity), or the questionnaire of the Customer that is a financial market entity made on form of Bank ICBC (JSC) (for a credit institution), information on the beneficiary owner made on form of Bank ICBC (JSC), information on the individual that is the sole executive body of the legal entity made on form of Bank ICBC (JSC).

16. Other documents at the discretion of Bank ICBC (JSC), particularly, documents confirming the origin of funds and/or other property of the Customer; documents confirming the information on the place of performance (actual location) of the legal entity, its permanent governing authority, other body or person entitled to act on behalf of the legal entity without a power of attorney (documents confirming ownership of building, premises; lease (sublease) agreement and/or other documents confirming the location in the registered address of the legal entity or similar documents confirming the information on actual location of its permanent governing authority, other bodies), etc.

17. Non-resident legal entity that is a credit institution of the Member States of the FATF, shall have the right not to provide information on the beneficiaries, provided that such a non-resident legal entity, which is a credit institution, has a record of rating assigned by the international rating agency Moody's Investors Service, Standard & Poor's or Fitch Ratings, and/or is included in the international bank reference book Bankers Almanac (publishing house Reed Business Information, UK, using any edition of the reference book issued not earlier than the calendar year preceding the calendar year of the banking operation or other operation) or in the list (register of active credit institutions of the relevant foreign state).

18. In addition to the above documents, the branch (representative office) of a legal entity created in accordance with the legislation of the country of registration of the legal entity located in the territory of the Russian Federation shall provide the following documents:

- Regulation on branch (representative office) of a non-resident legal entity;
- Certificate of entry in the state register of accredited branches (representative offices) of foreign legal entities (with an information sheet);
- Certificate of registration of the legal entity with tax authorities at the location of its stand-alone unit;
- Documents confirming the powers of the head of a branch (representative office) of the non-resident legal entity.

19. To open a foreign nominee securities account, the Depositor that is a foreign entity shall also provide:

- Documents confirming that the foreign legal entity was incorporated in a member country of the Organization for Economic Co-operation and Development (OECD), a member or an observer of the Financial Action Task Force on Money Laundering (FATF), and/or member of the Committee of Experts on the Evaluation of Anti-Money Laundering Measures and the Financing of Terrorism (MONEYVAL), or a state, with appropriate authorities (appropriate organizations) of which the Bank of Russia concluded an agreement providing for a procedure for their interaction, and that such entity may perform registration and transfer of rights to securities under its personal law;
- Or an application signed by an authorized representative of the Depositor confirming

that the foreign entity may perform registration and transfer of rights to securities under its personal law. Such application may be executed as a separate document or may be part of another document.

Annex 6  
to the 'Terms and Conditions  
of Depository Activities of  
Bank ICBC (JSC)'

## Customer questionnaire for an Individual

(to be submitted to the Depository)

Last name, name, and (unless otherwise follows from the law or national practice) patronymic	
Date of birth	
Place of birth	
Nationality	
Address of the place of residence (registration)	
Address of the place of stay	
Mail address	
Contact telephone and fax numbers	
E-mail	
Taxpayer status	
Taxpayer Identification Number	
Details of the identity document:	
name	
series	
number	
date of issue	
authority, which issued the document	
unit code (if any)	
Details of the migration card (for non-resident individuals):	
number	
start date of the period of stay	
end date of the period of stay	
The details of the document confirming the right of a foreign citizen or a person without citizenship to stay (residence) in the Russian Federation (for non-resident individuals):	
series (if any)	
number	
start date of the duration of the right of stay (residence)	
end date of the duration of the right of stay (residence)	
Information on registration as an individual entrepreneur <sup>3</sup> :	
state registration number	
date of registration	
name of registration authority	
place of registration	
Information on the license for the activity subject to licensing:	
type	
number	
license issue date	
issued by	
term	
list of activities subject to licensing	
Banking accounts details:	
Settlements in rubles:	

<sup>3</sup>the space shall be filled in by an individual registered as an individual entrepreneur



Beneficiary: Settlement account: Name of the bank, TIN/CRR: Correspondent account: BIC:					
Use these details for income transfer (tick appropriate box with X or V)	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> </table>	Yes	No		
Yes	No				
Other ruble details for income transfer					
Beneficiary: Settlement account: Name of the bank, TIN/CRR: Correspondent account: BIC:					
Settlements in foreign currency (U.S. dollars, euros, yuans (as applicable)):					
Beneficiary: Account of beneficiary: Name of the bank: Correspondent account of the bank: SWIFT:					
Use these details for income transfer (tick appropriate box with X or V)	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> </table>	Yes	No		
Yes	No				
Other details in foreign currency for income transfer					
Beneficiary: Account of beneficiary: Name of the bank: Correspondent account of the bank: SWIFT:					
Method of payment for depository services (tick appropriate box with X or V)					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><input type="checkbox"/> Customer's pre-authorization for withdrawal from the accounts opened with Bank ICBC (JSC)</td> <td style="width: 50%;"></td> </tr> <tr> <td><input type="checkbox"/> Invoicing</td> <td></td> </tr> </table>		<input type="checkbox"/> Customer's pre-authorization for withdrawal from the accounts opened with Bank ICBC (JSC)		<input type="checkbox"/> Invoicing	
<input type="checkbox"/> Customer's pre-authorization for withdrawal from the accounts opened with Bank ICBC (JSC)					
<input type="checkbox"/> Invoicing					
Correspondence delivery form (tick appropriate box with X or V):					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;"><input type="checkbox"/> mail</td> <td style="width: 25%;"><input type="checkbox"/> e-mail</td> <td style="width: 25%;"><input type="checkbox"/> personally (via an authorized representative)</td> <td style="width: 25%;"><input type="checkbox"/> SWIFT</td> </tr> </table>		<input type="checkbox"/> mail	<input type="checkbox"/> e-mail	<input type="checkbox"/> personally (via an authorized representative)	<input type="checkbox"/> SWIFT
<input type="checkbox"/> mail	<input type="checkbox"/> e-mail	<input type="checkbox"/> personally (via an authorized representative)	<input type="checkbox"/> SWIFT		
Communications exchange form (tick appropriate box with X or V):					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;"><input type="checkbox"/> mail</td> <td style="width: 25%;"><input type="checkbox"/> e-mail</td> <td style="width: 25%;"><input type="checkbox"/> personally (via an authorized representative)</td> <td style="width: 25%;"><input type="checkbox"/> SWIFT</td> </tr> </table>		<input type="checkbox"/> mail	<input type="checkbox"/> e-mail	<input type="checkbox"/> personally (via an authorized representative)	<input type="checkbox"/> SWIFT
<input type="checkbox"/> mail	<input type="checkbox"/> e-mail	<input type="checkbox"/> personally (via an authorized representative)	<input type="checkbox"/> SWIFT		
Purpose of the questionnaire submission (tick appropriate box with X or V):					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><input type="checkbox"/> Primary filling up of the questionnaire</td> <td style="width: 50%;"><input type="checkbox"/> Modification of the questionnaire details</td> </tr> </table>		<input type="checkbox"/> Primary filling up of the questionnaire	<input type="checkbox"/> Modification of the questionnaire details		
<input type="checkbox"/> Primary filling up of the questionnaire	<input type="checkbox"/> Modification of the questionnaire details				
The questionnaire was submitted by (tick appropriate box with X or V):					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><input type="checkbox"/> Depositor</td> <td style="width: 50%;"><input type="checkbox"/> Depositor's authorized representative</td> </tr> </table>		<input type="checkbox"/> Depositor	<input type="checkbox"/> Depositor's authorized representative		
<input type="checkbox"/> Depositor	<input type="checkbox"/> Depositor's authorized representative				
Type of securities account (tick appropriate box with X or V):					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><input type="checkbox"/> Owner securities account</td> <td style="width: 50%;"><input type="checkbox"/> Trading owner securities account</td> </tr> </table>		<input type="checkbox"/> Owner securities account	<input type="checkbox"/> Trading owner securities account		
<input type="checkbox"/> Owner securities account	<input type="checkbox"/> Trading owner securities account				
Additional information					

**Sample signature of authorized persons acting under the power of attorney:**

No.	Name	Sample	Power of Attorney
			No. ____ dated _____, 20__
Sample of personal signature:			clarification of signature

Date of filling in the questionnaire \_\_\_\_\_, 20\_\_

<b>Bank ICBC (JSC)</b>
Date and time of acceptance: _____ 20__, _____ Signature _____ / _____ / Log number _____

Приложение 7 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 7 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

### Анкета юридического лица/ Customer Information Form (Legal Entity)

(предоставляется в Депозитарий/ it is provided in Depository)

