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| **QUESTIONNAIRE**  **for legal entities (including non-residents)** | |
|  | |
| ***PLEASE NOTE! The questionnaire is to be completed in order to meet the requirements of Federal Law No. 115-FZ dated 07.08.2001 ‘On Countermeasures to Combat Legalization (Laundering) of Illegally Obtained Proceeds and Financing of Terrorism’*** *(hereinafter referred to as the Federal Law)* ***and is a request for data on beneficiaries and beneficial owners in accordance with the requirements of Article 7 of the Federal Law.***  ***Also, please note, that according to Clause 14 of Article 7 of the Federal Law, the Clients are required to provide the companies, making transactions with funds or other assets, with the information necessary for those companies compliance with the requirements of the Federal Law, including the information on their beneficiaries, founders (members) and beneficial owners.*** | |
|  | |
| **UNIT 1** | **INFORMATION ON THE LEGAL ENTITY** |
|  | |
| **Full name of the company** *(in accordance with the Articles of Association)***:** | |
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| **Primary State Registration Number (OGRN)** | | | | | | | | |  | | | | | | | | | | | | |
| **Number of the record on accreditation of the branch, representative office of the foreign legal entity** | | | | | | | | | | | | | | | | |  | | | | |
| **Registration number of the legal entity at the place of incorporation and registration** *(for non-residents)* | | | | | | | | | | | | | | | | |  | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **Russian Central Bank Identifier Code (BIC)** *(for credit institutions)* | | | |  | | | | | | **All Russian Classifier of Administrative Territorial Entities (OKATO)** *(if available)* | | | | |  | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **The company is:** | |  | *a resident of the Russian Federation* | | |  | *a non-resident* | | | |  | a *resident of the special economic zone***[[1]](#footnote-1)\*** | | | | | | | | | |
| **Company type:** | |  | *Commercial* | | |  | *Non-profit* | | | |  |  | | | | | | | | | |
| **Availability of the state-owned equity stake in the authorized capital of the company or its founder:** | | | | | | | | | | | | | | | | | |  | *Yes* |  | *No* |
| **the legal entity or its founder is registered or carries out activities in the state or in the territory that provides preferential tax treatment and (or) in the offshore jurisdiction:** | | | | | | | | | | | | | | | | | |  | *Yes* |  | *No* |
| **We confirm the presence of the permanent management body or the person entitled to act on behalf of the legal entity without a Power of Attorney:** | | | | | | | | | | | | |  | at the location address according to the constituent documents | | | | | | | | |
|  | at the actual (postal) address | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **The amount of the registered authorized (share) capital or the amount of the shareholder equity, property** | | | | | | | | | | | | | | | |  | | | | | |
| **The amount of the paid authorized (share) capital or the amount of the shareholder equity, property** | | | | | | | | | | | | | | | |  | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **Information on shareholders (members) owning more than 5% of shares (equity stakes) in the authorized capital** | | | | | | | | | | | | | | | | | | | | | |
| **% of shares (equity stake)** | **Full name** | | | | **State of registration (country)** | | | **TIN (Taxpayer Identification Number)** *(if available)* **/ FCC (Foreign Company Code)** | | | | | **ID document details / Primary State Registration Number (OGRN)** | | | | | | | | |
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| **Structure and membership of the management bodies of the legal entity** (in particular: Board of Directors, Supervisory Board, Collegial Executive Body, other) | | | |
| **Name of the management body** | **Full name** | **TIN (Taxpayer Identification Number)** *(if available)* **/ FCC (Foreign Company Code)** | **ID document details / Primary State Registration Number (OGRN)** |
|  |  |  |  |
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| **Sole Executive Body** | | |
| **Position** | **Full name / Business name of the management company (manager)** | **ID document details / Primary State Registration Number (OGRN)** |
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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **UNIT 2** | | | | **GENERAL INFORMATION** | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | |
