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| Approved by  |
| the Directorate of MICEX Stock Exchange |
| 14 February 2014 |
| Minutes No. 6 |
| General Director A. Kuznetsova |

**PROCEDURE FOR SUBMISSION OF INFORMATION AND REPORTS**

 **TO**

**CLOSED JOINT STOCK COMPANY MICEX STOCK EXCHANGE**

Moscow 2014

Contents

[Section I GENERAL PROVISIONS 3](#_Toc387936721)

[Section II INFORMATION AND REPORTS TO BE SUBMITTED BY TRADING MEMBERS TO THE EXCHANGE 3](#_Toc387936722)

[Section III DEADLINES FOR SUBMISSION OF INFORMATION AND REPORTS TO THE EXCHANGE BY TRADING MEMBERS 5](#_Toc387936723)

[Section IV PROCEDURE FOR COMPILING AND SUBMISSION OF INFROMATION AND REPORTS 6](#_Toc387936724)

[Section V FINAL PROVISIONS 8](#_Toc387936725)

[APPENDIX No. 1 9](#_Toc387936726)

[APPENDIX No. 2 16](#_Toc387936727)

#

**Terms and definitions**

**SE MICEX, Exchange** – Closed Joint Stock Company MICEX Stock Exchange.

**Moscow Exchange** – Open Joint Stock Company Moscow Exchange MICEX-RTS.

**Trading Member –** a legal entity admitted to trading on the Exchange in compliance with the Exchange’s regulations.

Other terms and definitions used herein shall have the meanings ascribed to them in the Exchange’s regulations, laws, regulatory acts for financial markets and other regulatory acts.

1. GENERAL PROVISIONS
	1. This Procedure for Submission of Information and Reports to Closed Joint Stock Company MICEX Stock Exchange (hereinafter – the Procedure) was developed in accordance with the requirements of the regulatory acts for financial markets, the charter and other by-laws of the Exchange.
	2. The Procedure determines the composition, deadlines for and formats of submitting information and reports by Trading Members to the Exchange.
	3. Information and reports shall be submitted by Trading Members to the Exchange for the following purposes:
		1. Development and update of the data base with information on Trading Members; evaluation of their financial position;
		2. Supervision over Trading Members, including compliance thereof with the requirements to their financial position with a view to reduce risks for the Exchange and default risks for Trading Members.
	4. All Appendices hereto shall be an integral part hereof.
	5. This Procedure and all Amendments hereto shall be approved by the Exchange and shall come into force on the date specified by the Exchange.
	6. Information on the approval and coming into force of this Procedure (any amendments thereto), as well as the text of the Procedure (any amendments thereto) shall be disclosed on the Exchange’s website no later than five (5) business days prior to the Procedure (any amendments thereto) effective date, unless otherwise provided for by decision of the Exchange.