Полное и (в случае, если имеется) сокращенное наименование, в том числе наименование на иностранном языке/ Full and abbreviated (if any) company name including name in a foreign language	
Организационно-правовая форма/ Legal form	
Идентификационный номер налогоплательщика - для резидента/ Taxpayer identification number – for resident. Идентификационный номер налогоплательщика или код иностранной организации, присвоенный до 24 декабря 2010 года, либо идентификационный номер налогоплательщика, присвоенный после 24 декабря 2010 года, - для нерезидента. или код иностранной организации/ Taxpayer identification number or foreign company code assigned before December 24, 2010, or taxpayer identification number assigned after December 24, 2010 to a non-resident	
Регистрационный номер (ОГРН или номер, присвоенный иностранной структуре без образования юридического лица)/ Registration number (OGRN (Primary National Registration Number) or number assigned to a foreign structure without establishing a legal entity)	
Юрисдикция/ Jurisdiction	
Дата государственной регистрации/ Date of state registration	
Место государственной регистрации/ Place of state registration	
Наименование регистрирующего органа/ Name of registration authority	
LEI (Legal Entity Identifier)/ LEI (Legal Entity Identifier)	
Адрес местонахождения/ Location address	
Почтовый адрес/ Mailing address	
Место ведения основной деятельности (для иностранной структуры без образования юридического лица)/ Place of conducting main activities (for a foreign structure without establishing a legal entity)	
Коды форм федерального государственного статистического наблюдения (ОКПО, ОКАТО, ОКВЭД, иные)/ Federal state statistical monitoring form codes (OKPO, OKATO, OKVED, other)	
Номера контактных телефонов и факсов, SWIFT/ Contact telephone and fax numbers, SWIFT	
Адрес электронной почты, телекс/ E-mail, telex	
Реквизиты банковских счетов/ Banking accounts details:	
Расчеты в рублях/ Settlements in rubles:	
Получатель/ Beneficiary: Расчетный счет/ Settlement account: Наименование банка, ИНН/КПП/ Name of the bank, INN/KPP: Корреспондентский счет/ Correspondent account: БИК/ BIC:	

Использовать указанные реквизиты для перечисления доходов (нужное отметить знаком X или V)/ Use these details for income transfer (check as appropriate with X or V)	Да/ Yes	Нет/ No
Иные реквизиты в рублях для перечисления доходов/ Other ruble details for income transfer:		
Получатель/ Beneficiary: Расчетный счет/ Settlement account: Наименование банка, ИНН/КПП/ Name of the bank, INN/KPP: Корреспондентский счет/ Correspondent account: БИК/ BIC:		
Расчеты в иностранной валюте (в долларах США, в ЕВРО, в юанях (нужное указать))/ Settlements in foreign currency (US dollars, euros, yuan (as applicable)):		
Получатель/ Beneficiary: Счет получателя/ Account of beneficiary: Наименование банка/ Name of the bank: Корреспондентский счет банка/ Correspondent account of the bank: SWIFT:		
Использовать указанные реквизиты для перечисления доходов (нужное отметить знаком X или V)/ Use these details for income transfer (check as appropriate with X or V)	Да/ Yes	Нет/ No
Иные реквизиты в иностранной валюте для перечисления доходов/ Other details in foreign currency for income transfer		
Получатель/ Beneficiary: Счет получателя/ Account of beneficiary: Наименование банка/ Name of the bank: Корреспондентский счет банка/ Correspondent account of the bank: SWIFT:		
Регистрация в качестве профессионального участника рынка ценных бумаг (нужное отметить знаком X или V)/ Registration as a professional securities market participant (check as appropriate with X or V)	Да/ Yes	Нет/ No
Лицензии профессионального участника рынка ценных бумаг/ Licenses of a professional securities market participant <sup>4</sup> :		
Наименование лицензии профессионального участника рынка ценных бумаг/ Type of the license of a professional securities market participant: Номер/ Number: дата выдачи/ date of issue: срок действия/ validity term: наименование регистрирующего органа/ name of registration authority:		
Статус как налогоплательщика (резидент или нерезидент)/ Taxpayer status (resident or non-resident)		
Наличие налоговых льгот (нужное отметить знаком X или V)/ Tax benefits (check as appropriate with X or V):	Да/ Yes	Нет/ No
Копии документов о налоговых льготах прилагаются на _____ листах/ Copies of documents on tax benefits are enclosed on _____ pages <sup>5</sup>		
Способ оплаты депозитарных услуг (нужное отметить знаком X или V)/ Method of payment for depository services (check as appropriate with X or V):		

<sup>4</sup> Графа заполняется в случае наличия лицензии профессионального участника рынка ценных бумаг/ To be filled in if a license of a professional securities market participant is available

<sup>5</sup> Графа заполняется в случае наличия налоговых льгот/ To be filled in the event of tax benefits

Заранее данный акцепт клиента на списание со счета, открытого в АйСиБиСи Банке (АО)/ Customer's pre-authorization for withdrawal from the account opened with Bank ICBC (JSC)			
Выставление счета/ Invoicing			
Форма доставки корреспонденции (нужное отметить знаком X или V)/ Correspondence delivery form (check as appropriate with X or V):			
Почтой / mail	электронной почтой/ email	лично (через уполномоченного представителя)/ personally (via an authorized representative)	SWIFT
Способ обмена информационными сообщениями (нужное отметить знаком X или V) Communications exchange form (check as appropriate with X or V):			
Почтой / mail	электронной почтой/ email	лично (через уполномоченного представителя)/ personally (via an authorized representative)	SWIFT
Цель подачи анкеты (нужное отметить знаком X или V)/ Purpose of form submission (check as appropriate with X or V):			
Первичное оформление анкеты/ Primary filling up of the form		Изменение анкетных данных/ Modification of the form	
Вид счета депо (нужное отметить знаком X или V)/Type of securities account (check as appropriate with X or V)			
Счет депо владельца/ Owner securities account		Торговый счет депо владельца/ Trading owner securities account	
Счет депо номинального держателя/ Nominee securities account		Торговый счет депо номинального держателя/ Nominee trading securities account	
Счет депо иностранного номинального держателя/ Foreign nominee securities account		Торговый счет депо иностранного номинального держателя/ Foreign nominee trading securities account	
Счет депо депозитарных программ/ Depository program securities account			
Казначейский счет депо эмитента/ Issuer treasury securities account			
Счет депо доверительного управляющего/ Trustee securities account		Торговый счет депо доверительного управляющего/ Trustee trading securities account	
Счета депо иностранного уполномоченного держателя/ Foreign authorized holder's deposit securities account		Торговый счета депо иностранного уполномоченного держателя/ Foreign authorized holder's deposit trading securities account	
Дополнительная информация/ Additional information			

О любом изменении в учредительных и иных документах, мы немедленно будем извещать АйСиБиСи Банк (АО) в письменной форме с одновременным предоставлением соответствующих документов и будем нести всю ответственность за возможные неблагоприятные последствия, связанные с задержкой получения АйСиБиСи Банком (АО) такого извещения и соответствующих документов/ We shall immediately notify Bank ICBC (JSC) in writing of any changes in the constituent and other documents with simultaneous provision of respective documents and we shall bear full responsibility for any adverse consequences resulting from late receipt by Bank ICBC (JSC) of such notice and respective documents.

Руководитель/ Head \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
*должность/ title      подпись/ signature      Ф.И.О./ name*

Представитель, действующий на основании/  
Representative acting under \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
наименование документа/ document name подпись/ signature Ф.И.О./ name  
М.П./ L.S.

Дата заполнения Анкеты/ Completed on: '\_\_\_\_', 20 \_\_\_\_ г.

АйСиБиСи Банк (АО)/ Bank ICBC (JSC)  
 Дата и время приема/ Accepted on (date and time): '\_\_\_\_' \_\_\_\_\_ 20\_\_ г. \_\_\_\_ час. \_\_\_\_ мин.  
 Подпись/ Signature \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
 Номер по журналу/ Log Number \_\_\_\_\_

Приложение 8 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 8 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Согласие на обработку персональных данных/  
Consent to the Processing of Personal Data**

*Клиентов АйСиБиСи Банка (АО)/  
Clients of the Bank ICBC (JSC)*

Москва/ Moscow

'\_\_\_\_', \_\_\_\_\_ 20\_\_

Настоящим во исполнение требований и в соответствии со ст. 9 Федерального закона от 27.07.2006 г № 152-ФЗ 'О персональных данных'

Hereby, to fulfill the requirements of and in accordance with Art. 9 of Federal Law No. 152-ФЗ dated July 27, 2006 On Personal Data,

Я/ I, \_\_\_\_\_,  
(фамилия, имя, отчество (при наличии) полностью/ full name)

паспорт/ passport \_\_\_\_\_ выдан/ issued \_\_\_\_\_,  
(серия, номер/ series, number) (когда и кем выдан/ issued when and by )

