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.
1. Customer questionnaire for an Individual (Annex 6 to the Terms and Conditions).
2. Original or notarized copy of TIN (Taxpayer Identification Number) assignment certificate (if any).
3. 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.
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 3

to the ‘Terms and Conditions of Depository Activities 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.
1. 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.
1. 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).
1. 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.
2. 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).
3. Other documents at the discretion of Bank ICBC (JSC).
4. 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.
1. 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-ФЗ On Securities Market dated April 22, 1996.
2. 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.
1. 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.
1. 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).
1. 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.
1. 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).
2. 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.
1. Documents confirming the powers of the sole executive body (the head) of the legal entity (the decision on appointment, order, etc.).
2. 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.).
3. Copies of identity documents of authorized representatives of the customers, properly certified.
4. Certificate of registration of a foreign company with the tax authority in the territory of the Russian Federation (if any).
5. 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.
6. 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.
7. 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.
8. 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).
9. 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.

1. 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.
1. 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.
2. 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.
3. 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), 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).
4. 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.
5. 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).
6. 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.
1. 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[[1]](#footnote-1): |
| 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: |
| 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) |   | 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) |   | 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) |
|  | Customer’s pre-authorization for withdrawal from the accounts opened with Bank ICBC (JSC)  |
|  | Invoicing |
| Document transfer form (tick appropriate box with X or V): |
|  | mail |  | e-mail |  | personally (via an authorized representative) |  | SWIFT |
| Communications exchange form (tick appropriate box with X or V): |
|  | mail |  | e-mail |  | personally (via an authorized representative) |  | SWIFT |
| Purpose of the questionnaire submission (tick appropriate box with X or V): |
|  | Primary filling up of the questionnaire |  | Modification of the questionnaire details |
| The questionnaire was submitted by (tick appropriate box with X or V): |
|  | Depositor |  | Depositor’s authorized representative |
| Type of securities account (tick appropriate box with X or V): |
|  | Owner securities account  |  | Trading owner securities account |
| Additional information |  |

**Sample signature of authorized persons acting under the power of attorney:**

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Full name |  Signature sample | Power of Attorney |
|  |  |  | No. \_\_\_ dated \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, 20\_\_ |
|  | **Sample of personal signature:** |  |  |  |
|  |  | *clarification of signature* |

Date of filling in the questionnaire \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, 20\_\_\_\_

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 иностранный 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 [[2]](#footnote-2): |
| 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 [[3]](#footnote-3) |
| Способ оплаты депозитарных услуг (нужное отметить знаком X или V)/ Method of payment for depository services (check as appropriate with X or V): |
|  | 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 |
| Способ передачи документов (нужное отметить знаком X или V)/ Document transfer 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 |  |  |
|  | Cчет депо доверительного управляющего/ Trustee securities account |  | Торговый счет депо доверительного управляющего/ Trustee trading securities account |
|  | Cчета 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/ position подпись/ signature Ф.И.О./ Full name*

Представитель, действующий на основании/

Representative acting under \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

 *наименование документа/ document name подпись/ signature Ф.И.О./ Full name*

 М.П./ L.S.

Дата заполнения Анкеты/ Completed on: ‘\_\_\_\_\_’\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_20\_\_\_\_г.

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 нормативных правовых актов Российской Федерации. Данное согласие действует до истечения срока действия договора между | 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 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.С порядком отзыва согласия на обработку персональных данных ознакомлен(а).Свидетельствую, что данное Согласие дано и подписано в добровольном порядке, без принуждения. | 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.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. |

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*) (Ф.И.О./ Full name)

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).Я подтверждаю, что, давая такое согласие, я действую по собственной воле и в своих интересах. | 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. |

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*) (Ф.И.О./ Full name)

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) заранее данный акцепт на списание комиссии за депозитарные услуги согласно ‘Тарифам АйСиБиСи Банка (АО) по депозитарной деятельности’ со счета | hereby grant Bank ICBC (JSC) a pre-authorization to write off the fee for the depository services under the Tariffs of Bank ICBC (JSC) for depository activities from account  |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, |
| 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 | 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  |
| №\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ от/ dated ‘\_\_\_\_’\_\_\_\_\_\_\_\_\_\_\_\_\_\_20\_\_\_г., |
| либо до получения от Депозитария АйСиБиСи Банка (АО) уведомления о полном исполнении обязательств перед АйСиБиСи Банком (АО). | till the receipt from the depository of Bank ICBC (JSC) of a notice on fulfillment of obligations to the depository of Bank ICBC (JSC). |

