

APPROVED
by Order
of International Trading System Limited
No.172/2 of "20" June, 2024

**REGULATIONS №2 ON INFORMATION EXCHANGE FOR IMPLEMENTATION OF
THE US FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) AND OTHER
LEGISLATION IN THE FIELD OF TAXATION OF INCOME FROM SECURITIES OF
FOREIGN ISSUERS
OF INTERNATIONAL TRADING SYSTEM LIMITED**

Article 1. General Provisions

1.1. The Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited (the "Regulations on Information Exchange"), has been developed in accordance with the Clearing Rules of International Trading System Limited (the "Clearing Rules"), the Regulations on Clearing Activities of International Trading System Limited (the "Clearing Activities"), the Provision on Compliance of the Private Company International Trading System Limited with the Qualified Intermediary Agreement with an additional function of a Qualified Derivative Dealer (the "QI/QDD Agreement").

1.2. The Regulations on Information Exchange determines the procedure for interaction between the Clearing Members and International Trading System Limited (the "ITS") when the Clearing Members submit documents for implementation of the requirements of the US Law and other legislative acts in the of taxation of Income on Securities of Foreign Issuers, and information during the period of payment of the Income on Securities of Foreign Issuers.

1.3. The Clearing Member submits the documents specified in the Regulations on Information Exchange to ITS personally or may entrust their provision to the Depository. In case of assignment of documents to the Depository, the Clearing Member sends to ITS via the Electronic Document Management System a Notification of Designation of Authorised Depository in the form set out in Annex 4 hereto.

1.4. ITS is entitled to unilaterally amend the Regulations on Information Exchange. Disclosure of information on amendments to the Regulations on Information Exchange, including the adoption of a new version of the Regulations on Information Exchange, is made by posting the said amendments or a new version on ITS Website. The Regulations on Information Exchange and any amendments thereto come into force on a date to be determined by ITS.

1.5. The terms and definitions used in this Regulations on Information Exchange are applied as set out in the Clearing Rules and the QI/QDD Agreement.

1.6. For the purposes of these Regulations, ITS and the Clearing Member use the following methods of documents exchange:

- postal (courier) service – for physical medium documents;
- Electronic Document Management System – for electronic documents.

When exchanging documents electronically, the Clearing Member and ITS use the following Electronic Document Management System addresses:

- The Clearing Member sends messages of the FATCA_QUESTIONNAIRE type as well as the 1042 Tax Return Form, and the Notification of Designation of Authorised Depository from the address such as <FIRM>@FATCA to the address such as ITSCP@FATCA;
- The Clearing Member sends messages of FATCA_ASSET type, the Application Form for Automatic Tax Disclosure and the Application for the possibility to send a notification of the need to provide Tax Disclosure/Clarifying Tax Disclosure on all corporate events from the address such as <FIRM>@FATCA to the address ITSCP@FATCA_ASSET;
- ITS sends messages of FATCA_QUESTIONNAIRE type from ITSCP@FATCA to the address of the Clearing Member of <FIRM>@FATCA type;
- ITS sends messages of FATCA_ASSET type from ITSCP@FATCA_ASSET to the <FIRM>@FATCA address of the Clearing Member;

ITS may send a GENERIC_ERROR message in response to an incorrectly formatted message from

the address to which the message was sent to the sender of the message

Article 2. Procedure for Filling in and Submitting Identification Forms, Simplified Identification Forms and Register by Clearing Members to ITS

2.1. Identification Forms and Register.

2.1.1. Identification forms and the Register are provided by the Clearing Members who and/or whose Clients carry out transactions in Securities of US Issuers and claim tax exemption for Income paid to the Beneficiaries on Securities of US Issuers;

2.1.2. If Clearing Members who are and/or whose Clients carry out transactions in Securities of US Issuers submit Identification Forms and Register to ITS, the Simplified Identification Form is not required.

2.1.3. Identification forms must be completed in full accordance with the instructions on the IRS website and signed:

- for the Identification Forms of the Beneficiary-INDIVIDUAL – by Beneficiary;
- for the Identification Forms of the Beneficiary-Legal Entity and the Identification Forms of the Intermediary – by its authorised representative.

Identification Forms of the Beneficiary-Legal Entity and Identification Forms of the Intermediary must be sealed (if any).

Identification Forms must be filled out in hard copy and must not contain corrections or blots.

The requirements specified in this subclause for the signature of Identification Forms by the Beneficiary-Individual are not binding in respect of Document Signed Digitally containing the following mandatory attributes: 1) SMS code which is used to generate the Digital Signature; 2) full name of the signatory; 3) date of signature; 4) signature time; 5) telephone number of the signatory; 6) id number of the package which the Beneficiary/Intermediary submits upon identification (the above attribute is not mandatory but its availability is advisable). In this case, the Identification Form of the Beneficiary-Individual should be formed under the identification process performed based on the agreement concluded between the said Beneficiary and the Clearing Member. Identification Forms of the Beneficiary-Individual in the form of the Electronic Document based on the results of identification carried out in the personal presence of the Beneficiary-Individual should be allowed if the Clearing Member complies with the following conditions 1) the system used by the Clearing Member which generates the Digital Signature, should provide reasonable guarantees that the identification is passed and the Identification Form of the Beneficiary-Individual is signed by the Beneficiary; 2) the Clearing Member has the rules regulating the procedure for application of the Digital Signature, which should be adhered to by the Beneficiary in respect of which the Beneficiary-Individual Identification Form is sent to ITS, upon formation of the personal account, and the Consent to personal data processing should be provided by the Beneficiary to the Clearing Member; 3) the Digital Signature should show that it has been generated through the system (personal account) used by the Clearing Member and the signature should contain all the mandatory attributes indicated in this paragraph. The identification of the Beneficiary-Individual by third parties is not allowed, except for the Clearing Member whose Client is the said Beneficiary-Individual.

2.1.4. The Register should contain details of the Beneficiaries that are identical to those of the Beneficiaries set out in the relevant Identification Forms. The Register is presented in Annex 2 hereto.

2.1.5. Clearing Members must provide ITS with updated Identification Forms and the Register. Updated Identification Forms and Register will be provided within the term determined by US Tax Law, or as changes occur in the Intermediary's Identification Forms and/or the Beneficiary Identification Forms. Identification Forms updated due to the occurrence of changes in the

Identification Forms are submitted to ITS no later than thirty (30) days from the occurrence of changes in the Identification Forms.

2.1.6. Identification Forms and the Register should be submitted to ITS electronically via the Electronic Document Management System.

2.2. Simplified Identification Forms.

2.2.1. Simplified Identification Forms should be provided by:

– Clearing Members and/or Clients who carry out transactions in Securities of US Issuers and do not claim tax relief on Income payable to Beneficiaries on Securities of US Issuers;

See Simplified Identification Form in Annex 2 hereto.

2.2.2. Clearing Members must provide ITS with updated Simplified Identification Forms. Updated Simplified Identification Forms are provided as and when changes to the details of the Beneficiary and/or Intermediary occur.

2.2.3. Simplified Identification Forms are submitted to ITS electronically via the Electronic Document Management System.

Article 3. Procedure for Processing Application Forms, Identification Forms, Simplified Identification Forms and Register by ITS¹

3.1. During the period specified in Annex 1 to the Regulations on Information Exchange, ITS accepts and sends to the Higher Depository Application Forms, Identification Forms, Simplified Identification Forms and the Register submitted by the Clearing Member.

3.2. Upon receipt of the information from the Higher Depository, ITS, within the term determined in Annex 1 hereto, should send a notification to the Clearing Member via the Electronic Document Management System in the form set out in Annex 2 hereto (message type – FATCA_QUESTIONNAIRE, sub-type – NOTIFICATION):

– on the correctness of the Clearing Member's completion of the Identification and Register Forms and/or the Simplified Identification Forms;

– on the errors or irregularities in the completion of the Identification and Register Forms and/or Simplified Identification Forms, or in the event the information contained in the Identification and Register Forms and/or Simplified Identification Forms needs to be clarified.

Article 4². Procedure for Providing Clearing Members to ITS and Processing Information by ITS During the Period of Payment of Income on Securities of Foreign Issuers, as well as if the Tax Rate on the Income on Securities of Foreign Issuers Needs to be Revised³

4.1. Within the term determined in Annex 1 hereto, ITS sends to the Clearing Members a notification of the need to submit a Tax Disclosure/Clarifying Tax Disclosure for further submission to the Higher Depository. Notification of the necessity to provide Tax Disclosure/Clarifying Tax Disclosure is sent to the Clearing Members via the Electronic Document Management System in the form set out in Annex 3 hereto (message type – FATCA_ASSET, sub-type – ASSET_REQUEST).