1. INFORMATION AND REPORTS TO BE SUBMITTED BY TRADING MEMBERS TO THE EXCHANGE
	1. Trading Members which are professional securities market participants shall submit the following reports to the Exchange:
		1. Credit organizations:
* reports by credit institutions compiled according to Forms 0409101, 0409102, 0409123, 0409135 in compliance with Instructions by the Bank of Russia dated 12 November 2009 No. 2332-U “On List, Forms and Procedure for Compiling and Submitting Reports Forms of Credit Institutions to the Central Bank of the Russian Federation”;
* a statement on the numeric value of the ratio of single borrower or group of related party borrowers risk (N6) (based on data in Form 0409118);
* a quarterly report of the professional securities market participant (as per form 1100). The quarterly report is to be compiled in accordance with the Regulations No 33/109n on reports to be submitted by professional securities market participants (approved by the joint resolution of the Russian FCSM and the Ministry of Finance on 11 December 2001).
	+ 1. Non-credit organizations:
* reports compiled according to Forms 0710001 and 0710002 in compliance with order No. 66n of the RF Ministry of Finance “On forms of organizations’ accounting reports” dated 2 July 2010;
* a quarterly report of the professional securities market participant (as per form 1100). The quarterly report is to be compiled in accordance with the Regulations No 33/109n on reports to be submitted by professional securities market participants (approved by the joint resolution of the Russian FCSM and the Ministry of Finance on 11 December 2001);
* a calculation of equity capital according to the form established by Order of the FFMS of Russia dated 23 October 2008 No. 08-41/pz-n;
	1. Reports to be submitted by the Bank of Russia to the Exchange in compliance herewith shall include the balance sheet of the Bank Russia as at 01 January, 01 April, 01 June and 01 October.
	2. For the purposes of this Procedure, the Exchange shall have the right to request additional information and reports and the Trading Member shall submit the documents requested appropriately.
	3. Information to be submitted in accordance with this Procedure includes a Registration card stated in Appendix 1 hereto.
	4. Trading Members with branches shall submit consolidated reports including information on the Trading Member and its branches. Such consolidated reports shall be produced in accordance with standards for consolidates statements set out in the regulatory acts of the Russian Federation, and with requirements set out herein.
	5. Information shall be stored for five years. Reports shall be stored at least five years since obligations between the Exchange and the Trading Member have been discharged.
	6. Trading Members shall be obligated to insure relevancy and authenticity of information and reports submitted to the Exchange.
1. DEADLINES FOR SUBMISSION OF INFORMATION AND REPORTS TO THE EXCHANGE BY TRADING MEMBERS
	1. Trading Members shall submit reports by the following deadlines:
* Calculation of equity (capital) (Basel III) (Form 0409123) shall be submitted on a monthly basis no later than business day fifteen (15) of the month following the reporting month (applied to credit institutions).
* Calculation of equity shall be submitted on a monthly basis, no later than one calendar month following the reporting month (by non-credit institutions).
* A trial balance according to the accounts of the credit institution (Form 0409101) shall be submitted on a monthly basis no later than business day fifteen (15) of the month following the reporting month.
* An income statement of the credit institution (Form 0409102) shall be submitted on a quarterly basis no later than business day fifteen (15) of the month following the reporting quarter.
* The balance sheet of the non-credit institution (Form 0710001), an income statement of the non-credit institution (Form 0710002) shall be submitted on a quarterly basis no later than forty five (45) calendar days following the reporting quarter save for Reports as at 01 January which shall be submitted no later than 15 April of the year following the reporting year.
* Information on the mandatory ratios of the Credit Institution (Form 0409135), a statement on numerical value of the ratio of single borrower or group of related party borrowers risk (N6) of the Credit Institution (based on data in Form 0409118) shall be submitted on a monthly basis no later than business day fifteen (15) of the month following the reporting month.
* The quarterly report of the Securities Market Professional Participant (Form No. 1100) shall be submitted on a quarterly basis by the following deadlines: for Q1- no later than 25 May of the current year: for Q2 – no later than 25 August of the current year; for Q3 – no later than 25 November of the current year; for Q4 – no later than 25 April of the next year.
	1. The Registration Card shall by submitted to the Exchange by the Trading Member at least once every six months with the current data as of the date of submission thereof for the following periods:
* from the first business day of the calendar year to 31 January of the same year;
* from the first business day of July to 31 July of the current year.

In an event the data in the Registration Card changes, the Trading Member shall be obligated to notify the Exchange of said changes within five (5) business days of the day of such changes by submitting an updated Registration Card in compliance with the requirements of Section VI hereof. Documents supporting the said changes shall be submitted to the Exchange in compliance with the Exchange by-laws.

As and when required the Exchange shall have the right to request Trading Members to submit the Registration Card. In such an event the Registration Card must be submitted within the timeline specified in the relevant request and, where such a timeline is not specified – within ten (10) business days of the receipt of such a request.