| **Purpose of establishing and intended nature of the company’s business relations with SDC Sirius, LLC** | | | | | | | | | | | | | | | | | | | | | | | |
|  | | services for accounting and certification of the rights to securities, as well as related services. | | | | | | | | | | | | | | | | | | | | | |
|  | | other (specify): | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | |
| **Sources of funds, property**  *(the result of statutory activities; borrowings, other - specify):* | | | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | |
| **Purposes of financial and economic activities of the company**  *(Specify the types and areas of activity in the sector in accordance with the current Articles of Association)* | | | | | |  | activities related to the intense cash turnover; | | | | | | | | | | | | | | |
|  | tour operator and travel agency activities, as well as other travel activities (tourist activities); | | | | | | | | | | | | | | |
|  | activities in the field of gambling; | | | | | | | | | | | | | | |
|  | activities of pawnshops; | | | | | | | | | | | | | | |
|  | activities of microlenders; | | | | | | | | | | | | | | |
|  | activities related to sale (including commission sale) of art objects, antiques, furniture, light vehicles, especially luxury items; | | | | | | | | | | | | | | |
|  | activities related to buying up, purchase and sale of precious metals, precious stones, as well as jewelry containing precious metals and precious stones and scrap jewelry; | | | | | | | | | | | | | | |
|  | activities related to committing real estate transactions and/or rendering intermediary services in committing real estate transactions; | | | | | | | | | | | | | | |
|  | provision of services in the field of retail trade, public catering; | | | | | | | | | | | | | | |
|  | retail sale of fuel at petrol stations and gas stations; | | | | | | | | | | | | | | |
|  | arms production or intermediary activities for purchase and sale of arms; | | | | | | | | | | | | | | |
|  | charity or other type of unregulated non-profit activities; | | | | | | | | | | | | | | |
|  | making transactions with residents of the states (territories) specified in the Russian Federation Ministry of Finance Order N 108n dated 13.11.2007 ‘On Approval of the List of States and Territories Granting Preferential Tax Treatment and (or) Not Providing for Disclosure of the Information when Committing Financial Transactions (Offshore Areas)’ | | | | | | | | | | | | | | |
|  | other *(specify the types and areas of activity in the sector in accordance with the current Articles of Association, with indication of OKVED codes, if available):* | | | | | | | | | | | | | | |
| **Information on the license for the right to carry out activities subject to licensing** | | | | | | | | | License type | |  | | | | | | | | | | |
| License No. | |  | | | | | | | | | | |
| Issued by | |  | | | | | | | | | | |
| Validity period | |  | | | | | | | | | | |
| **Financial status of the company**  *(as of the date of the documents submission to the Depository)* | | | | | | | | |  | The insolvency (bankruptcy) proceedings in respect of the legal entity are in progress | | | | | | | | | | | |
|  | There exist effective court judgments on adjudication of the legal entity’s insolvency (bankruptcy) | | | | | | | | | | | |
|  | Liquidation proceedings in respect of the legal entity are in progress | | | | | | | | | | | |
|  | There is evidence of the legal entity’s failure to perform its monetary obligations due to the lack of funds in the bank accounts | | | | | | | | | | | |
|  | Other *(specify)*: | |  | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | |
| **The following documents were submitted to support the financial status:** | | | | | | | | | | | | | | | | | | | | | |
|  | | copies of the annual financial statements (the Balance Sheet, the Profit and Loss Statement) | | | | | | | | | | | | | | | | | | | |
|  | | copies of the annual (or quarterly) tax return with the tax authority stamps on acceptance thereof or without such stamps with the attachments, or copies of receipts on sending a registered letter with the list of enclosures (when sending by regular mail), or copies of the sending confirmation in paper (when sending electronically) | | | | | | | | | | | | | | | | | | | |
|  | | a copy of the auditor’s report on the annual report for the past year, which confirms the reliability of financial (accounting) statements and compliance of the accounting procedures with the legislation of the Russian Federation | | | | | | | | | | | | | | | | | | | |