¹ Actions referred to in this article should not apply to documents submitted in connection with the receipt of the Dividend Equivalent Income

² The information referred to in clauses 4.8 and 4.9 is forwarded only in respect of Securities of US issuers

³ Tax Disclosures/Clarifying Tax Disclosures provided in connection with the receipt of Dividend Equivalent Income are not sent by ITS to the Higher Depository

Notification of the need for a Tax Disclosure/Clarifying Tax Disclosure may be given:

- 1) in respect of Securities of Foreign Issuers registered in the Trading account opened by the Clearing Member (the Depository); or
- 2) in respect of all Securities of Foreign Issuers included in the List of Securities and List of Obligations. In the second case, the Clearing Member must, within the term determined in Annex 1 hereto, send to ITS via the Electronic Document Management System the Application Form on the possibility to send a notification on the necessity to provide Tax Disclosure/Clarifying Tax Disclosure on all corporate events in the form set out in Annex 5 hereto.

4.2. The Tax Disclosure/Clarifying Tax Disclosure should be submitted by the Clearing Member within the term determined in Annex 1 hereto via the Electronic Document Management System in the form set out in Annex 3 hereto (message type – FATCA_ASSET, sub-type – ASSET_REPORT). The tax disclosure is considered to have been provided without an ASSET_REPORT message being sent by the Clearing Member via the Electronic Document Management System if at least one of the following conditions is met:

- on securities registered in the Trading account of the owner of the Clearing Member (Depository);
- if the Trading account opened by the Clearing Member (the Depository) contains securities of only one client of the Clearing Member. In the case referred to in this paragraph, the Clearing Member (the Depository) must, within the term determined in Annex 1 hereto, send to ITS via the Electronic Document Management System an Application Form for Automatic Tax Disclosure in the form set out in Annex 6 hereto. If the list of clients whose Securities of Foreign Issuers are registered in the Trading account of a Nominee or a Trust Manager opened by the Clearing Member (the Depository) changes, the Clearing Member (the Depository) must notify ITS thereof by sending a free-form application form via the Electronic Document Management System.

4.3. ITS checks the Tax Disclosure/Clarifying Tax Disclosure received from the Clearing Member against the data of ITS to ensure that the total number of Securities of each Foreign Issuer registered in the Trading account corresponds to the number indicated in the Tax Disclosure/Clarifying Tax Disclosure.

4.4. If the Clearing Member submits a correctly filled in Tax Disclosure/Clarifying Tax Disclosure, ITS should, within the term determined in Annex 1 hereto, send to the Clearing Member via the Electronic Document Management System the relevant notification in the form set out in Annex 3 hereto (message type – FATCA_ASSET, sub-type – REPLY) and the Tax Disclosure/Clarifying Tax Disclosure to the Higher Depository.

4.5. If the Clearing Member submits incorrectly filled in the Tax Disclosure/Clarifying Tax Disclosure, ITS should send to the Clearing Member via the Electronic Document Management System within the term determined in Annex 1 to the Clearing Rules the relevant notification on the need to make corrections in the Tax Disclosure in the form set out in Annex 3 hereto (FATCA_ASSET message type, sub-type – REPLY).

4.6. After making corrections in the Tax Disclosure/Clarifying Tax Disclosure, the Clearing Member sends to ITS the Tax Disclosure/Clarifying Tax Disclosure in the form set out in Annex 3 hereto (FATCA_ASSET message type, sub-type – ASSET_REPORT).

4.7. Within the term determined in Annex 1 hereto, ITS sends to the Clearing Members via the Electronic Document Management System a notification on the applied tax rates in the form set out in Annex 3 hereto (FATCA_ASSET message type, sub-type – ASSET_NOTIFICATION).

4.8. Upon payment of the Income on Securities of Foreign Issuers within the term determined in

Annex 1 hereto, ITS sends to the Clearing Member a notification on the need to provide Information on the Amounts of the paid Income for further transfer to the Higher Depository. The notification is sent via the Electronic Document Management System in the form set out in Annex 3 hereto (FATCA_ASSET message type, subtype – PAYMENT_REQUEST).

4.9. The Clearing Member provides ITS with Information on the Amounts of Income paid within the term determined in Annex 1 hereto. Information on the Amounts of the Income paid is sent by the Clearing Member to ITS via the Electronic Document Management System in the form set out in Annex 3 hereto (FATCA_ASSET message type, sub-type - PAYMENT_REPORT).

Article 5. Procedure for the Clearing Members to Submit a Tax Return to ITS

5.1. Clearing Members claiming tax relief on Dividend Income and/or Dividend Equivalent Income payable to Beneficiaries on income in Securities of US Issuers who are not Qualified Intermediaries and/or Qualified Derivatives Dealers must submit to ITS in respect of their Clients who are Qualified Intermediaries and/or Qualified Derivatives Dealers a 1042 Tax Return Form.

5.2. The 1042 Tax Return Form must also be submitted to ITS by the Clearing Members claiming tax exemption for Dividend Income and/or Dividend Equivalent Income payable to the Beneficiaries on income in Securities of US Issuers, who are Qualified Intermediaries and/or Qualified Dealers in derivatives, in respect of Clients that are Qualified Intermediaries and/or Qualified Derivatives Dealers, provided that the clients of such Clearing Members are not Qualified Intermediaries and/or Qualified Derivatives Dealers.

5.3. The documents referred to in this article are submitted to ITS electronically through the Electronic Document Management System within the term determined in Annex 1 hereto.

Article 6. Procedure for Submission of Documents by the Clearing Members to ITS to Implement the Standard on Automatic Exchange of Information on Financial Accounts

6.1. The Clearing Member should at least once a year to submit to ITS the Tax Residency Status Confirmation Form (for legal entities, including a foreign company without incorporation) signed and sealed (if any) by the Clearing Member's authorised representative.

6.2. The document specified in clause 5.1 of these Regulations on Information Exchange are submitted to ITS: a) electronically via the Electronic Document Management System; b) as an original hard copy.

to the Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

Regulations on Information Exchange between the Clearing Member and ITS for the purpose of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the area of taxation of Income from Securities of Foreign Issuers⁴

No.	Transaction Type ⁵	Responsible Person	Transaction Term
1.	Submission of Application Forms, Form of Identification of the Beneficiary-Legal Entity, Intermediary Identification Form, the Simplified Identification Form(s) completed in respect of the Applicant, for registration as a Clearing Member and conclusion of the Clearing Service Agreement	Clearing Member/Depository	Along with the documents for registration as a Clearing Member and conclusion of a Clearing Service Agreement
2.	Submission of: – Simplified Identification Forms completed in respect of the Clearing Member's Client and/or – Intermediary Identification Forms completed in respect of the Clearing Member's Client; – Forms of Identification of the Beneficiary of Income-Legal Entity/Form of Identification of the Beneficiary of Income-Individual completed in respect of the Clearing Member's Client; – Register.	Clearing Member/Depository	Simultaneously with the application form for registration of the Clearing Member's Client
3.	Sending of Application Forms, Identification and Register Forms, Simplified Identification Forms to the Higher Depository	ITS	Within 1 business day of receipt from the Clearing Member

⁴ Actions referred to in the line 3 should not apply to documents submitted in connection with the receipt of the Dividend Equivalent Income

⁵ The information specified in lines 11, 12, 14 is sent only in relation to Clearing Members, Clearing Members' Clients engaged in carrying out transactions in Securities of US Issuers

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

4.	Sending to the Clearing Member a notification (FATCA_QUESTIONNAIRE – message type, sub-type – NOTIFICATION) in the form set out in Annex 2 hereto on the results of verification of the Identification Forms, Simplified Identification Forms and the Register by the Higher Depository (SC)	ITS	Within 1 business day of receipt of response from the Higher Depository (in respect of documents submitted in connection with receipt of Dividend Income)/Within 1 business day of verification of ITS documents (in respect of documents submitted in connection with receipt of Dividend Equivalents)
5.	Sending to ITS an Application Form of opportunity to give notification of required Tax Disclosure/Clarifying Tax Disclosure for all corporate events	Clearing Member/Depository	As necessary
6.	Sending to ITS an Application Form for Automatic Tax Disclosure	Clearing Member/Depository	On the business day preceding the day on which the Trading account of the Nominee or the Trust Manager will record Securities of Foreign Issuers belonging to the same client or will cease to record Securities of Foreign Issuers belonging to the same client
7.	Sending to the Clearing Members a notification of the need to provide Tax Disclosure/Clarifying Tax Disclosure (message sub-type – ASSET_REQUEST) in the form set out in Annex 3 to the Regulations on Information Exchange	ITS	No later than the business day following the Record Date (for Tax Disclosures)/within 1 month of receipt by ITS of the TREC corporate action "Tax Refund" (for Clarifying Tax Disclosures)
8.	Sending a Tax Disclosure/Clarifying Tax Disclosure (sub-type of message – ASSET REPORT) in the form set out in Annex 3 to the Regulations on Information Exchange	Clearing Member/Depository	Within the term specified in the notification to ITS of the need to provide a Tax Disclosure/Clarifying Tax Disclosure
9.	Sending to the Clearing Member a notification of acceptance of a correctly completed Tax Disclosure/Clarifying Tax Disclosure or of the need to make corrections to the Tax Disclosure (message subtype – REPLY) in the form set out in Annex 3 to the Regulations on Information Exchange	ITS	Within 1 business day of receipt of the Tax Disclosure/Clarifying Tax Disclosure
10.	Sending to the Clearing Member a notification of applied tax rates (message type – ASSET_NOTIFICATION) in the form set out in Annex 3 to the Regulations on Information Exchange	ITS	Within 1 business day after the date of payment of Income by the issuer
11.	Sending to the Clearing Member a notification of the necessity to provide Information on the Amounts of Income paid (message subtype – PAYMENT_REQUEST) in the form set	ITS	No later than thirty (30) days after the date of disclosure by the issuer of information on the fact of performance (in whole or in part) of its obligations to pay the Income