Депонент/ Depositor:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

 *должность/ position подпись/ signature Ф.И.О./ Full 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 Депозитарии 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./ Full name*

*position of the head of the legal entity*

Главный бухгалтер/ Chief Accountant \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

 *подпись/ signature Ф.И.О./ Full name*

М.П./ L.S.

**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./ Full 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.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*должность руководителя юридического лица/ подпись/ signature Ф.И.О./ Full name*

*position of the head of the legal entity*

Главный бухгалтер/ Chief Accountant \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

 *подпись/ signature Ф.И.О./ Full name*

 М.П./ L.S.

**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 |  |
| Cчет депо доверительного управляющего/ Trustee securities account |  |
| Cчета 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./ Full 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* |
|  |  |  |
|  |  |  |
|  |  |  |

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 No.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

Депонент/ Depositor:

|  |  |
| --- | --- |
|  |  |
|  |  |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*должность руководителя юридического лица/**position of the head of the legal entity*  | \_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/*подпись/ signature Ф.И.О./ Full name* |
| Главный бухгалтер/ Chief Accountant | \_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/*подпись/ signature*  *Ф.И.О./Full name* |
|  |  |
|  М.П./ L.S. |  |

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:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*Position of the Depository employee 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\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*Position of the Depository employee 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 No.**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

|  |
| --- |
| Инициатор операции/ Originator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Тип поручения: административный/ Order type: administrativeНаименование 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./ Full name*

М.П./ L.S.

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: | ХХХХ ( 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./ Full name*

М.П./ L.S.

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/ subaccount: |  |  |  |
| 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: | ХХХХ (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./ Full name*

М.П./ L.S.

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.**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |

 **раздел счета депо №/ securities subaccount No.**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

 **корреспондирующий счет депо №/ correspondent securities account No.**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |

 **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: ХХХХХХХ (прописью) шт./ Number of securities in the transaction: ХХХХХХХ (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./ Full name*

М.П./ L.S.

|  |
| --- |
| **Залогодержатель/ Pledge holder** [[4]](#footnote-4)**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_****Подпись/ Signature**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/ *должность/ position подпись/ signature Ф.И.О./ Full name*М.П./ L.S. |

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.**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |

 **раздел счета депо №/ securities subaccount No.**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 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: ХХХХХХХ (прописью) шт./ Number of securities in the transaction: ХХХХХХХ (in words) pcs.Основание совершения операции/ Basis for transaction: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |
| --- |
| Дополнительная информация/ Additional information: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

 |
|  |

Депонент/ Depositor:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

 *должность/ position подпись/ signature Ф.И.О./ Full name*

М.П./ L.S.

Annex 22

to the ‘Terms and Conditions of Depository Activities of
Bank ICBC (JSC)’

**Depository order**

**for receipt of certificated securities for 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 signature Full name*

Chief Accountant \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

 *signature Full name*

 L.S.

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 signature Full name*

Chief Accountant \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

 *signature Full name*

 L.S.

Securities accepted by:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*position of the authorized representative*  *signature Full name*

\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 20\_\_\_

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.**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |

 **раздел счета депо №/ securities subaccount No.**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

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/ signature Ф.И.О./ Full name*

М.П./ L.S.

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 No.**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |
| Инициатор операции/ Originator:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Тип поручения: информационный/ Order type: informationНаименование Депонента/ Depositor name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

Прошу предоставить (нужное отметить Х или V)/ Please provide (check as appropriate with Х or V):

Выписку по счету депо по состоянию на дату/ Statement of securities account as of

 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*дата*/ *date*

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./ Full name*

 М.П./ L.S.

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 [[5]](#footnote-5) 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 |
|  |  |  |  |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*Position of the Depository employee signature Full name*

 L.S.