адрес регистрации/ address of registration \_\_\_\_\_

даю согласие АйСиБиСи Банку (АО), Российская Федерация, 109028, г. Москва, Серебряническая набережная, дом 29, в дальнейшем именуемый 'Банк', на автоматизированную, а также без использования средств автоматизации, обработку персональных данных, включая сбор, запись, систематизацию, накопление, хранение, уточнение (обновление, изменение), извлечение, использование, обезличивание, блокирование, удаление, уничтожение, моих персональных данных, а именно: Ф.И.О., пол, дата и место рождения, гражданство, серия и номер паспорта, кем и когда выдан, код подразделения, адрес места жительства (регистрации) или места пребывания, номера контактных телефонов и факсов, адрес электронной почты, почтовый адрес, ИНН, СНИЛС, фотография, копии всех страниц документа, удостоверяющего личность, в целях обеспечения доступа к информационным ресурсам Банка в рамках договора, заключенного между Банком и

**I give my consent to Bank ICBC (JSC), 29, Serebryanicheskaya emb., Moscow, 109028, Russian Federation, hereinafter referred to as the 'Bank', to the processing of personal data carried out with the use of automation tools (any action, operation) or set of actions (operations) performed without using automation tools, including collection, recording, systematization, accumulation, storage, updating (specification, modification), extraction, use, transfer (distribution, provision, access), depersonalization, blocking, deletion, destruction of my personal data, namely:**

Full name, gender, date and place of birth, Citizenship, passport series and number, date of issue and the issuing authority, division code, actual address, address at the place of registration, numbers of contact phones and faxes, e-mail address, postal address, INN (Taxpayer Identification Number), SNILS (Insurance Number of Individual Ledger Account), photo, copies of all pages of the identity document, in order to ensure access to the Bank's information resources within the framework of a contract concluded between the Bank and

Я даю согласие на использование моих персональных данных в целях: обеспечения соблюдения законов и иных

I give my consent to the use of my personal data in order to: ensure compliance with the laws and other regulatory legal acts of the

нормативных правовых актов Российской Федерации. Данное согласие действует до истечения срока действия договора между

Russian Federation. This consent is valid until the expiry of the term of the Contract between

и Банком или до даты его отзыва путём направления в АйСиБиСи Банк (АО) письменного обращения об указанном отзыве в произвольной форме, если иное не установлено законодательством Российской Федерации.

and the Bank or until the date of its withdrawal by sending to the Bank ICBC (JSC) a written request for said recall in an arbitrary form, unless otherwise stipulated by the legislation of the Russian Federation.

С порядком отзыва согласия на обработку персональных данных ознакомлен(а).

I have read and understood the procedure for withdrawal of the consent to processing of personal data.

Свидетельствую, что данное Согласие дано и подписано в добровольном порядке, без принуждения.

I confirm that by giving such consent, I act on my own and for my own benefit.

*В случае расхождения преимущественную силу имеет версия на русском языке/ In the event of a divergence, the advantage is in the Russian language.*

‘ \_\_\_\_ ’ \_\_\_\_ 20 \_\_\_\_

\_\_\_\_\_/\_\_\_\_\_  
(подпись/ signature) (ФИО/ full name)

**АйСиБиСи Банк (АО)/ Bank ICBC (JSC)**

**Дата и время приема/ Accepted on (date and time):** \_\_\_\_ 20 \_\_\_\_ **час.** \_\_\_\_ **мин.**  
**Подпись/ Signature** \_\_\_\_/\_\_\_\_/

Приложение 9 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 9 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Согласие на трансграничную передачу персональных данных/  
Consent to Cross-Border Transfer of Personal Data**

*Клиентов АйСиБиСи Банка (АО)/  
Clients of the Bank ICBC (JSC)*

Москва/ Moscow

'\_\_\_\_', \_\_\_\_\_ 20\_\_

Настоящим во исполнение требований и в соответствии со ст. 12 Федерального закона от 27.07.2006 г № 152-ФЗ 'О персональных данных'

Hereby, to fulfill the requirements of and in accordance with Art. 12 of Federal Law No. 152-ФЗ dated July 27, 2006 On Personal Data,

Я/ I, \_\_\_\_\_,

*(фамилия, имя, отчество (при наличии) полностью/ full name)*

паспорт/ passport \_\_\_\_\_ выдан/ issued \_\_\_\_\_,

*(серия, номер/ series, number)*

*(когда и кем выдан/ issued when and by)*

адрес регистрации/ address of registration \_\_\_\_\_

даю согласие АйСиБиСи Банку (АО), Российская Федерация, 109028, г. Москва, Серебряническая набережная, дом 29, в дальнейшем именуемый 'Банк', на трансграничную передачу моих персональных данных, а именно:

фамилия, имя, отчество, дата и место рождения, серия и номер паспорта, кем и когда выдан, фактический адрес (место проживания/пребывания, адрес по месту регистрации, ИНН, СНИЛС, контактные телефоны, адрес электронной почты (email), место работы, должность, копии всех страниц документа удостоверяющего личность, иные персональные данные, являющиеся необходимыми для заявленной цели обработки.

Данное согласие действует до истечения срока действия договора между

**I give my consent to Bank ICBC (JSC), 29, Serebryanicheskaya emb., Moscow, 109028, Russian Federation, hereinafter referred to as the 'Bank', on the cross-border transfer of my personal data, namely:**

Full name, date and place of birth, passport series and number, date of issue and the issuing authority, actual address (address at the place of registration), INN (Taxpayer Identification Number), SNILS (Insurance Number of Individual Ledger Account), numbers of contact phones, e-mail address, place of work, position, copies of all pages of the identity document, other personal data that are necessary for the stated purpose of processing.

This consent is valid until the expiry of the term of the Contract between

и АйСиБиСи Банком (АО) или до даты его отзыва путём направления в АйСиБиСи Банк (АО) письменного обращения об указанном отзыве в произвольной форме, если иное не установлено законодательством Российской Федерации.

С порядком отзыва согласия на обработку персональных данных ознакомлен(а).

and the Bank ICBC (JSC) or until the date of its withdrawal by sending to the Bank ICBC (JSC) a written request for said recall in an arbitrary form, unless otherwise stipulated by the legislation of the Russian Federation.

I have read and understood the procedure for withdrawal of the consent 1to processing of personal data.

I confirm that by giving such consent, I act on my own and for my own benefit.

Я подтверждаю, что, давая такое согласие,  
я действую по собственной воле и в своих  
интересах.

*В случае расхождения преимущественную силу имеет версия на русском языке/ In the event of a divergence, the advantage is in the Russian language.*

‘ \_\_\_\_\_ ’ \_\_\_\_\_ 20 \_\_\_\_\_

\_\_\_\_\_ / \_\_\_\_\_ /  
(подпись/ signature) (ФИО/ full name)

**АйСиБиСи Банк (АО)/ Bank ICBC (JSC)**

**Дата и время приема/ Accepted on (date and time):** \_\_\_\_\_ 20 \_\_\_\_\_ час. \_\_\_\_\_ мин.

**Подпись/ Signature** \_\_\_\_\_ / \_\_\_\_\_ /



Приложение 10 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 10 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

В Депозитарий АйСиБиСи Банка (АО)/  
To the depository of Bank ICBC (JSC)

От/ From: \_\_\_\_\_  
*наименование юридического лица; Ф.И.О. физического  
лица/ Name of the legal entity; name of the individual*

Адрес/ Address: \_\_\_\_\_

Удостоверяющий документ/ Identity document: \_\_\_\_\_

\_\_\_\_\_ *наименование, серия, номер, дата, место выдачи/  
type, series, number, date, place*

' \_\_\_\_\_ ' 20 \_\_\_\_ г.

**Заявление/ Application**  
**на списание комиссии за депозитарные услуги/**  
**for writing-off the fee for depository services**

Я/ I, \_\_\_\_\_,  
*наименование юридического лица; Ф.И.О./ name of legal entity; name of individual*

в лице/ represented by \_\_\_\_\_,  
предоставляю АйСиБиСи Банку (АО) hereby grant Bank ICBC (JSC) a pre-  
заранее данный акцепт на списание authorization to write off the fee for the  
комиссии за депозитарные услуги depository services under the Tariffs of Bank  
согласно 'Тарифам АйСиБиСи Банка ICBC (JSC) for depository activities from  
(АО) по депозитарной деятельности' со account  
счета

открытого в АйСиБиСи Банке (АО), в  
соответствии с суммами и сроками,  
указанными в счетах за депозитарные  
услуги, оказанные АйСиБиСи Банком  
(АО).

Настоящее заявление действует с даты  
его подписания и до прекращения срока  
действия депозитарного договора

№ \_\_\_\_\_ от/ dated ' \_\_\_\_\_ ' 20 \_\_\_\_ г.,  
либо до получения от Депозитария  
АйСиБиСи Банка (АО) уведомления о  
полном исполнении обязательств перед  
АйСиБиСи Банком (АО).

Депонент/ Depositor:

opened with Bank ICBC (JSC) in accordance  
with the amounts and terms specified in the  
invoices of Bank ICBC (JSC) for depository  
services.

This application shall be valid from the date of  
its signature and till the end of the term of  
depository Agreement

till the receipt from the depository of Bank  
ICBC (JSC) of a notice on fulfillment of  
obligations to the depository of Bank ICBC  
(JSC).