|  | | a statement on the tax payer (tax agent) performance the obligation on payment of taxes, fees, penalties, fines, issued by the tax authority | | | | | | | | | | | | | | | | | | | |
|  | | information on the absence of insolvency (bankruptcy) proceedings in respect of the legal entity, of effective court judgments on adjudication of the legal entity’s insolvency (bankruptcy), of the liquidation proceedings in progress, as of the date of the documents submission to the Depository | | | | | | | | | | | | | | | | | | | |
|  | | information on the absence of the fact of the legal entity’s failure to perform its monetary obligations due to the lack of funds in the bank accounts | | | | | | | | | | | | | | | | | | | |
|  | | data on the legal entity’s rating posted on the Internet on the web-sites of the international rating agencies (Standard and Poor’s, Fitch-Ratings, Moody’s Investors Service, and other) and of the national rating agencies | | | | | | | | | | | | | | | | | | | |
|  | | Other *(specify)*: | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **Goodwill**  *(including professional awards, the competitions won)* | | | | | | | |  | | official web-site: | | |  | | | | | | | | |
|  | | ratings in business environment, publications, press notices: | | | |  | | | | | | | |
|  | | membership in the unions, associations, communities: | | | |  | | | | | | | |
|  | | Other *(specify)*: | |  | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | |
| **The following documents were submitted to support the company’s goodwill:** | | | | | | | | | | | | | | | | | | | | | |
|  | | feedback (in free written form) on the legal entity from other clients of the Depository having business relations therewith | | | | | | | | | | | | | | | | | | | |
|  | | feedback (in free written form) from credit institutions and (or) non-banking financial institutions in which the legal entity is (was) serviced, with those credit institutions and (or) non-banking financial institutions’ information on assessment of the legal entity’s business reputation (goodwill) | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **Whether the company acts in favor (for the benefit) of a foreign public official:** | | | | | | | | | | | | | | | | | |  | **YES** |  | **NO** |
|  | | | | | | | | | | | | | | | | | | | | | |
| **Is the company:** | | | |  | a business company being strategically important for the military-industrial complex and the security of the Russian Federation | | | | | | | | | | | | | | | | |
|  | directly or indirectly controlled by a business company being strategically important for the military-industrial complex and the security of the Russian Federation | | | | | | | | | | | | | | | | |
|  | a federal unitary enterprise being strategically important for the military-industrial complex and the security of the Russian Federation | | | | | | | | | | | | | | | | |
|  | a business company that is directly or indirectly controlled by a federal unitary enterprise being strategically important for the military-industrial complex and the security of the Russian Federation | | | | | | | | | | | | | | | | |
|  | a state corporation | | | | | | | | | | | | | | | | |
|  | a state-owned company | | | | | | | | | | | | | | | | |
|  | a public company | | | | | | | | | | | | | | | | |
| **Is the company engaged in:** | | | |  | the activities of social and economic significance or major importance for national defense and security of the state (critical technologies) (in accordance with Decree No. 1273-r dated July 14, 2012 of the Government of the Russian Federation) | | | | | | | | | | | | | | | | |
|  | the activities of strategic importance for ensuring national defense and security of the state (in accordance with Article 6 of Federal Law No. 57-FZ dated 29.04.2008) | | | | | | | | | | | | | | | | |
| **Whether the company (or its founder) is a participant of the federal, regional or municipal target programs or national-level projects:** | | | | | | | | | | | | | | |  | yes | | | | | |
|  | NO | | | | | |

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| **UNIT 3** | | | **INFORMATION ON BENEFICIAL OWNERS OF THE LEGAL ENTITY** | | | | | | | | | | | | | |