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	out in Annex 3 to the Regulations on Information Exchange		
12.	Information on the amounts of Income paid (message sub-type – PAYMENT_REPORT) in the form set out in Annex 3 to the Regulations on Information Exchange	Clearing Member/Depository	Within the term specified in the notification to ITS of the need to provide Information on the Amounts of Income paid
13.	1042 Tax Return	Clearing Member/Depository	Within a calendar month of filing a 1042 Tax Return with the US Internal Revenue Service
14.	Confirmation of tax resident status (for a legal entity, including a foreign organization without forming a legal entity)	Clearing Member/Depository	At least once a year

to the Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

Simplified Identification FORM/Register

FATCA_QUESTIONNAIRE type message form (sub-types APPLICATION, REPLY, NOTIFICATION *)

Element name	Child element	Attribute name	Description	M/O	Rev	Type
RTS_DOC			Root element of the XML document	M	1	
DOC_REQUISITES			Document Information Section	M	1	
		DOC_DATE	File date	M	1	Date
		DOC_TIME	File time	M	1	Time
		DOC_NO	Unique document tracking number in the EDM System	M	1	String(1-32)
		DOC_TYPE_ID	Document Type Identifier Always FATCA_QUESTIONNAIRE	M	1	String(1-32)
		SENDER_ID	Sender ID	M	1	String(1-16)
		SENDER_NAME	Short name of the sender	O	1	WString(1-120)
		RECEIVER_ID	Receiver ID	M	1	String(1-16)
		REMARKS	Remarks to the file	O	1	WString(1-120)
/DOC_REQUISITES				M		
FATCA_QUESTIONNAIRE					1	
DOC_INFO			Additional information on the Document		1	
ERROR			Document level error information	O	3	
		ErrorLevel	Error level	O	3	<ul style="list-style-type: none"> • INFO • WARN

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						• ERROR
		ErrorCode	Error or Warning ID	O	3	
		ErrorDescription	Human-readable error description	O	3	

/ERROR						
		DOC_SUBTYPE	<p>Message subtype</p> <ul style="list-style-type: none"> • APPLICATION – original client identification application form sent by the member • REPLY – receipt of application form sent by ITS • NOTIFICATION – notification of the application form status sent by ITS 	M	1	enum String(1-32) <ul style="list-style-type: none"> ○ APPLICATION ○ REPLY ○ NOTIFICATION
		DOC_REFERENCE	<p>Reference number to the number of the primary application form message, indicated in the REPLY type of response</p> <ul style="list-style-type: none"> • number of the EDM message in the DOC_NO attribute of the original message 	O	1	String(1-32)
		REC_COUNT	<p>Number of application forms in the message (checksum)</p> <p>ATTENTION! The number</p>	M	1	Integer

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			of application forms per message must not exceed that set by ITS. From 30.11.2020 there is a limit of 500 entries. Messages exceeding the number of application forms will be Completely rejected			
/DOC_INFO						
APPLICATION			<ul style="list-style-type: none"> • A separate application form is sent for each identifiable client • It is not allowed to transmit two application forms regarding the same client in one message • The application form must contain at least one of the two identification numbers (number in the Clearing Members and ITS records) • If the details of a previously registered client are changed, the previously assigned application form number in ITS records is indicated 	M	1	
		ApplicationNo	Unique application form number in the broker's records	O	1	String(1-32)
		InternalApplicationNo	Unique number of the client	O	1	String(1-32)

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			in ITS records			
		ApplicationType	Type of application form in relation to the client <ul style="list-style-type: none"> • ADD – primary identification of the client • UPDATE – changing client data, including transferring an updated application or changing the identification type • DELETE – deleting the client; no notification on the application expire will be received for the deleted client 			enum String(1-32) <ul style="list-style-type: none"> ○ ADD ○ UPDATE ○ DELETE
CLIENT			Client data in the Member's records	M	1	
		BrokerCode	Identifier of the trading member whose client is the said client. May match the SENDER ID attribute	M	1	String(1-32)
		ClientRegistrationCode	Client Registration Code assigned by ITS when registering the Client	O	2	String(1-125)
		ExtIdentificationCode	Unified Client identification code of the client in the Member's records	O	2	String(1-125)
		TaxRate	Tax rate, in accordance with the details of the application of intermediaries and the end client <ul style="list-style-type: none"> • 10 	O	1	enum <ul style="list-style-type: none"> • 10 • 15

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			<ul style="list-style-type: none"> • 15 • 20 • 25 • 30 – for simplified identification only this type is allowed 			<ul style="list-style-type: none"> • 20 • 25 • 30
		ClientType	<p>Client type</p> <ul style="list-style-type: none"> • LegalEntity – a legal entity, including Depository • PersonEntity – an individual • Intermediary - an Intermediary-legal entity 	M	1	<p>enum</p> <ul style="list-style-type: none"> • LegalEntity • PersonEntity • Intermediary
CLIENT_ACCOUNT			<p>Full list of trade codes for this client</p> <p>Each trade code has its own ClientCode child element</p> <p>Adding trade codes by adding a new code to the list of existing codes</p> <p>Removal of trade codes by removing the code from the list of existing codes</p> <p>ITS can independently identify and link new registered trade codes in addition to the existing ones</p> <p>It is not allowed to specify an incomplete list of client's trading codes (excluding deleted trading codes)</p>	O		
	ClientCode		Short code of the client	M	1	String(1-32)

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			indicated in the client registration application form in ITS (CLIENTS or CLIENT ONLINE message)			
/CLIENT_ACCOUNT						
INTERMEDIARY			<ul style="list-style-type: none"> • Intermediaries details (if any) • All intermediaries in the chain are indicated • For each intermediary, an INTERMEDIARY element is issued, indicating the level in the chain • The clients of the first and second level are identified separately, even if they are the same person 	O	2	IntermediaryType element type
	IntermediaryLevel					IntermediaryLevelType element type
		Level	Level in the chain of intermediaries, from 1 (Member's direct client) to N (last intermediary in the chain)	M	2	Integer
		LastIntermediary	Indication of the last intermediary in the chain <ul style="list-style-type: none"> • Y is the last in the chain of intermediaries • N is a sub-brokerage client before the end 	M	2	Y_N Type

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			Beneficiary			
	/IntermediaryLevel				2	
	IntermediaryIdentification		Specified in relation to a previously registered intermediary client		2	
		IntermediaryApplicationNo	Unique number of the intermediary client's application form in the broker's records	O	2	String(1-32)
		IntermediaryInternalApplicationNo	Unique number of the intermediary client in ITS records	O	2	String(1-32)
	/IntermediaryIdentification					
/INTERMEDIARY						
PERSON			Details of the end Beneficiary-Individual Specified for ClientType = "PersonEntity" Not indicated in messages sent by ITS	O	1	PersonType type element
	PersonNameRu		Full name of the client-individual in Russian	O	2	PersonNameType type element
		FirstName	Name	M	2	WString(1-120)
		SecondName	Surname	M	2	WString(1-120)
		PatronymicName	Patronymic (if any)	O	2	WString(1-120)
		ExtraName	Additional name (if any)	O	2	WString(1-120)
	/PersonNameRu					
	/PersonNameEn		Full name of the client-individual in English, separated by a space	O	2	PersonNameType type element
		FirstName	Name	M	2	WString(1-120)

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		SecondName	Surname	M	2	WString(1-120)
		PatronymicName	Patronymic (if any)	O	2	WString(1-120)
		ExtraName	Additional name (if any)	O	2	WString(1-120)
	PersonalDocument		Details of the main identification document of the client-individual	O	2	Document element type
		DocumentType	Document type • Passport (ID) • Birth certificate • Other document	M	2	WString(1-120)
		DocumentNumber	Document number. If the document type is Russian passport, passport number format XX YY ZZZZZZZZZZ	M	2	String(12)
	/PersonalDocument					
	PersonData		May not be indicated when data is updated and when a client is deleted	O		
		PersonTaxNumber	Taxpayer Identification Number (TIN) of the client-individual	M	1	String(1-32)
		PersonTaxCountry	Country of tax residence of an client-individual (digital code in accordance with ISO 3166-1 Alpha 2 of the International Organization for Standardization)	M	1	String(3)
		NotificationViaBroker	Indicates that the client agrees to receive the 1042c notification via the broker • Y – the client wants to	O	2	Y_N type