\_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
*должность/ position подпись/ signature Ф.И.О./ Name*

М.П./ L.S.

Приложение 11 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 11 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Заявление/ Application**  
**на открытие торгового счета (счетов) депо в рамках ранее**  
**заключенного депозитарного договора/**  
**to Open a Trading Securities Account(s) under a Previously Concluded**  
**Depository Agreement**  
'\_\_\_\_', \_\_\_\_\_ 20\_\_ г.

*Наименование юридического лица; Фамилия, имя, отчество физического лица/*  
*Name of the legal entity; name of the individual*

Настоящим прошу открыть торговый счет (счета) депо в рамках заключенного с АйСиБиСи Банком (АО)/ I hereby request to open a trading securities account(s) under the agreement concluded with Bank ICBC (JSC):

☐ Договора счета депо владельца/ Owner Securities account agreement

№ \_\_\_\_\_ от/ dated \_\_\_\_\_

☐ Договора счета депо номинального держателя/ Nominee securities account agreement № \_\_\_\_\_ от/ dated \_\_\_\_\_

☐ Договора счета депо иностранного номинального держателя/ Foreign nominee securities account agreement № \_\_\_\_\_ от/ dated \_\_\_\_\_

☐ Договора счета депо доверительного управляющего/ Trustee securities account agreement № \_\_\_\_\_ от/ dated \_\_\_\_\_

☐ Договора счета депо иностранного уполномоченного держателя/ Foreign authorized holder's deposit account agreement № \_\_\_\_\_ от/ dated \_\_\_\_\_

Клиринговая организация (отметить нужное)/Clearing organization (tick as appropriate):

☐ — Небанковская кредитная организация-центральный контрагент 'Национальный Клиринговый Центр' (Акционерное общество)/ Central Counterparty National Clearing Centre

☐ — НКО АО НРД/ NATIONAL SETTLEMENT DEPOSITORY

Настоящим гарантируем, что все ценные бумаги, которые будут депонироваться нами в Депозитории АйСиБиСи Банка (АО), принадлежат нам или доверены нам или будут приобретены нами в полном соответствии с действующим законодательством Российской Федерации./ We hereby guarantee that any securities we deposit to the depository of Bank ICBC (JSC) belong to us/are trusted to us or will be acquired by us in full compliance with the applicable legislation of the Russian Federation.

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
должность руководителя юридического лица/ подпись/ signature Ф.И.О./ Name  
position of the head of the legal entity

Главный бухгалтер/ Chief Accountant \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
подпись/ signature Ф.И.О./ Name  
М.П./ L.S.

<b>АйСиБиСи Банк (АО)/ Bank ICBC (JSC)</b>	
Дата и время приема поручения/ Order receipt date and time: '____' _____ 20__ г. ____ час. ____ мин.	
Подпись/ Signature _____/_____	
Исполнено. Дата и время:/ Executed. Date and time: '____' _____ 20__ г. ____ час. ____ мин.	
Подпись/ Signature _____/_____ / Номер по журналу/ Log Number _____	

**Открыт(ы) следующий (ие) счет(а) депо/ The following securities account(s) is(are) opened:**

Торговый счет депо владельца/ Trading owner securities account	
--	--

Торговый счет депо номинального держателя/ Nominee trading securities account	
Торговый счет депо иностранного номинального держателя/ Foreign nominee trading securities account	
Торговый счет депо доверительного управляющего/ Trustee trading securities account	
Торговый счет депо иностранного уполномоченного держателя/ Foreign authorized holder's deposit trading securities account	

Уполномоченное лицо АйСиБиСи Банка (АО)/ Authorized representative of Bank ICBC (JSC)

\_\_\_\_\_/\_\_\_\_\_  
*Должность/ Position*      *подпись/ signature*      *Ф.И.О./ name*  
 М.П./ L.S.

Приложение 12 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 12 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Заявление/ Application  
на открытие счета (счетов) депо в рамках ранее заключенного  
депозитарного договора/ to Open a Securities Account(s) under a  
Previously Concluded Depository Agreement**

\_\_\_\_\_, \_\_\_\_\_ 20\_\_ г.

Настоящим/ Hereby \_\_\_\_\_

*наименование юридического лица; Фамилия, имя, отчество физического лица/ Name of the  
legal entity; name of the individual*

прошу открыть счет(а) депо/ request opening a securities account(s)

*указать вид счета/счетов депо/ specify the securities account(s) type*

в рамках заключенного с АйСиБиСи Банком (АО)/ under the agreement concluded with  
Bank ICBC (JSC), namely:

☐ Договора счета депо владельца/ Owner securities account agreement № \_\_\_\_\_ от/dated \_\_\_\_\_

☐ Договора счета депо номинального держателя/ Nominee securities account agreement № \_\_\_\_\_ от/dated \_\_\_\_\_

☐ Договора счета депо иностранного номинального держателя/ Foreign nominee securities account agreement № \_\_\_\_\_ от/dated \_\_\_\_\_

☐ Договора счета депо депозитарных программ/ Depository program securities account agreement № \_\_\_\_\_ от/ dated \_\_\_\_\_

☐ Договора казначейского счета депо эмитента (лица, обязанного по ценным бумагам)/ depository program securities account agreement № \_\_\_\_\_ от/dated \_\_\_\_\_

☐ Договора счета депо доверительного управляющего/ Trustee securities account agreement № \_\_\_\_\_ от/ dated \_\_\_\_\_

☐ Договора счета депо иностранного уполномоченного держателя/ Foreign authorized holder's deposit account agreement № \_\_\_\_\_ от/ dated \_\_\_\_\_.

Настоящим гарантируем, что все ценные бумаги, которые будут депонироваться нами в Депозитарии АйСиБиСи Банка (АО), принадлежат нам или доверены нам или будут приобретены нами в полном соответствии с действующим законодательством Российской Федерации/ We hereby guaranty that any securities we deposit in the depository of Bank ICBC (JSC) belong to us or trusted to us or will be acquired by us in full compliance with the applicable legislation of the Russian Federation.

_____ / _____	_____ / _____	_____ / _____
<i>должность руководителя юридического лица</i>	<i>подпись</i>	<i>Ф.И.О.</i>
<i>position of the head of the legal entity</i>	<i>signature</i>	<i>name</i>

Главный бухгалтер/ Chief Accountant	_____ / _____	_____ / _____
	<i>подпись</i>	<i>Ф.И.О.</i>
	<i>signature</i>	<i>name</i>

М.П./ L.S.

<b>АйСиБиСи Банк (АО)/ Bank ICBC (JSC)</b>	
Дата и время приема поручения/ Order receipt date and time: '___' _____ 20__ г. __ час. __ мин.	
Подпись/ Signature _____/_____	
Исполнено. Дата и время/ Executed. Date and time: '___' _____ 20__ г. __ час. __ мин.	
Подпись/ Signature _____/_____ / Номер по журналу/ Log Number _____	

**Открыт(ы) следующий (ие) счет(а) депо/ The following securities account(s) is(are) opened:**

Счет депо владельца/ Owner securities account	
Счет депо номинального держателя/ Nominee securities account	
Счет депо иностранного номинального держателя/ Foreign nominee securities account	
Счет депо депозитарных программ/ Depository program securities account	
Казначейский счет депо эмитента/ Issuer treasury securities account	
Счет депо доверительного управляющего/ Trustee securities account	
Счета депо иностранного уполномоченного держателя/ Foreign authorized holder's deposit securities account	

Уполномоченное лицо АйСиБиСи Банка (АО)/Authorized representative of Bank ICBC (JSC)

\_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
*должность/ position                      подпись/ signature                      Ф.И.О./ Name*

М.П./ L.S.

Annex 13  
to the 'Terms and Conditions of  
Depository Activities of  
Bank ICBC (JSC)'

**Application**  
**for closing a securities account (for individuals)**  
\_\_\_\_\_20\_\_\_\_

Hereby I, \_\_\_\_\_  
*Name, surname, patronymic*

Identity document: \_\_\_\_\_  
*name, series, number, date, and place of issue*

\_\_\_\_\_ address of the place of residence (registration) \_\_\_\_\_

\_\_\_\_\_ request to close my securities account(s) No. \_\_\_\_\_.

Depositor:

\_\_\_\_\_ / \_\_\_\_\_  
*signature Full name*

<b>Bank ICBC (JSC)</b>	
Date and time of order receipt:	_____ 20____, _____
Signature	_____/_____/
Completed. Date and time:	_____ 20____, _____
Signature	_____/_____/ Log number _____

Приложение 14 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 14 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

*Бланк организации/ Headed paper of the organization*

**Заявление/ Application  
на закрытие счета депо (для юридических лиц)/  
to Close a Securities Account (for Legal Entities)**

'\_\_\_\_\_' \_\_\_\_\_ 20\_\_ г.

Настоящим \_\_\_\_\_,  
*полное наименование юридического лица/ full name of legal entity*  
адрес места нахождения/ Location address: \_\_\_\_\_,  
просит Вас закрыть наш счет(а) депо/ hereby request(s) that you close our securities account  
№ \_\_\_\_\_.