| **Beneficial owner is** a natural person who**:**   * directly or indirectly (through a third party, including through a legal entity, several legal entities or a group of related legal entities) owns (has the dominant participation of more than 25% in the capital) the client - legal entity; * has the ability to control the client’s actions, taking into account, particularly, the existence of the natural person’s right (the possibility) to use (including under a contract with the client) its powers in order to influence the value of the client’s income, exercise control over the client’s decisions on making the deals (including those with the credit risk (on granting loans (credits), guarantees, etc.), as well as financial transactions. | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
|  | | I confirm availability of beneficial owners | | | | | | | | | | | | | | |
|  | | Beneficial owners are absent/not identified (being guided by the Federal Law, SDC Sirius, LLC reserves the right to consider the sole executive body of the legal entity/director of the management company of the legal entity as the beneficial owner) | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
| **If the legal entity refers to one of the following companies, then the information on the beneficial owners**  **ARE NOT TO BE PROVIDED**  *(check whichever applies)*: | | | | | | | | | | | | | | | | |
|  | | *governmental authorities* *of the Russian Federation,* *governmental authorities of a constituent entity of the Russian Federation, other governmental authorities, local self-governing authorities, institutions under their supervision, public non-budgetary funds, public corporations or organizations in which capital the Russian Federation, constituent entities of the Russian Federation or municipalities have more than 50 percent of shares (equity stakes), governmental authorities of a foreign state, the Bank of Russia* | | | | | | | | | | | | | | |
|  | | *international organizations, foreign governments or administrative-territorial entities of foreign states, possessing an independent legal capacity* | | | | | | | | | | | | | | |
|  | | *issuers of securities admitted to on-exchange trading, which disclose information in accordance with the securities legislation of the Russian Federation* | | | | | | | | | | | | | | |
|  | | *foreign entities which securities were listed on a foreign stock exchange included in the list approved by the Bank of Russia* | | | | | | | | | | | | | | |
|  | | *legal entities - non-residents which ownership structure and (or) organizational structure does not require availability of the beneficial owner, as well as the company’s sole executive body (manager).* | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
| **!** | ***If there are several beneficial owners, Unit 3 of the Questionnaire shall be completed for each beneficial owner*** | | | | | | | | | | | | | | | **!** |
|  | | | | | | | | |  | |  | | | | | |
| **Surname, name, patronymic** *(if patronymic available)* | | | | | |  | | | | | | | | | | |
| **Nationality/stateless** | | | | |  | | | | | | | | **TIN (Taxpayer Identification Number)** *(if available)* |  | | |
| **Place of birth** | | | | |  | | | | | | | | **Date of birth** |  | | |
| **Identification document** | | | | | Document type, series *(if available)*, number | | | | | | |  | | | | |
| Document issuer, subdivision code *(if available)* | | | | | | |  | | | | |
| Date of issue | | | | |  | | | | | | |
| **Migration card/a document confirming the right to stay (accommodation) in Russia** | | | | | Series *(if available)*, number | | | | |  | | | | | | |
| Start date of the period of stay/the term of the stay authorization | | | | | | | | | |  | |
| End date of the period of stay/ the term of the stay authorization | | | | | | | | | |  | |
| **Address of the place of residence:** | | | | |  | |  |  | | | | | | | | |
| *Postal code* | |  | *Address* | | | | | | | | |
| **Address of residence/stay** | | | | |  | |  |  | | | | | | | | |
| *Postal code* | |  | *Address* | | | | | | | | |
| **Phone number(s), fax number** *(if available)* | | | | |  | | | | | | | | | | | |
| **Relevance of a beneficial owner to the categories of persons** | | | |  | Is a foreign public official (FPO) \*/wife (husband), close relative | | | | | | | | | | | |
|  | Is a public international organization official (PIOO) \* | | | | | | | | | | | |
|  | Is the Russian public official (RPO) \* | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
| ***\* - see definition of the specified term in Unit 5 of this Questionnaire***  ***In case of affirmative answer, Unit 5 of this Questionnaire must be completed in respect of beneficial owners and submitted to the Depository*** | | | | | | | | | | | | | | | | |