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			receive notification via the broker <ul style="list-style-type: none"> N – the client wants to receive notification by mail If the client enters N in this box, ITS will refuse to register such an application form			
		DateOfBirth	Date of birth	M	2	Date
	/PersonData					
	PersonAddress		Residential address of the client-individual	O		AddressType element type
		Address	Street, number, flat	O	2	WString(1-120)
		AddressCity	City, Oblast, Postal Code	M	2	WString(1-120)
		AddressCountry	Country	M	2	String(3)
	/PersonAddress					
	MailAddress		The postal address of the client-individual is not indicated if SameMailAddress="Y"	O		AddressType element type
		SameAsAddress	Indicates that the postal address is the same as the residential address <ul style="list-style-type: none"> Y – the residential address is the same as the postal address N – the residential address is not the same as the postal address 	O	2	Y_N type
		Address	Postal address. Street, number, flat	O	2	WString(1-120)
		AddressCity	Postal address. City, Oblast,	O	2	WString(1-120)

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

			Postal Code			
		AddressCountry	Postal address. Country	O	2	String(3)
	/MailAddress					
SIMPLEJIDENTIFICATION			Indication of simplified identification without handing over the W8 application	O	2	
		IdentificationDate	Identification date	O	2	Date
/SIMPLEJIDENTIFICATION						
FILEINFO			<ul style="list-style-type: none"> • Details of the transmitted application file (if available) • Multiple files may be transmitted • Not indicated in messages sent by ITS 	O	1	
		QuestionnaireType	Always W8BEN	M	1	String(1-32)
		QuestionnaireFileName	Name of the application file transmitted in the application. Only the application in PDF format is acceptable	M	1	String(1-128)
		QuestionnaireExecutionDate	Date of signature of the application by the individual	M	3	Date
		QuestionnaireExpirationDate	Date the application expires	O	1	Date
		RecognitionReady	Indication of the application prepared for rapid OCR is false by default	O	3	Y_N_type
/FILEINFO						
/PERSON						
LEGAL			End client data-legal entity	O	1	LegalType element type

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

			(including Depository) Not included in messages sent by ITS			
	LegalData		May not be indicated when data is updated and when a client is deleted	O	2	LegalDataType element type
		LegalNameRu	Full name of the client-legal entity, in Russian <i>The FULL name of the client must be indicated.</i>	O	1	WString(1-512)
		LegalNameEn	Full name of the client-legal entity, in English <i>The FULL name of the client must be indicated.</i>	M	1	String(1-512)
			<ul style="list-style-type: none"> If GIIN number is available, the name must be the same as the name specified when assigning the GIIN If there is no GIIN number, then according to the statutory documents 			
		LegalTaxNumber	Taxpayer Identification Code of a client-legal entity	O	1	String(1-32)
		LegalTaxCountry	Country of tax residence of the client-legal entity (digital code in accordance with ISO 3166-1 Alpha 2 of the International Organization for Standardization)	M	1	String(3)
		GIIN	GIIN (if any)	O	1	String(1-32)

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

			If a member has several GIINs, they are separated by commas			
		NotificationViaBroker	Indicates that the client agrees to receive the 1042c notification via the broker <ul style="list-style-type: none"> • Y – the client wants to receive notification via the broker • N – the client wants to receive notification by mail If the client enters N in this box, ITS will refuse to register such an application form	O	2	Y_N type
	/LegalData					
	LegalAddress			O	2	AddressType element type
		Address	Street, number, flat	O	2	WString(1-120)
		AddressCity	City, Oblast, Postal Code	M	2	WString(1-120)
		AddressCountry	Country	M	2	String(3)
	/LegalAddress					
	MailAddress		The postal address of the client-individual is not indicated if SameMailAddress="Y"	O		AddressType element type
		SameAsAddress	Indicates that the postal address is the same as the residential address	O	2	Char
			<ul style="list-style-type: none"> • Y – the residential address is the same as the postal address • N – the residential 			

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

			address is not the same as the postal address			
		Address	Postal address. Street, number, flat	O	2	WString(1-120)
		AddressCity	Postal address. City, Oblast, Postal Code	O	2	WString(1-120)
		AddressCountry	Postal address. Country	O	2	String(3)
	/MailAddress					
	FATCAStatus		May not be indicated when data is updated and when a client is deleted	O	2	FATCAStatusType element type
		Chapter3Status	<ul style="list-style-type: none"> • Corporation • Disregarded entity • Partnership • Simple trust • Grantor trust • Complex trust • Estate • Government • Central Bank of Issue • Tax-exempt organisation • Private foundation • International organisation 	M	2	String(1-120)
		Chapter3StatusIMY	<ul style="list-style-type: none"> • QI • Nonqualified intermediary • Territory financial institution • U.S. branch • Withholding foreign partnership 	O	2	enum String(1-120)

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

			<ul style="list-style-type: none"> • Withholding foreign trust • Nonwithholding foreign partnership • Nonwithholding foreign simple trust • Nonwithholding foreign grantor 			
			Trust Field mandatory for intermediaries with identification by application			
		Chapter4Status	<ul style="list-style-type: none"> • Nonparticipating FFI • Participating FFI • Reporting Model 2 FFI • Reporting Model 2 FFI • Registered deemed-compliant FFI • Sponsored FFI • Certified deemed-compliant nonregistering local bank • Certified deemed-compliant FFI with only low-value accounts • Certified deemed-compliant sponsored, closely held investment vehicle • Certified deemed-compliant limited life debt investment entity 	M	2	String(1-120)

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

			<ul style="list-style-type: none"> • Certain investment entities that do not maintain financial accounts • Owner-documented FFI • Restricted distributor • Nonreporting IGA FFI • Foreign government, government of a U.S. possession, or foreign central bank of issue • International organisation • Exempt retirement plans • Entity wholly owned by exempt beneficial owners • Territory financial institution • Excepted nonfinancial group entity • Excepted nonfinancial start-up company • Excepted nonfinancial entity in liquidation or bankruptcy • 501(c) organisation • Nonprofit organisation 			
			<ul style="list-style-type: none"> • Publicly traded NFFE or NFFE affiliate of a publicly traded corporation • Excepted territory NFFE • Active NFFE • Passive NFFE 			

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

			<ul style="list-style-type: none"> • Excepted inter-affiliate FFI • Direct reporting NFFE. • Sponsored direct reporting NFFE • Account that is not a financial account 			
		LimitationOfBenefit	<ul style="list-style-type: none"> • Government • Tax exempt pension trust or pension fund • Other tax exempt organisation • Publicly traded corporation • Subsidiary of a publicly traded corporation • Company that meets the ownership and base erosion test • Company that meets the derivative benefits test • Company with an item of income that meets active trade or business test • Favourable discretionary determination by the U.S. competent authority received • Other <p>Optional field for simplified identification</p>	O	2	String(1-120)
		LimitationOfBenefitOther	Another reason if	O	2	String(1-120)

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

			LimitationOfBenefit="Other"			
	/FATCAStatus					
SIMPLE_IDENTIFICATION			Indication of simplified identification without handing over the W8 application	O	2	
		IdentificationDate	Identification date	O	2	Date
/SIMPLEIDENTIFICATION						
FILEINFO			Details of the transmitted application file Not indicated in messages sent by ITS	O	1	
		QuestionnaireType	Always W-8BEN-E	M	1	String(1-32)
		QuestionnaireFileName	Name of the application file transmitted in the application	O	1	String(1-128)
		QuestionnaireExecutionDate	Date of signature of the application by the legal entity	M	3	Date
		QuestionnaireExpirationDate	Date the application expires	O	1	Date
		RecognitionReady	Indication of the application prepared for rapid OCR is false by default	O	3	Y_N_type
/FILEINFO						
/LEGAL						
/CLIENT						
RESULT			Indicated in messages sent by ITS	O	1	
		ApplicationStatus	Application form processing result code	M	1	String(1-32)
			• Indicated in REPLY			

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

			<ul style="list-style-type: none"> ○ RECEIVED – the application form has been accepted for processing ○ REJECTED – the application form rejected due to critical errors <ul style="list-style-type: none"> • Indicated in NOTIFICATION ○ WAITING – the application form awaits additional verification of the W8 application, no other errors identified ○ ACCEPTED – application form processed without errors ○ EXPIRING – the deadline for the application is approaching ○ VOID – application declared invalid due to expiry date or change of client details <ul style="list-style-type: none"> • DISCLAIM – application form accepted but contains errors, list of errors attached¹ 			
		Description	<ul style="list-style-type: none"> • Error description • Additional information about a previously submitted application form 	O	1	WString(1-512)
		ApprovedTaxRate	The tax rate assigned to the	O	1	enum String(1-32)

			client as a result of the application form <ul style="list-style-type: none"> • 10 • 15 • 20 • 25 • 30 • 30BAD 			<ul style="list-style-type: none"> • 10 • 15 • 20 • 25 • 30 • 30BAD
ERROR			List of identified errors, comments or other information	O	3	
		ErrorLevel	Error level	O	3	<ul style="list-style-type: none"> • INFO • WARN • ERROR
		ErrorCode	Error or warning id	O	3	
		ErrorDescription	Human-readable error description	O	3	
/ERROR						
/RESULT						
APPLICATION						
/FATCA_QUESTIONNAIRE						
/RTS_DOC						