Депонент/ Depositor:

\_\_\_\_\_  
*должность руководителя юридического лица/  
position of the head of the legal entity*  
Главный бухгалтер/ Chief Accountant

\_\_\_\_\_/\_\_\_\_\_  
*подпись/ signature* *Ф.И.О./ name*

\_\_\_\_\_/\_\_\_\_\_  
*подпись/ signature* *Ф.И.О./ name*

М.П./ L.S.

<b>АйСиБиСи Банк (АО)/ Bank ICBC (JSC)</b>	
Дата и время приема поручения/ Order receipt date and time: '____' _____ 20__ г. ____ час. ____ мин.	
Подпись/ Signature _____/_____	
Исполнено. Дата и время/ Executed. Date and time: '____' _____ 20__ г. ____ час. ____ мин.	
Подпись/ Signature _____/_____	Номер по журналу/ Log Number _____

Annex 15  
to the 'Terms and Conditions of  
Depository Activities of  
Bank ICBC (JSC)'

**Certificate**  
**of opening (closing) a securities account**

This is to certify that for

---

*name of the legal entity or name, surname, patronymic of the individual*

a securities account is opened (closed) with the depository of Bank ICBC (JSC).

Date of securities account opening (closing) \_\_\_\_\_, 20\_\_

Account number: \_\_\_\_\_

Head of the Depository \_\_\_\_\_ / \_\_\_\_\_ /  
*signature* *Full name*

L.S.

date of issue of certificate \_\_\_\_\_, 20\_\_



Annex 16  
to the 'Terms and Conditions of  
Depository Activities of  
Bank ICBC (JSC)'

**Certificate**  
**of opening (closing) a securities subaccount**

This is to certify that for

\_\_\_\_\_

*name of the legal entity or name, surname, patronymic of the individual*

subaccount opened (closed): \_\_\_\_\_

securities subaccount number and name

\_\_\_\_\_

securities account number and name

with the Depository of Bank ICBC (JSC)

Date of securities subaccount opening (closing) \_\_\_\_\_, 20\_\_

Head of the Depository \_\_\_\_\_ / \_\_\_\_\_ /

*signature* *Full name*

L.S.

date of issue of certificate \_\_\_\_\_, 20\_\_

Приложение 17 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 17 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Поручение депо/ Depository Order  
о регистрации изменений  
в анкете юридического или физического лица/  
to Register Changes in the Customer Information Form (Legal  
Entity/Individual) № \_\_\_\_\_**

‘ \_\_\_\_\_ ’ \_\_\_\_\_ 20\_\_ г.

счет депо/ securities account №


Инициатор операции/ Originator: \_\_\_\_\_

Тип поручения: административный/ Order type: administrative

Наименование Депонента/ Depositor name: \_\_\_\_\_

Прошу зарегистрировать следующие изменения в анкете юридического или физического лица/ I hereby request registration of the following changes in the customer information form for a legal entity/individual: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Подтверждающие документы прилагаются.

Приложения:

Please find enclosed the following supporting documents:

1. Анкета юридического или физического лица с изменениями/ Legal entity or individual information form, as amended.
2. \_\_\_\_\_

Депонент/ Depositor:

\_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
должность/ position                      подпись/ signature                      Ф.И.О./ Name

М.П./ L.S.

**АйСиБиСи Банк (АО)/ Bank ICBC (JSC)**

Дата и время приема поручения/ Order receipt date and time: ‘ \_\_\_\_\_ ’ \_\_\_\_\_ 20\_\_ г. \_\_\_\_ час. \_\_\_\_ мин.

Подпись/ Signature \_\_\_\_\_ / \_\_\_\_\_ /

Исполнено. Дата и время/ Executed. Date and time: ‘ \_\_\_\_\_ ’ \_\_\_\_\_ 20\_\_ г. \_\_\_\_ час. \_\_\_\_ мин.

Подпись/ Signature \_\_\_\_\_ / \_\_\_\_\_ / Номер по журналу/ Log Number \_\_\_\_\_

Приложение 18 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 18 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Поручение депо/ Depository Order**  
**на зачисление ценных бумаг/ for deposit of securities № \_\_\_\_\_**  
**' \_\_\_\_\_ ', \_\_\_\_\_ 20\_\_ г.**

Тип поручения: инвентарный/ Order type: inventory

Инициатор операции/ Originator: \_\_\_\_\_

Вид счета депо отправителя/ Originator's security account type				
Отправитель/ From:	полное наименование юридического лица; фамилия, имя, отчество физического лица/ full name of the legal entity; name of the individual			
Счет депо отправителя (раздел)/ Originator's security account (subaccount)				
Место хранения ценных бумаг/ Securities storage place:				
Вид счета депо Депонента/ Depositor's security account type				
Депонент/ Depositor:	полное наименование юридического лица; фамилия, имя, отчество/ full name of the legal entity; name of the individual			
Документ/ Document:	Серия/ Series	№.	от/ dated	00.00.0000
ОГРН, паспорт или иное/ OGRN, passport, other document				
кем выдан/ issued by				
Счет депо Депонента/ depositor's security account:		раздел/ subaccount:		
Место хранения ценных бумаг/ Securities storage place:				
Наименование ценной бумаги/ Security name:				
Тип ценной бумаги/ Security type:				
Номер государственной регистрации/ Security state registration number (ISIN):				
Количество ценных бумаг в операции/ Number of securities in the transaction:	XXXX ( прописью/ in words) шт./ pcs.			
Вышеуказанная ценная бумага/ The above security:	обременена/не обременена обязательствами/ encumbered/non-encumbered			
Основание совершения операции/ Basis for transaction:				

Дополнительная информация/  
Additional information:

Депонент/ Depositor:

\_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
*должность/ position      подпись/ signature      Ф.И.О./ name*  
 М.П./ L.S.

**АйСиБиСи Банк (АО)/ Bank ICBC (JSC)**

Дата и время приема поручения/ Order receipt date and time: '\_\_\_' \_\_\_\_\_ 20\_\_ г. \_\_\_ час. \_\_\_ мин.

Подпись/ Signature \_\_\_\_\_ / \_\_\_\_\_ /

Исполнено. Дата и время/ Executed. Date and time: \_\_\_\_\_ 20\_\_

Подпись/ Signature \_\_\_\_\_ / \_\_\_\_\_ /Номер по журналу/ Log Number \_\_\_\_\_

Приложение 19 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 19 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Поручение депо/ Depository Order**  
**на списание ценных бумаг/ to Withdrawal Securities № \_\_\_\_\_**  
'\_\_\_\_\_', \_\_\_\_\_ 20\_\_ г.

Тип поручения: инвентарный/ Order type: inventory

Инициатор операции/ Originator: \_\_\_\_\_

Вид счета депо отправителя/  
Depositor's security account type

Отправитель/ Depositor:

*полное наименование юридического лица; фамилия, имя, отчество физического  
лица/ Full name of the legal entity; name of the individual*

Документ/  
Document:

Серия/  
Series

No

От/  
Dated

00.00.0000

*ОГРН, паспорт или иное / OGRN, passport, other document*

*кем выдан/ issued by*

Счет депо Депонента/  
Depositor's security  
account:

раздел/  
subaccou  
nt:

Место хранения ценных бумаг/  
Securities storage place:

Вид счета депо получателя/  
Beneficiary's security account type

Получатель/ Beneficiary:

*полное наименование юридического лица; фамилия, имя,  
отчество/ Full name of the legal entity; name of the individual*

Счет депо получателя (раздел)/  
Beneficiary's security account  
(subaccount):

Место хранения ценных бумаг/  
Securities storage place:

Наименование ценной бумаги/ Security  
name:

Тип ценной бумаги/ Security type:

Номер государственной регистрации  
ценной бумаги (ISIN код)/ Security state  
registration number (ISIN):

Количество ценных бумаг в операции/  
Number of securities in the transaction:

XXXX (прописью) шт./ (in words) pcs.

Вышеуказанные ценные бумаги/ The above securities:

обременены/не обременены  
обязательствами/ encumbered/non-  
encumbered

Основание совершения операции/ Basis for transaction:

Дополнительная информация/ Additional information:

Депонент/ Depositor:

должность/ position

подпись/ signature

Ф.И.О./ name

М.П./ L.S.

**АйСиБиСи Банк (АО)/ Bank ICBC (JSC)**

Дата и время приема поручения/Order receipt date and time: '\_\_\_' 20\_\_\_ г. \_\_\_ час. \_\_\_ мин.

Подпись/ Signature \_\_\_\_\_/\_\_\_\_\_

Исполнено. Дата и время/ Executed. Date and time: 20\_\_\_

Подпись/ Signature \_\_\_\_\_/\_\_\_\_\_ /Номер по журналу/ Log Number \_\_\_\_\_

Приложение 20 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка  
(АО)' / Annex 20 to the 'Terms and Conditions of  
Depository Activities of Bank ICBC (JSC)'

**Поручение депо/ Depository Order**  
**на перевод ценных бумаг/ to Transfer Securities № \_\_\_\_\_**  
\_\_\_\_\_, \_\_\_\_\_ 20\_\_ г.