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| **UNIT 4** | | | | **INFORMATION ON BENEFICIARIES OF THE LEGAL ENTITY** | | | | | | |
| Beneficiary is a person to whose benefit the depositor acts, including based on the agency agreement, engagement agreements, commission agreement, and trust agreement, when committing transactions with funds and other property | | | | | | | | | | |
| **Information on beneficiaries** **SHALL NOT BE SUBMITTED in the following cases**  *(check whichever applies)*: | | | | | | | | | | |
|  | | If the legal entity is an institution committing transactions with funds or other property referred to in [Article 5](consultantplus://offline/ref=559A53099790BF66BA8EE6C79FEE63714AEC69AC4BA82EA3A3064A94A53D5A3622AFE4FAAAA013A4xE5FI) of the Federal Law (institutions committing transactions with funds or other property), and beneficiaries are the clients of such legal entity. | | | | | | | | |
|  | | If the legal entity or its beneficiaries are the governmental authorities of the Russian Federation, governmental authorities of a constituent entity of the Russian Federation, local self-governing authorities, governmental authorities of a foreign state, the Bank of Russia. | | | | | | | | |
|  | | **There are no beneficiaries**  *(the institution makes all transactions and payments to its own benefit and for its own account)*  *(Unit 4 shall be left blank)* | | | | | | | | |
|  | | | **There are beneficiaries**  *The company operates, inter alia, based on:* | |  | surety agreements | |  | trust agreements | |
|  | commission agreements | |  | agency agreements | |
|  | | other civil contracts in favor of third parties *(please specify)*: | | | |
|  | | | | | | | | | | |
| **!** | ***If there is a mark in the line “There are beneficiaries”, this Unit shall be completed,***  ***If there are several beneficiaries, the information shall be provided in respect of each beneficiary*** | | | | | | | | | **!** |

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| **Section 4.1** | | | **Information on the beneficiary**  ***(to be completed in respect of natural persons)*** | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | |
|  | | *Resident of the Russian Federation* | | | | |  | | | *Non-resident of the Russian Federation* | | | | |  | *Resident of the special economic zone***[[2]](#footnote-2)\*** | | |
|  | | | | | | | | | | | | | | | | | | |
| **The beneficiary is registered or carries out activities in the state or in the territory that grants preferential tax treatment and (or) not providing for disclosure of the information when committing financial transactions (in the offshore jurisdiction)** | | | | | | | | | | | | | | | | | | |
|  | **YES** | | | | | |  | | | **NO** | | |  | |  | | | |
|  | | | | | | | | | | | | | | | | | | |
| **Surname, name, patronymic** *(if patronymic available)* | | | | | | | |  | | | | | | | | | | |
| **Nationality/stateless** | | | | | |  | | | | | | | | **TIN (Taxpayer Identification Number)** *(if available)* | | |  | |
| **Place of birth** | | | | | |  | | | | | | | | **Date of birth** | | |  | |
| **Identification document** | | | | | | Document type, series *(if available)*, number | | | | | | | |  | | | | |
| Document issuer, subdivision code *(if available)* | | | | | | | |  | | | | |
| Date of issue | | | | | |  | | | | | | |
| **Migration card/a document confirming the right to stay (accommodation) in Russia** | | | | | | Series *(if available)* and number | | | | | |  | | | | | | |
| Start date of the period of stay/the term of the stay authorization | | | | | | | | | | | |  |
| End date of the period of stay/the term of the stay authorization | | | | | | | | | | | |  |
| **Address of the place of residence:** | | | | | |  | | |  | |  | | | | | | | |
| *Postal code* | | |  | | *Address* | | | | | | | |
| **Address of residence/stay** | | | | | |  | | |  | |  | | | | | | | |
| *Postal code* | | |  | | *Address* | | | | | | | |
| **Phone number(s), fax number** *(if available)* | | | | | |  | | | | | | | | | | | | |
| **Relevance of the beneficiary to the categories of persons** | | | |  | Is a foreign public official (FPO) \*/wife (husband), close relative | | | | | | | | | | | | | |
|  | Is a public international organization official (PIOO) \* | | | | | | | | | | | | | |
|  | Is the Russian public official (RPO) \* | | | | | | | | | | | | | |