¹ This status is indicated in the reply message of ITS to the Clearing Member when the Clearing Member's Client registration is suspended. To renew the registration of the Clearing Member's Client, the Clearing Member sends the Simplified Identification Form to ITS repeatedly. In case of successful re-identification, the Clearing Member receives a reply in the form set out in Annex 2 hereto with the "ACCEPTED" status

* Description of the message fields is contained in the XSD format charts available on ITS Website

Reasons for rejecting an Application Form

Operation	Reason	Notes
A, U, D	No identification number listed, client not found in the list of imported from the Trading System	
U, D	No client found by any of the specified identifiers	
A, U, D	Client found by one of the identifiers, but any other identifier does not match the data in the database	Except when the details are changed
A, U	The application form has an application form identifier for the intermediary, but no intermediary has been found	
A	No country of tax residence indicated	

to the Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

Tax Disclosure FORM

Form of FATCA_ASSET type messages; ASSET_REQUEST, ASSET REPORT, ASSET_NOTIFICATION, PAYMENT_REQUEST, PAYMENT_REPORT, REPLY subtypes*

One request is sent for one event on payment of Income on Securities of Foreign Issuers

Request format for the balance on the collection date (ASSET_REQUEST)

Element name	Attribute name	Description	M/O	Rev	Type
RTS_DOC		Root element of the XML document	M	1	
DOC_REQUISITES		Document Information Section	M	1	
	DOC_DATE	File date	M	1	Date
	DOC_TIME	File time	M	1	Time
	DOC_NO	Unique document tracking number in the EDM System	M	1	String(1-30)
	DOC_TYPE_ID	Document type ID – FATCA_ASSET	M	1	String(1-35)
	SENDER_ID	Sender ID	M	1	String(3-7)
	SENDER_NAME	Short name of the sender	O	1	WString(1-200)
	RECEIVER_ID	Receiver ID	M	1	String(3-7)
	REMARKS	Remarks to the file	O	1	WString(1-200)
/DOC_REQUISITES			M		
FATCA_ASSET				1	
DOC_INFO		Additional information on the document		1	
	DOC_SUBTYPE	Message subtype • ASSET_REQUEST – request for balance on the collection date	M	1	String enum
	DOC_REFERENCE	Always ORIGIN	M	1	String(1-30)
	REQUEST_NO	Unique request identifier, used to update the	O	1	unsignedLong

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

		information in the request			
	ACCOUNT_GROUP	Account group code for disclosure	O	3	String(1-20)
/DOC_INFO				1	
REPORT_DATE		Request or data on the securities on the register collection date	M	1	
	ReportDate	Register collection date	M	1	Date
	PaymentDate	Date of dividends payment	M	1	Date
	LastReportDate	Date after which reports will be rejected	O	1	Date
SECURITY		Security details	M	1	
	IssueISIN	Security ISIN	M	1	String(12)
	ClientPoolAllowed	Indication of pool disclosure authorisation	O	4	Y_N_type
	TaxRestriction	Indication that a preferential rate cannot be applied (REIT or European equivalent)	O	4	Y_N_type
TOTAL		Information on custody account totals	O	1	
ASSET		Data group of total assets in the accounts. Auto-disclosure account data is not transmitted	M	1	
	DepoAccount	Depository account or custody account.	M	1	WString(1-20)
	DepoSection	Account or custody account section	O	3	WString(1-20)
	ClearingAccount	Trading and Clearing Account (if applicable). Optional information field	O	2	String(1-12)
	Qty	Securities balance on account/custody account section	M	1	non-negative Numeric(26.8)
	DebtQty	Balance on which the income will be paid in arrears	O	3	non-negative Numeric(26.8)
	BrokerOwnAccount	Indication of the own brokerage account	O	3	Y_N_type
/ASSET				1	
/TOTAL				1	
/SECURITY				1	
/REPORT_DATE				1	
/FATCA_ASSET				1	
/RTS_DOC				1	

Balance report format on the collection date (ASSET_REPORT)

Element name	Attribute name	Description	M/O	Rev	Type
RTS_DOC		Root element of the XML document	M	1	
DOC_REQUISITES		Document Information Section	M	1	
	DOC_DATE	File date	M	1	Date
	DOC_TIME	File time	M	1	Time
	DOC_NO	Unique document tracking number in the EDM System	M	1	String(1-30)
	DOC_TYPE_ID	Document type ID – FATCA_ASSET	M	1	String(1-35)
	SENDER_ID	Sender ID	M	1	String(3-7)
	SENDER_NAME	Short name of the sender	O	1	WString(1-200)
	RECEIVER_ID	Receiver ID	M	1	String(3-7)
	REMARKS	Remarks to the file	O	1	WString(1-200)
/DOC_REQUISITES			M		
FATCA_ASSET				1	
DOC_INFO		Additional information on the document		1	
	DOC_SUBTYPE	Message subtype • ASSET_REPORT – member report with depository statement on the collection date	M	1	String enum
	DOC_REFERENCE	Reference number for request message number • DOC NO of the last received request ASSET_REQUEST	M	1	String(1-30)
	REQUEST_NO	Unique request identifier, used to update the information in the request	M	1.2	unsignedLong
	ACCOUNT_GROUP	Account group code for disclosure	O	3	String(1-20)
/DOC_INFO				1	
REPORT_DATE		Request or data on the securities on the register collection date	M	1	
	ReportDate	Register collection date	M	1	Date
	PaymentDate	Date of dividends payment	M	1	Date

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

	LastReportDate	Date after which reports will be rejected	O	1	Date
SECURITY		Security details	M	1	
	IssueISIN	Security ISIN	M	1	String(12)
CLIENT		Data about the client's balances. Element may be specified in the disclosure by the pools in relation to repurchases	M	1	
	BrokerCode	Code of the Trading Member for whom the client is registered	M	1	String(3-7)
	ClientCode	Client account code. At least one ClientCode and/or ExtIdentificationCode and/or ClientRegulatorCode element should be indicated	O	1	String(1-12)
	ExtIdentificationCode	Client ID in the Member's records. At least one ClientCode and/or ExtIdentificationCode and/or ClientRegulatorCode element should be indicated	O	1	WString(1-32)
	ClientRegulatorCode	Client ID assigned to the PTCS upon registration. At least one ClientCode and/or ExtIdentificationCode and/or ClientRegulatorCode element should be indicated	O	2	WString(1-512)
	TaxRate	Estimated tax rate according to the Member	O	1.1	enum <ul style="list-style-type: none"> • 0 • 5 • 10 • 15 • 20 • 25 • 26 • 30 • 37 • 30BAD

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

	TaxCountry	Country (digital code in accordance with ISO 3166-1 Alpha 2 of the International Organization for Standardization)	O	4	String(3)
	ClientType	Client type <ul style="list-style-type: none"> • ○ PersonEntity ○ LegalEntity 	O	6	enum
	Chapter3Status	Chapter 3 status for legal entities of the client	O	6	enum
	Chapter4Status	Chapter 4 status for legal entities of the client	O	6	enum
ASSET		Information on an asset in a client's account	M	1	
	DepoAccount	Depository account or custody account. The field is mandatory	M	7	WString(1-20)
	DepoSection	Account or custody account section	O	7	WString(1-20)
	ClearingAccount	Trading and Clearing Account Optional information field	O	2	String(1-31)
	Qty	The balance of the account/custody account section or the balance to which the dividend has accrued.	M	1	non-negative Numeric(26,8)
	DebtQty	Balance on which the income will be paid in arrears	O	3	non-negative Numeric(26,8)
REPO_POSITION		Information on repurchase (transactions) positions for this client's QDD		5	
	RepoQty	Position (transaction) volume in units of securities	M	5	Numeric(26,8)
	RepoDirection	Direction of the first part of the repurchase	M	5	<ul style="list-style-type: none"> • Buy • Sell
	ContraBrokerCode	Counterparty broker (Reporting party code for intra-brokerage transactions)	M	5	String(3-7)
	ContraClientCode	Counterparty's client trade code	O	5	String(1-12)
	ContraClientRegulatorCode	Counterparty's exchange client identification code	O	5	WString(1-512)
	ContraExtIdentificationCode	Counterparty's internal client identification	O	5	WString(1-32)