**счет депо/ securities account No.**

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**раздел счета депо/ securities subaccount No.**

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**корреспондирующий счет депо/ correspondent securities account No.**

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**раздел корреспондирующего счета депо/ securities correspondent subaccount No.**

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Наименование Депонента, откуда осуществляется перевод/ Name of the depositor  
performing the transfer: \_\_\_\_\_

Счет депо Депонента и раздел, откуда осуществляется перевод/ Depositor's securities  
account and subaccount the transfer is performed from: \_\_\_\_\_

Инициатор операции/ Originator: \_\_\_\_\_

Тип поручения/ Order type: инвентарный/ inventory

Операция / Transaction: \_\_\_\_\_

Наименование Депонента, куда осуществляется перевод/ Name of the depositor the transfer  
is performed to: \_\_\_\_\_

Счет депо Депонента и раздел, куда осуществляется перевод/ Depositor's securities account  
and subaccount the transfer is performed to: \_\_\_\_\_

Наименование ценной бумаги/ Security name: \_\_\_\_\_

Тип ценной бумаги/ Security type: \_\_\_\_\_

Номер государственной регистрации ценной бумаги (ISIN код)/ Security state registration  
number (ISIN): \_\_\_\_\_

Количество ценных бумаг в операции: XXXXXXXX (прописью) шт./ Number of securities in  
the transaction: XXXXXXXX (in words) pcs.

Основание совершения операции/ Basis for transaction: \_\_\_\_\_

Дополнительная информация/ Additional information: \_\_\_\_\_

Возможность внесудебного списания залога  
(выбрать нужное)/ Non-judicial pledge write-off  
possible (check)

☐

Да/  
Yes

☐

Нет/  
No

Депонент/ Depositor: \_\_\_\_\_

\_\_\_\_\_  
должность/ position

\_\_\_\_\_  
подпись/ signature

\_\_\_\_\_  
Ф.И.О./ name

М.П./ L.S.

Залогодержатель/ Pledge holder <sup>6</sup> _____		
Подпись/ Signature _____		
_____	_____ / _____	_____
должность / position	подпись/ signature	Ф.И.О./ name М.П./ L.S.

АйСиБиСи Банк (АО)/ Bank ICBC (JSC)	
Дата и время приема поручения/ Order receipt date and time: '___' _____ 20___ г. ___ час. ___ мин.	
Подпись/ Signature _____ / _____	
Исполнено. Дата и время/ Executed. Date and time: _____ 20___	
Подпись/ Signature _____ / _____ /Номер по журналу/ Log Number _____	

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<sup>6</sup> Поле 'залогодержатель' — заполняется и подписывается залогодержателем при снятии обременения с ценных бумаг/ To be filled in and signed by the pledge holder in release of securities



Приложение 21 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 21 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Поручение депо/ Depository Order  
на изменение места хранения ценных бумаг/to Change Securities Storage  
Place №. \_\_\_\_\_**

‘ \_\_\_\_\_ ’ \_\_\_\_\_ 20\_\_ г.

**счет депо/ securities account No.**

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**раздел счета депо/ securities subaccount No.**

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Наименование Депонента/ Depositor name: \_\_\_\_\_

Инициатор операции/ Originator: \_\_\_\_\_

Счет депо Депонента/ Depositor's security account: \_\_\_\_\_

Тип поручения/ Order type: инвентарный/ inventory

Операция: изменение места хранения ценных бумаг/ Transaction: for change of securities storage place

Наименование места хранения, откуда производится перемещение ценных бумаг/ Name of the storage place the securities are relocated from: \_\_\_\_\_

Наименование места хранения, куда производится перемещение ценных бумаг/ Name of the storage place the securities are relocated to: \_\_\_\_\_

Наименование ценной бумаги/ Security name: \_\_\_\_\_

Тип ценной бумаги/ Security type: \_\_\_\_\_

Номер государственной регистрации ценной бумаги (ISIN код)/ Security state registration number (ISIN): \_\_\_\_\_

Количество ценных бумаг в операции: XXXXXXXX (прописью) шт./ Number of securities in the transaction: XXXXXXXX (in words) pcs.

Основание совершения операции/ Basis for transaction: \_\_\_\_\_

Дополнительная информация/ Additional information: \_\_\_\_\_

Депонент/ Depositor:

_____	_____	/	_____
<i>должность/ position</i>	<i>подпись/ signature</i>		<i>Ф.И.О./ name</i>
	М.П./ L.S.		

**АйСиБиСи Банк (АО)/ Bank ICBC (JSC)**

**Дата и время приема поручения/Order receipt date and time:** ‘ \_\_\_\_ ’ \_\_\_\_\_ 20\_\_ г. \_\_\_\_ час. \_\_\_\_ мин.

**Подпись/ Signature** \_\_\_\_\_ / \_\_\_\_\_

**Исполнено. Дата и время/ Executed. Date and time:** \_\_\_\_\_ 20\_\_

**Подпись/ Signature** \_\_\_\_\_ / \_\_\_\_\_ / **Номер по журналу/ Log Number** \_\_\_\_\_

Order type: inventory  
Storage method: closed

Securities account No. \_\_\_\_\_  
Securities subaccount No. \_\_\_\_\_

Security name, issuer	Series	Number	Date of issue	Par value

Depositor:

Chief Accountant \_\_\_\_\_ / \_\_\_\_\_ /  
signature Full name

L.S.

<b>Bank ICBC (JSC)</b>	
<b>Date and time of order receipt:</b> _____	<b>20</b> ____, _____
<b>Signature</b> _____/_____	
<b>Completed. Date and time:</b> _____	<b>20</b> ____, _____
<b>Signature</b> _____/_____ <b>Log number</b> _____	

Annex 23  
to the 'Terms and Conditions of  
Depository Activities of  
Bank ICBC (JSC)'

**Depository order  
for removal of certificated securities from storage and accounting No.**

\_\_\_\_\_ 20\_\_

Order type: inventory  
Storage method: closed

\_\_\_\_\_  
*Name of the legal entity; name, surname, patronymic of the individual*

Securities account No. \_\_\_\_\_

Securities subaccount No. \_\_\_\_\_

Security name, issuer	Series	Number	Date of issue	Par value

Total securities: \_\_\_\_\_

Total nominal value: \_\_\_\_\_

Depositor:

\_\_\_\_\_  
*position of the head of the legal entity*  
Chief Accountant

\_\_\_\_\_/\_\_\_\_\_  
*signature Full name*  
\_\_\_\_\_/\_\_\_\_\_  
*signature Full name*

L.S.

Securities accepted by:

\_\_\_\_\_/\_\_\_\_\_  
*position of the authorized representative signature Full name*  
\_\_\_\_\_ 20\_\_

**Bank ICBC (JSC)**

**Date and time of order receipt:** \_\_\_\_\_ 20\_\_, \_\_\_\_\_

**Signature** \_\_\_\_\_/\_\_\_\_\_

**Completed. Date and time:** \_\_\_\_\_ 20\_\_, \_\_\_\_\_

**Signature** \_\_\_\_\_/\_\_\_\_\_/ **Log number** \_\_\_\_\_

Приложение 24 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 24 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Поручение депо/ Depository Order  
на реализацию прав по ценным бумагам (участие в корпоративном  
действии)/ for execution of rights in securities (participation in corporate  
action) № \_\_\_\_\_**

‘ \_\_\_\_\_ ’ \_\_\_\_\_ 20\_\_ г.

счет депо №/ securities account No.

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раздел счета депо №/ securities subaccount No.

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Инициатор операции/ Originator: \_\_\_\_\_

Тип поручения: административный/ Order type: administrative

Наименование Депонента/ Depositor name: \_\_\_\_\_

Наименование ценной бумаги/ Security name: \_\_\_\_\_

Номер государственной регистрации ценной бумаги (ISIN код)/ Security state registration number (ISIN): \_\_\_\_\_

Номинальная стоимость/ Nominal value: \_\_\_\_\_

Количество ценных бумаг (штук)/ Number of securities (pcs): \_\_\_\_\_

Количество ценных бумаг на дату фиксации (штук)/ Number of securities as of the record date (pcs): \_\_\_\_\_

Место хранения ценных бумаг/ Securities storage place: \_\_\_\_\_

Тип и дата проведения корпоративного действия/ Type and date of the corporate action: \_\_\_\_\_

Инструкция для Депозитария/ Instruction for the depository: \_\_\_\_\_

Срок начала исполнения/ Start date of execution: \_\_\_\_\_

Особые условия и дополнительные сведения/ Special conditions and additional information: \_\_\_\_\_

Депонент/ Depositor:

\_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

*должность/ position*

*подпись/ position*

*Ф.И.О./ Name.*

М.П./ L.S.

