Annex 3

Exerpt from Annex 2

to the Depository Terms and Conditions

of Bank GPB (JSC)

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

# List of Documents to be Submitted by Customers to Open a Securities Account.

1. **Legal entities not resident in the Russian Federation[[1]](#footnote-1)** shall submit the following duly certified documents, legalized/apostilled and translated into the Russian language:
   1. Their charter documents, with all amendments and supplements thereto registered in their jurisdiction of registration, in any of the following forms:

* original copy; or
* notarized copy.
  1. The Card [i.e. the card containing samples of the seal imprint and signatures of the persons authorized to sign documents] in any of the following forms:
* notarized original copy; or
* original copy certified by the authorized employee of the Bank; or
* notarized copy;

or notarized power of attorney bearing the sample signature of the authorized person.

The Bank may accept, instead of the Card, a sample signature book, in case such sample signature book is stipulated by the laws of a foreign legal entity’s jurisdiction.

* 1. Resolutions on election/appointment of the person authorized to act on behalf of the nonresident Customer without a power of attorney, in any of the following forms:
* original copy; or
* notarized copy; or
  1. Powers of attorney issued to Representatives authorized by the non-resident Customer to open securities accounts with the Depository and originate transactions on securities accounts; resolutions taken by the non-resident Customer’s directors to issue the above powers of attorney, in any of the following forms:
* original copy; or
* notarized copy.
  1. State registration (incorporation) document issued by a registration authority (an abstract from the trade register or other document confirming the legal status) in accordance with the legislation of the country where the foreign legal entity is located, in any of the following forms:
* original copy; or
* notarized copy.
  1. Extract from the trade or bank (for banks) register or other documents confirming information on governance bodies of the non-resident legal entity, the composition of the shareholders (members) and their locations, in any of the following forms:
* original copy; or
* notarized copy; or
* copy certified by the issuing body.
  1. A certificate (Registered Agent’s Certificate, Certificate of Incumbency, another document) issued by a registered agent, a corporate secretary of the foreign legal entity that all the documents submitted have not undergone any change as of the current date, issued not later than 90 (ninety) days before the date of submitting them, in any of the following forms:
* original copy; or
* notarized copy.
  1. Identification document or information on identification documents in accordance with Annex 7 hereto in respect of persons specified in the card with seal imprint and sample signatures of persons entitled to sign documents, and identification documents of Representatives that deliver Instructions in respect of the Securities Account to the Depository, in any of the following forms:
* notarized copy; or
* original copy for the Bank to make a photocopy thereof.
  1. Information on:
* the Beneficial Owners, Beneficiaries and Representatives in the volume stipulated by the legislation of the Russian Federation;
* the purposes of establishing and the supposed nature of the business relations with the Bank, and information on the purposes of financial and business activities, financial status and business reputation, the origin of the cash funds;
* measures countering the legalization (laundering) of proceeds from crime and financing of terrorism – to be submitted by a foreign bank;
* Self-Certification Forms for FATCA/CRS Purposes.
  1. An application in any format signed by the head of the non-resident legal entity willing to open a Securities Account of a foreign nominee holder that confirms that the foreign legal entity may, pursuant to its personal law, keep record of and transfer rights to the securities.
  2. An application in any format signed by the head of the non-resident legal entity willing to open a Securities Account of a foreign chartered holder confirming that the foreign legal entity, pursuant to its personal law, may, while being no owner of the securities, perform on its behalf and in behalf of other persons any juridical and physical acts with the securities, and exercise rights in respect of the securities.
  3. Persons in whose name the Securities Account of an investment partnership is opened (the authorized managing partner) shall, in addition to the documents listed in this annex, provide the investment partnership agreement that confirms the powers of the authorized managing partner.

The Depository may demand that the Depositor (non-resident legal entity) should submit other documents for the purposes of establishing the legal capacity of the Depositor and the powers of the persons acting on behalf of the Depositor.

1. In respect of foreign unincorporated organizations, the Bank individually determines the list of documents required for Identification as well as depending on the law of the jurisdiction of such organization. [↑](#footnote-ref-1)