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

		code			
	DealReference	Reference to the transaction if the disclosure is post-disclosure	M	5	WString(1 -64)
	OtcDeal	Indication of an on-exchange/off-exchange repurchase position. On-exchange = on ITS	M	5	<ul style="list-style-type: none"> • Yes • No
/REPO_POSITION					
/ASSET				1	
/CLIENT				1	
CLIENT_POOL		Disclosure by client pools The element may be specified even if disclosure is made to clients. Disclosure by pools is prohibited if CNentPoolANowed="N" in the request	O	6	
	TaxRate	Client pool tax rate	M	6	enum <ul style="list-style-type: none"> • 0 • 5 • 10 • 15 • 20 • 25 • 26 • 30 • 37 • 30BAD
	TaxCountry	Country (digital code in accordance with ISO 3166-1 Alpha 2 of the International Organization for Standardization) of the client pool	O	6	String(3)
	ClientType	Client pool type <ul style="list-style-type: none"> • <ul style="list-style-type: none"> ○ PersonEntity ○ LegalEntity 	O	6	enum

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

	Chapter3Status	Chapter 3 status for legal entities from the client pool	O	6	enum
	Chapter4Status	Chapter 4 status for legal entities from the client pool	O	6	enum
ASSET		Information on client pool assets by sub-accounts. Repurchase data is not included in the pool	M	6	
	DepoAccount	Depository account or custody account. The field is mandatory	M	7	WString(1-20)
	DepoSection	Account or sub-account section	O	7	WString(1-20)
	ClearingAccount	Trading and Clearing Account Optional information field	O	6	String(1-31)
	Qty	Account/custody account section balance	M	6	Numeric(26,8)
	DebtQty	Balance on which the income will be paid in arrears	O	3	non-negative Numeric(26.8)
/ASSET				4	
/CLIENT_POOL				4	
TOTAL		Information on custody account totals	O	1	
ASSET		Aggregate assets in accounts (aggregated by client and by pool)	M	1	
	DepoAccount	Depository account or custody account.	M	1	WString(1-20)
	DepoSection	Account or custody account section	O	7	WString(1-20)
	ClearingAccount	Trading and Clearing Account Optional information field	O	2	String(1-12)
	Qty	Account/custody account section balance	M	1	non-negative Numeric(26.8)
	DebtQty	Balance on which the income will be paid in arrears	O	3	non-negative Numeric(26.8)
REPO_POSITION		Total net claims on repurchase transactions – for control purposes	O	5	
	RepoQty	Position volume in units of securities	M	5	Numeric(26,8)
	RepoDirection	Position direction	M	5	• Buy

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

					• Sell
	ContraBrokerCode	Item counterparty	M	5	String(3-7)
	OtcDeal	Indication of position on exchange/off-exchange trades	M	5	• Yes • No
/REPO_POSITION					
/ASSET				1	
/TOTAL				1	
/SECURITY				1	
/REPORT_DATE				1	
/FATCA_ASSET				1	
/RTS_DOC				1	

Request format for request for payments made on a corp. event (PAYMENT_REQUEST)

Element name	Attribute name	Description	M/O	Rev	Type
RTS_DOC		Root element of the XML document	M	1	
DOC_REQUISITES		Document Information Section	M	1	
	DOC_DATE	File date	M	1	Date
	DOC_TIME	File time	M	1	Time
	DOC_NO	Unique document tracking number in the EDM System	M	1	String(1-30)
	DOC_TYPE_ID	Document type ID – FATCA_ASSET	M	1	String(1-35)
	SENDER_ID	Sender ID	M	1	String(3-7)
	SENDER_NAME	Short name of the sender	O	1	WString(1-200)
	RECEIVER_ID	Receiver ID	M	1	String(3-7)
	REMARKS	Remarks to the file	O	1	WString(1-200)
/DOC_REQUISITES			M		
FATCA_ASSET				1	
DOC_INFO		Additional information on the document		1	
	DOC_SUBTYPE	Message subtype • PAYMENT_REQUEST – request for payments made on a corporate event	M	1	String enum

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

	DOC_REFERENCE	Reference number to the number of a previously transmitted notification message <ul style="list-style-type: none"> • DOC NO of the last sent ASSET NOTIFICATION report with the same TAX_REQUEST_NO • If the notification is not found in MP Message, then ORIGIN 	M	1	String(1-30)
	REQUEST_NO	Unique request identifier, used to update the information in the request	M	1.2	unsignedLong
	TAX_REQUEST_NO	Filled in only for PAYMENT_REQUEST. ID of a previously used tax disclosure request	M	3	unsignedLong
	ACCOUNT_GROUP	Account group code for disclosure	O	3	String(1-20)
/DOC_INFO				1	
REPORT_DATE		Request or data on the securities on the register collection date	M	1	
	ReportDate	Register collection date	M	1	Date
	PaymentDate	Date of dividends payment	M	1	Date
	LastReportDate	Date after which reports will be rejected	O	1	Date
SECURITY		Security details	M	1	
	IssueISIN	of Security	M	1	String(12)
/SECURITY				1	
/REPORT_DATE				1	
/FATCA_ASSET				1	
/RTS_DOC				1	

Member report format with depository statement and disbursement amount (PAYMENT_REPORT)

Element name	Attribute name	Description	M/O	Rev	Type
RTS_DOC		Root element of the XML document	M	1	
DOC_REQUISITES		Document Information Section	M	1	
	DOC_DATE	File date	M	1	Date
	DOC_TIME	File time	M	1	Time
	DOC_NO	Unique document tracking number in the EDM	M	1	String(1-30)

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

		System			
	DOC_TYPE_ID	Document type ID – FATCA_ASSET	M	1	String(1-35)
	SENDER_ID	Sender ID	M	1	String(3-7)
	SENDER_NAME	Short name of the sender	O	1	WString(1-200)
	RECEIVER_ID	Receiver ID	M	1	String(3-7)
	REMARKS	Remarks to the file	O	1	WString(1-200)
/DOC_REQUISITES			M		
FATCA_ASSET				1	
DOC_INFO		Additional information on the document		1	
	DOC_SUBTYPE	Message subtype • PAYMENT_REPORT – member report with depository statement and disbursement amount	M	1	String enum
	DOC_REFERENCE	Reference number to the request number • DOC NO of the last received request PAYMENT_REQUEST	M	1	String(1-30)
	REQUEST_NO	Unique request identifier, used to update the information in the request	M	1.2	unsignedLong
	TAX_REQUEST_NO	Filled in only for PAYMENT_REQUEST. ID of a previously used tax disclosure request	O	3	unsignedLong
	ACCOUNT_GROUP	Account group code for disclosure	O	3	String(1-20)
/DOC_INFO				1	
REPORT_DATE		Request or data on the securities on the register collection date	M	1	
	ReportDate	Register collection date	M	1	Date
	PaymentDate	Date of dividends payment	M	1	Date
	LastReportDate	Date after which reports will be rejected	O	1	Date
SECURITY		Security details	M	1	
	IssueISIN	of Security	M	1	String(12)
CLIENT		Client data	M	1	

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

	BrokerCode	Code of the Trading Member for whom the client is registered	M	1	String(3-7)
	ClientCode	Client account code. At least one ClientCode and/or ExtIdentificationCode and/or ClientRegulatorCode element should be indicated	O	1	String(1-12)
	ExtIdentificationCode	Client ID in the Member's records. At least one ClientCode and/or ExtIdentificationCode and/or ClientRegulatorCode element should be indicated	O	1	WString(1-32)
	ClientRegulatorCode	Client ID assigned to the PTCS upon registration. At least one ClientCode and/or ExtIdentificationCode and/or ClientRegulatorCode element should be indicated	O	2	WString(1-512)
	TaxRate	Estimated tax rate according to the Member	O	1.1	enum <ul style="list-style-type: none"> • 0 • 5 • 10 • 15 • 20 • 25 • 30 • 37 • 30BAD
ASSET		Information on payments made	M	1	
	Qty	The balance of the account/custody account section or the balance to which the dividend has accrued.	M	1	Numeric(26,8)
	DebtQty	Balance on which the income has been paid in arrears	O	3	non-negative Numeric(26.8)
	WithheldAmount	Amount withheld by the depository (if known)	O	3	Numeric(26.2)

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

		in the payment currency			
	AgentWithheldAmount	Amount withheld by the higher depository (if known) in the payment currency	O	3	Numeric(26.2)
	IncomeAmount	Amount of net dividend income received in the payment currency (after tax)	M	3	Numeric(26.2)
	PaymentCurrency	Payment currency code (USD)	M	3	char(3)
	AppliedTaxRate	Tax rate applied. <ul style="list-style-type: none"> • 0 • 5 • 10 • 15 • 20 • 25 • 26 • 26.375 • 30 • 37 • 30BAD 	M	5	enum <ul style="list-style-type: none"> • 0 • 5 • 10 • 15 • 20 • 25 • 26 • 26.375 • 30 • 37 • 30BAD
/ASSET				1	
/CLIENT				1	
/SECURITY				1	
/REPORT_DATE				1	
/FATCA_ASSET				1	
/RTS_DOC				1	