**АйСиБиСи Банк (АО)/ Bank ICBC (JSC)**

Дата и время приема поручения/ Order receipt date and time: ‘ \_\_\_\_\_ ’ \_\_\_\_\_ 20\_\_ г. \_\_\_\_ час. \_\_\_\_ мин.

Подпись/ Signature \_\_\_\_\_ / \_\_\_\_\_ /

Исполнено. Дата и время/ Executed. Date and time: ‘ \_\_\_\_\_ ’ \_\_\_\_\_ 20\_\_ г. \_\_\_\_ час. \_\_\_\_ мин.

Подпись/ Signature \_\_\_\_\_ / \_\_\_\_\_ / Номер по журналу/ Log Number \_\_\_\_\_

Приложение 25 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 25 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Поручение депо/ Depository Order  
на совершение информационной операции/ to perform an information  
operation № \_\_\_\_\_**

‘ \_\_\_\_\_ ’ \_\_\_\_\_ 20\_\_ г.

счет депо/ securities account №

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Инициатор операции/ Originator: \_\_\_\_\_

Тип поручения: информационный/ Order type: information

Наименование Депонента/ Depositor name: \_\_\_\_\_

Прошу предоставить (нужное отметить X или V)/ Please provide (check as appropriate with X or V):

☐ Выписку по счету депо по состоянию на дату/ Statement of securities account as of

\_\_\_\_\_ дата

- ☐ на конец операционного дня/ Statement of securities account as of
- ☐ на начало операционного дня (для целей направления предложения о внесении вопросов в повестку дня, предложения о выдвижении кандидатов в органы управления и иные органы общества или требования о проведении внеочередного общего собрания акционеров)/ (Statement of securities account transactions for the period (for the purposes of sending a proposal to include issues in the agenda, proposals to nominate candidates to the management bodies and other bodies of the company or requirements to hold an extraordinary General meeting of shareholders)

☐ Отчет о совершенной депозитарной операции (операциях) по счету депо/ Report on depository transactions performed: с/ from \_\_\_\_\_ по/ to \_\_\_\_\_  
период времени/ time period

☐ Другое/ Other \_\_\_\_\_  
Депонент/ Depositor: \_\_\_\_\_

\_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
должность/ position подпись/ signature Ф.И.О./ Name

М.П./ L.S.

<b>АйСиБиСи Банк (АО)/ Bank ICBC (JSC)</b>	
Дата и время приема поручения/ Order receipt date and time: ‘__’ _____ 20__ г. __ час. __ мин.	
Подпись/ Signature _____/_____	
Исполнено. Дата и время/ Executed. Date and time: ‘__’ _____ 20__ г. __ час. __ мин.	
Подпись/ Signature _____/_____ / Номер по журналу/ Log Number _____	

Annex 26  
to the 'Terms and Conditions of  
Depository Activities of Bank ICBC (JSC)'

**Depository of Bank ICBC (JSC)**  
**License of the Bank of Russia No. 045-13992-000100 issued on August 18, 2016**  
**29 Serebryanicheskaya Embankment,**  
**Russia, 109028, Moscow, Telephone(495) 287-30-99; Fax (495) 287-30-98**

**Report on depository operation (operations) performed on the securities account**  
**from \_\_\_\_\_ to \_\_\_\_\_**

Issued on request <sup>7</sup> \_\_\_\_\_ No \_\_\_\_\_ from \_\_\_\_\_

The securities account number, the name of the securities account \_\_\_\_\_

Depositor \_\_\_\_\_

**Inventory operations**

№ in order	Order number and date	Operation date	Securities subaccount No.	Issuer / name of security/Securities state registration number (ISIN)	Type of inventory operation	Opening balance	Number	Closing balance	Basis of operation	Correspondent/ Correspondent Account/ Subaccount

**Administrative operations**

№ in order	Order number and date	Operation date	Type of administrative document

**Information operations**

№ in order	Order number and date	Operation date	Type of information document

Head of the Depository \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

L.S.

Date and time of report \_\_\_\_\_

\_\_\_\_\_

<sup>7</sup> To be filled in if the report is provided on the basis of depository orders to perform an information operation

Annex 27  
to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Depository of Bank ICBC (JSC)**  
**License of the Bank of Russia No. 045-13992-000100 issued on August 18, 2016**  
**29 Serebryanicheskaya Embankment,**  
**Russia, 109028, Moscow, Telephone(495) 287-30-99; Fax (495) 287-30-98**

### STATEMENT OF SECURITIES ACCOUNT № \_\_\_\_\_

\_\_\_\_\_ (as of the end of operating day/as of the start of operating day<sup>8</sup>)

The securities account number, the name of the securities account  
Depositor \_\_\_\_\_

Type of securities account \_\_\_\_\_

Subaccount \_\_\_\_\_

№	Security category	Issuer	Edition	Securities state registration number (ISIN)	Face value	Number

Total for subaccount \_\_\_\_\_

Total for account \_\_\_\_\_

Head of the Depository \_\_\_\_\_/\_\_\_\_\_

L.S.

Date and time of report \_\_\_\_\_

\_\_\_\_\_

<sup>8</sup> This account statement is not a security, and confirms the existence of securities at the beginning of the operational day of the above date

Annex 28  
to the 'Terms and Conditions of  
Depository Activities of  
Bank ICBC (JSC)'

**Depository of Bank ICBC (JSC)**  
**License of the Bank of Russia No. 045-13992-000100 issued on August 18, 2016**  
**29 Serebryanicheskaya Embankment,**  
**Russia, 109028, Moscow, Telephone(495) 287-30-99; Fax (495) 287-30-98**

## **Report on the execution of administrative operation**

Type of operation  
Date of receipt of the order  
Incoming order number  
Date of execution  
Originator of the order  
Date of report

Object to be changed

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Head of the Depository



Annex 29  
to the 'Terms and Conditions of  
Depository Activities of  
Bank ICBC (JSC)'

**Notification**  
**by Bank ICBC (JSC) of payment and transfer of proceeds**

Ref. No. \_\_\_\_\_ dated \_\_\_\_\_ 20\_\_

Depositor's name: \_\_\_\_\_

We hereby notify you that \_\_\_\_\_

To be completed in the event of funds transfer upon shares:

Issuer name	
Security name	
Record date	
Number of shares dividends are attributed to for the Depositor (as of the record date, pcs.)	registered preference shares
Number of shares dividends are attributed to for the Depositor (as of the record date, pcs.)	registered ordinary shares
Securities par value	
Dividend rate per share	registered preference shares
Dividend rate per share	registered ordinary shares
Total amount of dividends attributed	
Amount of tax withheld by the issuer	
Amount payable to the Depositor	
Additional information	

To be completed in the event of funds transfer upon bonds:

Issuer name	
Security name	
Record date	
Number of bonds with coupons for the Depositor (as of the record date, pcs.)	
Securities par value	
Currency par value	
Coupon rate per bond	
Total amount of coupon	
Total amount of coupon income and principal debt or any part thereof	
Amount payable to the Depositor	
Additional information	

Payment order:

Number and date of the payment order	
Beneficiary	
TIN	
Account No.	
Bank of beneficiary	

Head of the Depository \_\_\_\_\_ / \_\_\_\_\_  
signature Full name

L.S.

Annex 30  
to the 'Terms and Conditions of  
Depository Activities of Bank  
ICBC (JSC)'

**Tariffs of Bank ICBC (JSC) for depository activities**

No.	Services	Tariff <sup>9</sup> (not subject to VAT)
1.	Administrative operations	
1.1.	Opening the securities account:	300 rubles To be charged per operation
1.2.	Opening the securities subaccount on behalf of the Depositor	150 rubles To be charged per operation
1.3.	Opening of the nominal holder securities subaccount of Bank ICBC (JSC) in NSD or nominal holder securities account of Bank ICBC (JSC) in NSD on behalf of the Depositor	300 rubles Charged to the Depositor for the opening of each subaccount
1.4.	Servicing of the securities account of the Depositor in case of opening of the nominal holder securities subaccount of Bank ICBC (JSC) in NSD or nominal holder securities account of Bank ICBC (JSC) in NSD on behalf of the Depositor	150 rubles Charged to the Depositor on a monthly basis
1.5.	Closing of securities accounts or securities subaccounts	Commissions shall not be charged
1.6.	Modification of the questionnaire details of Depositor, Depositor's authorized representative	Commissions shall not be charged
2.	Storage and registration of securities	
2.1.	Storage and/or accounting of securities in foreign or international accounting systems	0.03% but not less than 100 rubles Charged on a monthly basis in % per annum of the average value of the securities holding.