Date and time of report \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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 [[6]](#footnote-6))

The securities account number, the name of the securities account \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Depositor \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Type of securities account\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Subaccount \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| № in order | Security category | Issuer | Edition | Securities state registration number (ISIN) | Face value | Number |
|  |  |  |  |  |  |  |

Total for subaccount \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Total for account \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*Position of the Depository employee signature Full name*

 L.S.

Date and time of report \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

|  |  |
| --- | --- |
|  |  |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*Position of the Depository employee signature Full name*

L.S.

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 |  |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*Position of the Depository employee 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** **[[7]](#footnote-7)****(not subject to VAT)** |
| 1. | Administrative operations |
| 1.1. | Opening the securities account: | 300 rublesTo be charged per operation |
| 1.2. | Opening the securities subaccount on behalf of the Depositor | 150 rublesTo 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 rublesCharged 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 rublesCharged 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 rublesCharged on a monthly basis in % per annum of the average value of the securities holding. |
| **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 rublesFee 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 rublesCharged 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 rublesTo 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 rublesTo 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 rublesTo be charged per operation |
| **No.** | **Services** | **Tariff****(not subject to VAT)** |
| 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 rublesTo 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 rublesTo 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 rublesTo 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 rublesTo be charged per operation |
| 4. | Registration of encumbrance of securities with obligations |
| 4.1. | Registration of encumbrance of securities with obligations | 300 rublesTo be charged per operation |
| 4.2. | Register of termination of encumbrance of securities with obligations | 300 rublesTo be charged per operation |
| 5. | Information operations[[8]](#footnote-8) |
| **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[[9]](#footnote-9)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 rublesTo be charged per operation |
| 5.3. | Issuance at the Depositor’s request of copies of the documents, including scanned copies  | 30 rublesTo 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 rublesCharged 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 rublesCharged 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 rublesCharged 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 rublesCharged per application (set of attached documents) for each package of securities at the place of storage |
| 7. | Order cancellation |
| **No.** | **Services** | **Tariff****(not subject to VAT)** |
| 7.1. | Depositor’s order cancellation | 300 rublesTo 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 +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:

, where  is the appraised value of the securities n in ruble or currency equivalent as of the end of the corresponding (ith) calendar day of the billing period;

 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:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

 *должность/ position подпись/ signature Ф.И.О./ Full name*

 М.П./ L.S.

|  |
| --- |
|  |

КОНТРОЛЬ ИСПОЛНЕНИЯ/ EXECUTION CONTROL

Резолюция по обращению/ Resolution on the application:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Уполномоченное лицо, рассмотревшее обращение/ Application reviewed by:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/**

 *должность/ position подпись/ signature Ф.И.О./ Full name*

Annex 32

to the ‘Terms and Conditions of Depository Activities of Bank ICBC (JSC)’

**Refusal of the Depository**

in the conclusion of a depository agreement / in the acceptance for execution or execution

of a Depository Order / in the acceptance of the securities issue for service

date \_\_\_\_\_\_\_\_\_

|  |  |
| --- | --- |
| Content of the Depositary's refusal |  |
| Grounds for refusal |  |
| The procedure for eliminating the reasons that caused the refusal |  |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

*position of the Depository employee* *signature Full name*

1. the space shall be filled in by an individual registered as an individual entrepreneur [↑](#footnote-ref-1)
2. 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 [↑](#footnote-ref-2)
3. Графа заполняется в случае наличия налоговых льгот/ To be filled in the event of tax benefits [↑](#footnote-ref-3)
4. 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 [↑](#footnote-ref-4)
5. To be filled in if the report is provided on the basis of depository orders to perform an information operation [↑](#footnote-ref-5)
6. This account statement is not a security, and confirms the existence of securities at the beginning of the operational day of the above date [↑](#footnote-ref-6)
7. 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 (5th) business day of the month following the settlement month, or on the closing date of the securities account of the depositor [↑](#footnote-ref-7)
8. The commissions specified in Section 5 shall be charged also for reports (statements) provided to the customer on the securities account closed. [↑](#footnote-ref-8)
9. 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 [↑](#footnote-ref-9)