Format of response message to members' reports (REPLY)

Element name	Attribute name	Description	M/O	Rev	Type
RTS_DOC		Root element of the XML document	M	1	
DOC_REQUISITES		Document Information Section	M	1	
	DOC_DATE	File date	M	1	Date
	DOC_TIME	File time	M	1	Time
	DOC_NO	Unique document tracking number in the	M	1	String(1-30)

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		EDM System			
	DOC_TYPE_ID	Document type ID – FATCA_ASSET	M	1	String(1-35)
	SENDER_ID	Sender ID	M	1	String(3-7)
	SENDER_NAME	Short name of the sender	O	1	WString(1-200)
	RECEIVER_ID	Receiver ID	M	1	String(3-7)
	REMARKS	Remarks to the file	O	1	WString(1-200)
/DOC_REQUISITES			M		
FATCA_ASSET				1	
DOC_INFO		Additional information on the document		1	
ERROR			Document level error information	O	3
		ErrorLevel	Error level • INFO • WARN • ERROR	O	3
		ErrorCode	Error or warning id	O	3
		ErrorDescription	Human-readable error description	O	3
/ERROR					
	DOC_SUBTYPE	Message subtype • REPLY – receipt of successful receipt of a report or of identified errors	M	1	String enum
	DOC_REFERENCE	Reference number to the transmitted report number • DOC NO of the received and processed PLANNED_ASSET_REPORT, ASSET_REPORT or PAYMENT_REPORT to which a response is given	M	1	String(1-30)
	REQUEST_NO	Unique request identifier, used to update	M	1.2	unsignedLong

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		the information in the request			
	TAX_REQUEST_NO	Identifier of previously used tax disclosure request (indicated in responses to PAYMENT_REPORT)	O	3	unsignedLong
	DOC_REF_TYPE	Type of message to which a reply is given	M	4	ASSET REPORT PAYMENT_REPORT
	ACCOUNT_GROUP	Account group code for disclosure	O	3	String(1-20)
/DOC_INFO				1	
REPORT_DATE		Request or data on the securities on the register collection date	M	1	
	ReportDate	Register collection date	M	1	Date
	PaymentDate	Date of dividends payment	M	1	Date
	LastReportDate	Date after which reports will be rejected	O	1	Date
SECURITY		Security details	M	1	
	IssueISIN	Security ISIN	M	1	String(12)
	TaxRestriction	Indication that a preferential rate cannot be applied (REIT or European equivalent)	O	6	<ul style="list-style-type: none"> • Yes • No
RESULT		Response sent by MOEX following receipt of disclosure in REPLY message	M	1	
	ReportStatus	Disclosure acceptance status <ul style="list-style-type: none"> • ACCEPTED – report accepted • REJECTED – report cannot be accepted 	M	1	String(0-32)
	ErrorCode	Standard error code (if any)	O	1.1	unsignedLong
	Description	Reason for rejecting the statement <ul style="list-style-type: none"> • <ul style="list-style-type: none"> ○ the sender is not the same as the requester ○ the disclosure came later than permitted ○ no account specified in the disclosure was found ○ sum of the client balances does not 	O	1	WString(1-256)

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

		<ul style="list-style-type: none"> match the checksum ○ total balance does not match the data in the SD ○ pool disclosure is not allowed 			
CLIENT_BINDING		<ul style="list-style-type: none"> Element is only specified in the REPLY to ASSET_REPORT report type • not specified in the pool disclosure • not indicated if the report is rejected 		5	
	BrokerCode	Code of the Trading Member for whom the client is registered	M	5	String(3-7)
	ClientCode	Client account code	O	5	String(1-12)
	ClientRegulatorCode	Client ID assigned to the PTCS upon registration	O	5	WString(1-512)
	ExtIdentificationCode	Client ID in the Member's records	O	5	WString(1-32)
	TaxRate	Estimated tax rate according to the Member	O	5	enum
	InternalApplicationNo	Unique application form number in the MOEX records	O	5	String(1-64)
	BindedTaxRate	<ul style="list-style-type: none"> Tax rate pre-determined as a result of the client's binding • 0 • 5 • 10 • 15 • 20 • 25 • 26 • 26.375 • 30 • 37 • 30BAD 	O	5	enum
	ClientBinded	Indication of binding to an identified client	M	5	Y_N_type

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

		in the database			
	ReitClient	Indication of 30% REIT paper rate for CIS nationals	O	5	Y_N_type
	AutoBinded	Indication of a client automatically binded when automatic account disclosure is created	O	5	Y_N_type
	TaxCountry	Country (digital code in accordance with ISO 3166-1 Alpha 2 of the International Organization for Standardization)	O	5	String(3)
/CLIENT_BINDING					
/RESULT				1	
/SECURITY				1	
/REPORT_DATE				1	
/FATCA_ASSET				1	
/RTS_DOC				1	

Notification format for tax rates applied (ASSET_NOTIFICATION)

Element name	Attribute name	Description	M/O	Rev	Type
RTS_DOC		Root element of the XML document	M	1	
DOC_REQUISITES		Document Information Section	M	1	
	DOC_DATE	File date	M	1	Date
	DOC_TIME	File time	M	1	Time
	DOC_NO	Unique document tracking number in the EDM System	M	1	String(1-30)
	DOC_TYPE_ID	Document Type Identifier Always FATCA_ASSET	M	1	String(1-35)
	SENDER_ID	Sender ID	M	1	String(3-7)
	SENDER_NAME	Short name of the sender	O	1	String(0-200)
	RECEIVER_ID	Receiver ID	M	1	String(3-7)
	REMARKS	Remarks to the file	O	1	String(0-200)
/DOC_REQUISITES			M		
FATCA_ASSET				1	
DOC_INFO		Additional information on the document		1	
	DOC_SUBTYPE	Message subtype ASSET_NOTIFICATION – information on assigned rates from tax disclosure and labelling	M	1	String(1-32)
	DOC_REFERENCE	DOC NO of the last received report ASSET_REPORT If no ASSET_REPORT message with disclosure has been received, DOC_NO of the last received request ASSET_REQUEST	M	1	String-enum
	REQUEST_NO	Unique request identifier. Used to update the information in the request	M	2	unsignedLong
/DOC_INFO				1	
REPORT_DATE		Request or data on the securities on the register collection date	M	1	

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

	ReportDate	Register collection date	M	1	Date
	PaymentDate	Date of dividends payment	M	1	Date
	LastReportDate	Date after which reports will be rejected	M	1	Date
SECURITY					
	IssueISIN	Security ISIN	M	1	String
	TaxRestriction	Indication that a preferential rate cannot be applied (REIT or other reason)	O	5	Y_N_type
CLIENT					
	BrokerCode	Code of the Trading Member for whom the client is registered	M	1	String(3-7)
	ClientCode	Client account code	O	1	String(1-12)
	ExIdentificationCode	Client ID in the Member's records	O	1	WString(1-32)
	ClientRegulatorCode	Client ID assigned to the PTCS upon registration	O	2	WString(1-512)
	TaxRate	Estimated tax rate according to the Member	O	1.1	Enum 0 5 10 15 20 25 26 30 37 30BAD
	TaxCountry	Country (digital code in accordance with ISO 3166-1 Alpha 2 of the International Organization for Standardization)	O	4	String(3)
	BindedTaxRate	Tax rate pre-determined as a result of the client's binding	O	5	Enum 0 5 10

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

					15 20 25 26 30 37 30BAD
	ClientBinded	Indication of binding to an identified client in the database	O	5	Y_N_type
	ReitClient	Indication of 30% REIT paper rate for CIS nationals	O	5	Y_N_type
	ClientType	Client type PersonEntity LegalEntity	O	6	Enum
	Chapter3Status	Chapter 3 status for legal entities	O	6	Enum
	Chapter4Status	Chapter 4 status for legal entities	O	6	Enum
ASSET					
	DepoAccount	Depository sub-account. The DepoAccount or ClearingAccount element must be specified	O	1	String(5-12)
	ClearingAccount	Clearing account. The element must be specified	O	2	String(1-31)
		DepoAccount or ClearingAccount			
	Qty	The balance of the account/custody account section or the balance to which the dividend has accrued.	M	1	Numeric(26,8)
	AutoBinded	Indication of a client automatically binded when automatic account disclosure is created	O	6	Y_N_type
ASSET_RESULT					
	ApprovedTaxRate	Approved rate transmitted to higher depositaries	M	3	Enum 0