| ***\* - see definition of the specified term in Unit 5 of this Questionnaire***  ***In case of affirmative answer, Unit 5 of this Questionnaire must be completed in respect of beneficiaries (natural persons) and submitted to the Depository*** | | | | | | | | | | | | | | | | | | |

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| **Section 4.2** | | | **Information on the beneficiary *(to be completed in respect of legal entities (including non-residents), unincorporated foreign institutions)*** | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | |
|  | *Resident of the Russian Federation* | | | |  | | | *Non-resident of the Russian Federation* | | | | |  | | *Resident of the special economic zone* | | | | | |
|  | | | | | | | | | | | | | | | | | | | | |
| **Availability of the state-owned equity stake in the authorized capital of the beneficiary:** | | | | | | | | | | | | | | | | |  | **YES** |  | **NO** |
|  | | | | | | | | | | | | | | | | | | | | |
| **The beneficiary is registered or carries out activities in the state or in the territory that grants preferential tax treatment and (or) not providing for disclosure of the information when committing financial transactions (in the offshore jurisdiction)** | | | | | | | | | | | | | | | | |  | **YES** |  | **NO** |
|  | | | | | | | | | | | | | | | | | | | | |
| **Beneficiary is a participant of the federal target programs or national-level projects:** | | | | | | | | | | | | | | | | |  | **YES** |  | **NO** |
|  | | | | | | | | | | | | | | | | | | | | |
| **Full name** *(in accordance with the Articles of Association)* | | | | | | | | | | | |  | | | | | | | | |
| **Name of the company in foreign languages** *(if available)***:** | | | | | | | | | | | |  | | | | | | | | |
| **Abbreviated name:** | | | |  | | | | | | | | | | | | | | | | |
| **Form of Incorporation:** | | | |  | | | | | | | | | | | | | | | | |
| **Location address:** | | | |  | | |  | |  | | | | | | | | | | | |
| *Postal code* | | |  | | *Address* | | | | | | | | | | | |
| **Place of the state registration (location)** | | | | | | | | | |  | | | | | | | | | | |
| **Primary State Registration Number (OGRN)** | | | | | | | | | | |  | | | | | | | | | |
| **Number of the record on accreditation of the branch, representative office of the foreign legal entity** | | | | | | | | | | | | | | | |  | | | | |
| **Registration number of the legal entity at the place of incorporation and registration** *(for non-residents)* | | | | | | | | | | | | | | | |  | | | | |
| **INN** | |  | | | | **OKATO** *(if available)* | | | | | | | |  | | | | | | |
| **FCC** | |  | | | | **BIC** *(for credit institutions)* | | | | | | | |  | | | | | | |

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| **Additional information on the beneficiary**  ***- unincorporated foreign institution:*** | | |
|  | | |
| **Registration number (numbers) assigned in the state (territory) of registration (incorporation):** | |  |
| **Code (codes) in the state (territory) of registration (incorporation) as the taxpayer (or equivalents thereof):** | |  |
| **Location of main activities:** |  | |
|  | | |
| **Structure of the property (assets) under management (in ownership)** *(to be completed for trusts and other unincorporated foreign institutions with similar structure or function):* | | |
|  | | |
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| **Information on the founders and the trustee (manager)** *(to be completed for trusts and other unincorporated foreign institutions with similar structure or function)***:** | | |
| **Status** | **Surname, name, patronymic** *(if patronymic available)* **/ Business name** | **Address of residence**  **(location)** |
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| **UNIT 5** | | | **INFORMATION ON BENEFICIAL OWNERS/BENEFICIARIES BEING FOREIGN PUBLIC OFFICIALS (FPO) (THEIR SPOUSES AND CLOSE RELATIVES), PUBLIC INTERNATIONAL ORGANIZATION OFFICIALS (PIOO), RUSSIAN PUBLIC OFFICIALS (RPO)** | | | | | | | | | | | | | | | | | | |
| ***Unit 5 shall be completed*** ***only***  ***in case of affirmative answer on the above-mentioned persons relevance to one of the categories - FPO, RPO, PIOO, or their spouses and close relatives.*** | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **Foreign public official (FPO)** is any person to be appointed or elected and holding this position in a legislative, executive, administrative or judicial authority of a foreign state, and any person who performs a public function for a foreign state, including for a public agency or a public enterprise. | | | | | | | | | | | | | | | | | | | | | |