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<sup>9</sup>The payment for the services shall be performed based on the invoice issued by Bank ICBC (JSC) on a monthly basis. The invoice is issued not later than on the fifth (5<sup>th</sup>) business day of the month following the settlement month, or on the closing date of the securities account of the depositor

No.	Services	Tariff (not subject to VAT)
2.2.	Storage and/or accounting of securities in registrars or in correspondent depositories that are residents of the Russian Federation, except for the cases specified in Clauses 2.3, 2.4, 2.5 of these tariffs	Commissions shall not be charged
2.3.	Storage and/or accounting in NSD of securities that do not have a market price – shares, investment units, mortgage participation certificates, depository receipts, for a Depositor that is a legal entity	300 rubles for issue, but no more than 15,000 rubles Fee charged on a monthly basis for each issue of securities on securities account
2.4.	Storage and/or registration in NSD of securities with no market price for the Depositor that is an individual	Commissions shall not be charged
2.5.	Non-issue-grade certificated securities storage and accounting	0.1%, but not less than 300 rubles Charged on a monthly basis in % per annum of the average value of the securities holding.
3.	Inventory operations	
3.1.	Receipt of securities for storage and accounting	
3.1.1.	Depositing and/or registration of non-certificated securities and issue certificated securities with mandatory centralized storage	150 rubles To be charged per operation
3.1.2.	Acceptance of non-issue-grade and issue-grade certificated securities for storage and/or accounting, except for those listed in Clause 3.1.1 of these tariffs	50 rubles To be charged per security
3.2.	Removal of securities from storage and accounting	
3.2.1.	Withdrawal from storage and/or accounting of non-certificated securities and issue-grade certificated securities with mandatory centralized storage	700 rubles To be charged per operation

<b>No.</b>	<b>Services</b>	<b>Tariff (not subject to VAT)</b>
3.2.2.	Withdrawal from storage and/or accounting of non-issue-grade and issue-grade certificated securities, except for those listed in Clause 3.2.1 of these tariffs	150 rubles To be charged per security
3.3.	Transfer of securities on securities accounts or securities subaccounts. Relocation (change of place of securities storage).	
3.3.1.	Transfers of securities between security accounts opened with the Depository of Bank ICBC (JSC)	150 rubles To be charged per operation
3.3.2.	Transfer of securities through subaccounts of one securities account on behalf of the Depositor	Commissions shall not be charged
3.3.3.	Relocation (change of place of storage) of issue-grade non-certificated securities and issue-grade certificated securities with mandatory centralized storage	850 rubles To be charged per operation
3.3.4.	Relocation (change of place of storage) of certificated securities, except for those listed in Clause 3.3.3 of this tariff	200 rubles To be charged per operation
4.	Registration of encumbrance of securities with obligations	
4.1.	Registration of encumbrance of securities with obligations	300 rubles To be charged per operation
4.2.	Register of termination of encumbrance of securities with obligations	300 rubles To be charged per operation
5.	Information operations <sup>10</sup>	

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<sup>10</sup> The commissions specified in Section 5 shall be charged also for reports (statements) provided to the customer on the securities account closed.

No.	Services	Tariff (not subject to VAT)
5.1.	Securities account report (statement) in paper form or securities subaccount report (statement), Report on the execution of administrative operation under the Depository order for the Depositor that is an individual	50 rubles <sup>11</sup> To be charged per operation
5.2.	Securities account report (statement) in paper form or securities subaccount report (statement) under the Depository order for the Depositor that is a legal entity	100 rubles To be charged per operation
5.3.	Issuance at the Depositor's request of copies of the documents, including scanned copies	30 rubles To be charged per sheet
5.4.	Statement (or report) of the registrar or the correspondent Depository provided at the request of the Depositor in respect of securities of the depositor on the account of the nominee of Bank ICBC (JSC)	300 rubles Charged per statement
6.	Corporate actions	
6.1.	Acceptance and processing of applications and orders of Depositors for participation in corporate action. General meeting of holders of securities for legal entities	1500 rubles Charged per application (order) on voting for each package of securities at the place of storage
6.2.	Acceptance and processing of applications and orders of Depositors for participation in corporate action. General meeting of owners of securities for individuals	750 rubles Charged per application (order) on voting for each package of securities at the place of storage
6.3.	Receipt and processing of Depositors' applications for participation in the corporate actions of the issuer of the securities with the accompanying documents, except as specified in Clauses 6.1 and 6.2 of these tariffs	1500 rubles Charged per application (set of attached documents) for each package of securities at the place of storage
7.	Order cancellation	

<sup>11</sup> The commission shall not be charged for the initial provision of a report on the depository operation (operations) performed on the securities account and Report on the execution of administrative operation

No.	Services	Tariff (not subject to VAT)
7.1.	Depositor's order cancellation	300 rubles To be charged per operation
8.	Ensuring the exchange of information via SWIFT communication channels	
8.1.	Ensuring the exchange of information via SWIFT communication channels	500 rubles + thirty (30) rubles for each securities account, on which the exchange of documents via SWIFT communication channels is arranged. To be charged on a monthly basis, regardless of the volume of information exchange

1. If it is specified in the Tariff column that payment is to be charged per operation, the fee is calculated per operation performed in respect of each issue of securities.

2. In addition to the tariff, an amount is charged equal to the amount of the actual expenses of Bank ICBC (JSC) suffered in fulfillment of its obligations to the Depositor (compensation for the actual expenses of Bank ICBC (JSC)).

3. The payment for the services shall be performed based on the invoice issued by Bank ICBC (JSC) on a monthly basis. The invoice is issued within five (5) business days of the month following the settlement one. In payment for the services, the remuneration amount calculated in accordance with the tariffs shall be rounded to kopecks. The remuneration of Bank ICBC (JSC) for operations and services not provided for under these tariffs shall be regulated under additional agreements.

4. If the operation is performed via the centralized clearing and settlement system of Moscow Stock Exchange due to the settlement of an operation performed by Bank ICBC (JSC) as a broker at the Depositor's expense, no remuneration is charged on the tariffs of securities storage and withdrawal from storage.

5. Fee for storage and/or registration of securities specified in Clauses 2.1 and 2.5 of these tariffs is charged as a percentage of the securities holding average value determined separately for the issue-grade non-certificated securities denominated in rubles and foreign currency, for the issue-grade certificated and non-issue-grade securities.

6. The average cost of a package of securities in the securities account is determined by the aggregate amount of packages of all issues of securities recorded in the reporting month.

The average cost of package of securities in the securities account for charging for storage is calculated using the formula:

$$C_{cp.} = \sum_{n=1}^M \sum_{i=1}^N (C_{ni} * K_{\text{УБП } n}) / N$$
, where  $C_{ni}$  is the appraised value of the securities  $n$  in ruble or currency equivalent as of the end of the corresponding ( $i^{\text{th}}$ ) calendar day of the billing period;

$K_{\text{руб.}}$  is the currency rate of the appraised value of the securities in the Russian rubles set by the Bank of Russia for the last calendar date of the billing period, according to the official website of the Bank of Russia. For the Russian rubles, the exchange rate is taken equal to 1;

N – number of calendar days in the billing period;

M – number of different issues (issue-grade securities) or pieces (non-issue-grade securities) recorded on the securities account at least one (1) day during the billing period.

Estimated value of securities is determined as the product of the number of securities at the end of the relevant calendar day of the billing month on the denomination of the securities.

In the absence of information on the par value of the securities, the appraised value is determined based on the market value of the securities according to Thompson Reuters information system. The appraised value of the securities being determined is expressed in Russian rubles.

In case of settlements in foreign currency, the appraised value of the securities is converted into the Russian rubles at the rate set by the Bank of Russia as of the date of settlement.

Приложение 31 к 'Условиям осуществления  
депозитарной деятельности АйСиБиСи Банка (АО)'/  
Annex 31 to the 'Terms and Conditions of Depository  
Activities of Bank ICBC (JSC)'

**Обращение Депонента/ Depositor's Application № \_\_\_\_\_**

От/ dated '\_\_\_\_\_' \_\_\_\_\_ 20 \_\_\_\_ г.

Депонент/ Depositor  
Счет депо/  
Securities account


Суть обращения/ Application summary:


Данные Депонента/ Depositor's data:

--

Депонент/ Depositor:

_____ / _____	_____ / _____	_____ / _____
<i>Должность/ position</i>	<i>подпись/ signature</i>	<i>Ф.И.О./ Name</i>
	М.П./ L.S.	

**ОТМЕТКИ ДЕПОЗИТАРИЯ/ TO BE COMPLETED BY THE DEPOSITORY**

Принято/ Accepted:

_____ / _____	_____ / _____	_____ / _____
<i>должность/ position</i>	<i>подпись/ signature</i>	<i>Ф.И.О./ Name</i>
'_____' _____ 20 ____ г.		

Вх. № по журналу/ Your ref. in the log \_\_\_\_\_ час. \_\_\_\_ мин.

**КОНТРОЛЬ ИСПОЛНЕНИЯ/ EXECUTION CONTROL**

Резолюция по обращению/ Resolution on the application:


Уполномоченное лицо, рассмотревшее обращение/ Application reviewed by:

_____ / _____	_____ / _____	_____ / _____
<i>должность/ position</i>	<i>подпись/ signature</i>	<i>Ф.И.О./ Name</i>