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

		Rate code 26 corresponds to a tax rate of 26.375%			5 10 15 20 25 26 30 37 30BAD
	Qty	Account/custody account section balance for this rate	M	1	Numeric(26,8) Non-negative
	RepoPos	QDD marking indication	O	6	Y_N_type
/ASSET_RESULT					
/ASSET					
/CLIENT					
CLIENT_POOL		Disclosure by client pools	O	6	
	TaxRate	Client pool tax rate	M	6	Enum 0 5 10 15 20 25 26 30 37 30BAD
	TaxCountry	Country (digital code in accordance with ISO 3166-1 Alpha 2 of the International Organization for Standardization) of the client pool	O	6	String(3)
	ClientType	Client pool type PersonEntity LegalEntity	O	6	Enum

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

	Chapter3Status	Chapter 3 status for legal entities from the client pool	O	6	enum
	Chapter4Status	Chapter 4 status for legal entities from the client pool	O	6	enum
ASSET		Information on client pool assets by sub-accounts	M	6	
	DepoAccount	Depository sub-account. Either the DepoAccount or ClearingAccount element must be specified.	M	6	String(5-12)
	ClearingAccount	Clearing account. Either the DepoAccount or ClearingAccount element must be specified.	O	6	String(1-31)
	Qty	Account balance/sub-account section	M	6	Numeric(26,8)
ASSET_RESULT			O	6	
	ApprovedTaxRate	Approved rate transmitted to higher depositaries 0 – provided for securities without 30BAD tax – rate indication for unidentified clients 26 corresponds to the actual rate of 26.375%	M	6	enum 0 5 10 15 20 25 26 30 37 30BAD
	Qty	Account/custody account section balance for this rate	M	6	non-negative Numeric(26,8)
	RepoPos	QDD marking indication	O	6	Y_N_type
/ASSET_RESULT					
/ASSET					
/CLIENT_POOL					
TOTAL					

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

ASSET					
	DepoAccount	Depository sub-account. The DepoAccount or ClearingAccount element must be specified	O	1	String(5-12)
	ClearingAccount	Clearing account. The DepoAccount or ClearingAccount element must be specified	O	2	String(1-31)
	Qty	Account/custody account section balance	M	1	Numeric(26,8) Non-negative
TOTAL_RESULT					
	ApprovedTaxRate	Approved rate transmitted to higher depositaries Rate code 26 corresponds to a tax rate of 26.375%	M	1.1	Enum 0 5 10 15 20 25 26 30 37 30BAD
	Qty	Account/custody account section balance for this rate	M	1	Numeric(26,8) Non-negative
/TOTAL_RESULT				1	
/ASSET				1	
/TOTAL				1	
/SECURITY				1	
/REPORT_DATE				1	
/FATCA_ASSET				1	
/RTS_DOC				1	

Description of the message fields is contained in the XSD format charts available on ITS Website

Annex 4

to the Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

Notification of Designation of an Authorised Depository*

I, _____, a Member

(full name of the Clearing Member)

of Clearing, hereby notify ITS of the appointment _____ of the Depository

(full name of the authorised Depository),

who is authorised to submit to ITS on behalf of the Clearing Member the Intermediary Identification Forms, Legal Beneficiary Identification Forms, Individual Beneficiary Identification Forms, Simplified Identification Forms, Register, Tax Disclosure, Clarifying Tax Disclosure and other documents necessary for the Clearing Member, Clients of the Clearing Member to comply with the US Foreign Account Tax Act and other legislation in the field of taxation of Income from Securities of Foreign Issuers

Addresses of the Electronic Document Management System of the authorised Depository:

(Position of the authorised representative of the Clearing Member)

(Signature of the authorised representative of the Clearing Member)

(Full name of the authorised representative of the Clearing Member)

to the Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

**Statement of Opportunity to Give Notification of Required Tax Disclosure/
Clarifying Tax Disclosure for All Corporate Events**

Application Form date	
Full name and INN (Taxpayer Identification Number) of the Clearing Member	

Please, send (do not send) notifications on the need to provide Tax Disclosure/Clarifying Tax Disclosure on corporate events in relation to all Securities of Foreign Issuers included in the List of Securities and the List of Obligations of International Trading System Limited.

Signature of the authorised
representative of the Clearing
Member

Full name and position of the authorised representative of the
Clearing Member

L.S.

to the Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

Application Form for Automatic Tax Disclosure

Application Form Date	
Full name and INN (Taxpayer Identification Number) of the Clearing Member	

We hereby ask you, in respect of the client (*client identification data*), whose Securities of Foreign Issuers are registered in Trading account No. (*specify Trading account number*), to consider the Tax Disclosure provided without sending an ASSET_REPORT type message by the Clearing Member via EDM.

We also confirm that only securities belonging to the client (*client identification data*) by right of ownership are registered in the Trading account No. (*specify the number of the Trading account*).

Signature of the authorised representative of the Clearing Member

Full name and position of the authorised representative of the Clearing Member

L.S.

to the Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

Application Form for Grouping Accounts

Application Form date	
Full name and INN (Taxpayer Identification Number) of the Clearing Member	
Member code	

For tax disclosure purposes, please, assign the following Accounts/Trading accounts to the Account Groups as per the table below:

Account numbers	Trading account numbers	Account group code/name (in Latin, max. 20 characters)

Accounts not listed in the table are to be considered as assigned to the Common Group of Accounts – "Common".

Signature of the authorised representative of the Clearing Member

Full name and position of the authorised representative of the Clearing Member

L.S.

to the Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of International Trading System Limited

Requirements for File Name Prefixes Sent as Part of the Regulations on Information Exchange

Document title	Incoming file prefix of the Clearing Member (<i>Free filling after the prefix</i>)	Prefix of outgoing file from ITS (<i>Free filling after the prefix</i>)	Prefix of outgoing file from ITS with processing status (<i>Free filling after the prefix</i>)
Notification of need for Tax Disclosure/Clarifying Tax Disclosure for onward transmission to Higher Depository ASSET_REQUEST		FATCA_ASSET_ASSET_REQUEST	
Tax Disclosure/Clarifying Tax Disclosure by the ASSET REPORT Clearing Member	ASSET_REPORT <i>(APPLICATION message sub-type – original client identification application form sent by the Clearing Member)</i>	FATCA_ASSET_REPLY <i>(REPLY message sub-type – receipt of application form sent by ITS)</i>	FATCA_ASSET_ASSET_NOTIFICATION <i>(ASSET_NOTIFICATION message sub-type – notification of the tax rate applied sent by ITS)</i>
Notification of need to provide Information on Amounts of Income paid for onward transmission to the Higher Depository PAYMENT_REQUEST		FATCA_ASSET_PAYMENT_REQUEST	
Information on the Amounts of Income paid out for onward transmission to the Higher Depository (Member's report with depository statement and amount paid	PAYMENT_REPORT		FATCA_ASSET_REPLY

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

out) PAYMENT_REPORT			
Electronic form in xml format – Identification and Register Form and/or Simplified Identification Forms for W-8BEN, W-8BEN- E, W-8EXP, W-8IMY	FATCA_QUESTIONNAIRE <i>(APPLICATION message sub-type – original client identification application form sent by the member)</i>	FATCA_QUESTIONNAIRE_REPLY <i>(REPLY message sub-type – receipt of application form sent by ITS)</i>	FATCA_QUESTIONNAIRE_NOTIFICATION <i>(Sub-type NOTIFICATION message – notification of the status of the application form sent by ITS)</i>
Scanned copy of W-8BEN, W- 8BEN- E, W-8EXP, W- 8IMY, W-8ECI, W-9 tax forms in PDF format.	FATCA_FIRM_XXXXXXXXXX_XX_YY YYMMDD_NNNNNNNN_N_ZZZZZZ.pdf <i>(Compiled by the rule:</i> 1. <i>FIRM – ID of the Clearing Member</i> 2. <i>XXXXXXXXXXXXXXXX - Short/Registration Code of the Clearing Member's Client (up to 12 characters in Latin letters).</i> 3. <i>YYYYMMDD – date of sending the tax form by the Clearing Member</i> <i>YYY – year</i> <i>MM – month</i> <i>DD – day</i> 4. <i>NNNNNNNN – serial number of the document</i> 5. <i>ZZZZZ – optional application type indication) and/or one of the following prefixes: W-8BEN, W-8BEN- E, W-8EXP, W-8IMY, W-8ECI, W-9.</i> <i>Postfix: *.pdf * PDF</i>		
Document confirming the status of a tax resident	Resident Certificate		
Notification of designation of an authorised	YYDDMM_Notification of designation of an authorised Depository		

Regulations on Information Exchange for implementation of the US Foreign Account Tax Compliance Act (FATCA) and other legislation in the field of taxation of Income from Securities of Foreign Issuers of International Trading System Limited

Depository*	(Where YY is the year; MM is the month; DD is the day; "_" is the underscore)		
Letters\Notifications Requests\other	Letter Postfix:*.doc *dosx *.pdf. xlsx	Notification	ANSWER
Document sent by ITS to the Clearing Member when an error is detected			GENERIC_ERROR <i>(Rejection on unrecognised file or prefix)</i>