| **Public international organization official (PIOO)** isan international civil officer or a natural person - official who performs a public function for a foreign public authority or a government-owned enterprise on their behalf. | | | | | | | | | | | | | | | | | | | | | |
| **Russian public official (RPO)** isaperson filling (holding) a public office of the Russian Federation, a position of the member of the Board of Directors of the Central Bank of the Russian Federation, a position in the federal state service appointment to and dismissal from which is carried out by the President of the Russian Federation or the Government of the Russian Federation, a position in the Central Bank of the Russian Federation, in the state corporation and other organization established by the Russian Federation on the basis of federal laws, and included in the list of positions which list is subject to determination by the President of the Russian Federation. | | | | | | | | | | | | | | | | | | | | | |
| **Surname, name, patronymic of the person related to one of the categories - FPO, RPO, PIOO** | | | | | | | | | | |  | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **1.** | | **Specify relevance of the specified person to FPOs holding the positions listed below:** | | | | | | | | | | | | | | | |  | **YES** |  | **NO** |
| **If YES, tick the appropriate fields:** | | | | | | | | | | | |  | |  | | | | | | | |
|  | Heads of the states or governments (regardless of the form of government) | | | | | | | | | | | | | | | | | | | | |
|  | Ministers, their alternates and assistants | | | | | | | | | | | | | | | | | | | | |
|  | Officials holding positions in judicial authorities, final judicial authorities (Supreme Court, Constitutional Court) | | | | | | | | | | | | | | | | | | | | |
|  | Senior government officials | | | | | | | | | | | | | | | | | | | | |
|  | Public Prosecutor and his/her deputies | | | | | | | | | | | | | | | | | | | | |
|  | Senior military officials | | | | | | | | | | | | | | | | | | | | |
|  | Heads and members of the Boards of Directors of national banks | | | | | | | | | | | | | | | | | | | | |
|  | Leaders of legally registered political parties, movements, and their alternates | | | | | | | | | | | | | | | | | | | | |
|  | Heads of state corporations | | | | | | | | | | | | | | | | | | | | |
|  | Heads of religious organizations (performing governmental administrative functions) and their alternates | | | | | | | | | | | | | | | | | | | | |
|  | Ambassadors | | | | | | | | | | | | | | | | | | | | |
|  | Other *(specify the position / title / rank / office)*: | | | | | | | | | | | | | | | | | | | | |
| **Position** | | | | | | | |  | | | | | | | | | | | | | |
| **Name of the employer** | | | | | | | |  | | | | | | | | | | | | | |
| **Address of the employer** | | | | | | | |  | | | | | | | | | | | | | |
|  | |  | | | | | | | | | | | | | | | | | | | |
| **2.** | | **Specify the main sources of income of the person related to FPO:** | | | | | | | | | | | | | | | | | | | |
|  | | Income from the primary place of employment, including income from secondary employment | | | | | | | | | | |  | | Income from securities and participating interests in commercial organizations | | | | | | |
|  | | Pension | | | | | | | | | | |  | | Personal savings | | | | | | |
|  | | Income from deposits | | | | | | | | | | |  | | Inherited assets | | | | | | |
|  | | Other income *(specify below the type of income)*: | | | | | | | | | | |  | | Income from entrepreneurial activities | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **3.** | | **Specify whether there is a kinship with a person holding the positions referred to in Paragraph 1?** | | | | | | | | | | | | | | | |  | **YES** |  | **NO** |
| **If YES, please fill in the following fields:** | | | | | | | | | | | |  | |  | | | | | | | |
| **Surname, name, patronymic of the related person** | | | | | | | | | |  | | | | | | | | | | | |
| **His/her position** | | | | | | |  | | | | | | | | | | | | | | |
| **Name of the company where he/she works** | | | | | | | | |  | | | | | | | | | | | | |
| **Degree of kinship** | | | |  | Husband / wife | | | | | | | | | | |  | Grandson / granddaughter | | | | |
|  | Father / mother | | | | | | | | | | |  | Brother / sister (including half-blood) | | | | |
|  | Son / daughter | | | | | | | | | | |  | Stepfather / stepmother | | | | |
|  | | | |  | Grandfather / grandmother | | | | | | | | | | |  | Stepson / stepdaughter | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **4.** | | **Specify relevance to PIOOs holding the positions listed below:** | | | | | | | | | | | | | | | |  | **YES** |  | **NO** |
| **If YES, tick the appropriate fields:** | | | | | | | | | | | |  | |  | | | | | | | |
|  | | Heads, Deputy Heads of international organizations (UN, OECD, OPEC, the Olympic Committee, the World Bank, etc.), members of the European Parliament | | | | | | | | | | | | | | | | | | | |
|  | | Heads and members of international judicial institutions (the Human Rights Court, the Hague Tribunal, etc.) | | | | | | | | | | | | | | | | | | | |
|  | | Other *(specify in the table below the position / title / rank / office)*: | | | | | | | | | | | | | | | | | | | |
| **Position** | | | | | |  | | | | | | | | | | | | | | | |
| **Name of the company where he/she works** | | | | | | | | |  | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| **5.** | | **Specify relevance to RPOs holding the positions listed below:** | | | | | | | | | | | | | | | |  | **YES** |  | **NO** |
| **If YES, tick the appropriate fields:** | | | | | | | | | | | |  | |  | | | | | | | |
|  | Public offices of the Russian Federation | | | | | | | | | | | | | | | | | | | | |
|  | Positions of members of the Board of Directors of the Central Bank of the Russian Federation | | | | | | | | | | | | | | | | | | | | |
|  | Positions in the federal state service appointment to and dismissal from which is carried out by the President of the Russian Federation and the Government of the Russian Federation | | | | | | | | | | | | | | | | | | | | |
|  | Positions in the Central Bank of the Russian Federation included in the lists of positions that are subject to determination by the President of the Russian Federation | | | | | | | | | | | | | | | | | | | | |
|  | Positions in the state corporations established by the Russian Federation on the basis of federal laws and included in the lists of positions that are subject to determination by the President of the Russian Federation | | | | | | | | | | | | | | | | | | | | |
|  | Positions in other organizations established by the Russian Federation on the basis of federal laws and included in the lists of positions that are subject to determination by the President of the Russian Federation | | | | | | | | | | | | | | | | | | | | |
|  | Other *(specify the position / title / rank / office)*: | | | | | | | | | | | | | | | | | | | | |
| **Position** | | | | | |  | | | | | | | | | | | | | | | |
| **Name of the company where he/she works** | | | | | | | | |  | | | | | | | | | | | | |

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| **UNIT 6** | | | | **I hereby confirm accuracy of all the information specified in this Questionnaire.** | | | | | | | | | | | | | | | | | | | | |
| **I UNDERTAKE TO NOTIFY SDC SIRIUS, LLC on any amendments made to the specified information according to the procedure established by the current legislation of the Russian Federation, as well as to update/confirm the identification information at least once a year.**  **PLEASE NOTE! In case of non-receipt of the information so amended, SDC Sirius, LLC reserves the right to consider that no amendments and supplements have been made to the information and documents previously submitted.** | | | | | | | | | | | | | | | | | | | | | | | | |
|  |  | | | | | | | |  |  | | | | | | | | | | | | | | |
| **Signature of the authorized official acting under the Articles of Association/authorized representative acting under the Power of Attorney** | | | | | | | | | | | | | | | | | | | | | | | | |
|  |  | | | | | | | |  |  | | | | | | | | | | | | | | |
| **Surname, name, patronymic** *(if patronymic available)* | | | | | |  | | | | | | | | | | | | | | | | | | |
| **Position** | | | | |  | | | | | | | | | | | | | | | | | | | |
| **Powers granted by** | | | | |  | | | | | | | | | | | | | | | | | | | |
|  |  | | | | | | | |  |  | | | | | | | | | | | | | | |
|  | **Signature** | | | | | | | |  | **Filled in on (date):** | | | | | | | | | | | | | | |
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|  |  |  |  | **L.S.** | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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1. \*Special economic zone is part of the territory of the Russian Federation, which is determined by the Government of the Russian Federation and which has a special regime for entrepreneurial activities; there can also be used customs procedure of the free customs zone. [↑](#footnote-ref-1)
2. \*Data shall be specified in respect of individual entrepreneur [↑](#footnote-ref-2)