1.
2. PROCEDURE FOR COMPILING AND SUBMISSION OF INFROMATION AND REPORTS
	1. Information and reports submitted to the Exchange by Trading Members in compliance herewith shall be compiled taking into account the following requirements:
* Reports of credit institutions which are produced in accordance with forms 0409101, 0409102, 0409123 and 0409135, shall be submitted in the format corresponding to that of files formed in the KLIKO software (submitted to the Moscow Main Territorial Department of the Bank of Russia or the TC’s SHC (submitted to the Territorial Department of the Bank of Russia);
* Reports compiled in accordance with Form 0409118, a statement for credit organizations on numerical value of the ratio of single borrower or group of related party borrowers risk (N6) shall be submitted as an XML file formed in ARFA software, posted on the Exchange’s website ([www.[moex.com](http://moex.com/))](http://www.rts.micex.ru);
* Reports compiled in compliance with Forms 0710001 and 0710002 shall be submitted in XML-format file formed in PROFY software posted on the Exchange website ([www.[moex.com](http://moex.com/))](http://www.rts.micex.ru) or as a swap file (XML format), formed for electronic transmission of data on accounting reporting to tax authorities;
* Calculation of equity (capital) shall be submitted as an XML file formed in the PROFY software posted on the Exchange website ([www.[moex.com](http://moex.com/))](http://www.rts.micex.ru);
* A quarterly report of the professional securities market participant (according to Form No. 1100) shall be submitted in the format matching that of the file in the questionnaire software for Securities Market Professional Participants (provided by the Bank of Russia);
* The Registration Card shall be submitted as an XML file, formed in accordance with the Registration Card software posted on the Exchange website ([www.moex.com](http://www.moex.com)).

The Bank of Russia shall submit a balance sheet to the Exchange in hard copy as a copy certified by signature of the leader thereof or that of another authorised official and by the seal of the Bank of Russia and executed in compliance with the requirements hereof to the documents submitted by Trading Members in hard copy.

* 1. The Registration Card and reports shall be submitted by Trading Members to the Exchange in the form of electronic documents in an appropriate format or in the form of an electronic message supported by hard copy.
	2. The Registration Card and reports in the form of electronic documents are submitted by a Trading Member/Candidate admitted to the electronic data interchange in accordance with the EDI Rules subject to the following conditions:
		1. When the Registration Card or reports are sent electronic document, the files contained therein must be included in the electronic document in the form they were generated by the documenter in compliance with clause 4.1 hereof. The electronic document must be signed by the Trading Member/Candidate in compliance with the EDI Rules.
		2. The Registration Card and reports submitted to the Exchange in the form of electronic documents are assigned to the G category of documents in compliance with the EDI Rules of the Exchange.
		3. The formats of electronic documents used for submitting the Registration Card and reports in compliance with clause 4.1 hereof, are provided in Appendix No. 2 hereto.
		4. The Registration Card and reports in the form of electronic documents and electronic messages shall be sent by Trading Members/Candidates via email to the addresses of the Exchange posted on [www.moex.com](http://www.moex.com).
		5. Based on the results of submitting electronic documents to the Exchange by Trading Members/Candidates, the Exchange shall send the following electronic messages to the Trading Member via email:

a) a notification of the electronic document receipt as a result of the delivery of the message with the file with the report attached;

b) a statement on the outcome of the file with the report processing – as a result of the reports processing;

c) a notification of the receipt of the electronic document containing the Registration Card.

* + 1. Registration and storage of the Registration Card and reports received by the Exchange in the form of electronic documents shall be effected in compliance with the EDI Rules. Furthermore, the Exchange shall secure maintenance of an electronic log of electronic documents received from Trading Members as well as storage of the electronic documents per se in the electronic archive of the Exchange.
	1. The Registration Card and reports in hard copy are submitted Candidates that have not been admitted to the electronic data interchange as per the EDI Rules subject to the following conditions:
		1. The Candidate submits the Registration Card and reports with an electronic message in files produced in accordance with clause 4.1 hereof and support the documents with relevant hard copies.
		2. The Candidate must ensure correspondence of data in the Registration Card and reports submitted in an electronic message with data in the Registration Card and reports submitted in hard copy.
		3. The Registration Card and reports submitted by the Candidate in hard copy must be signed by an authorised official, the sheets must be bound, numbered and the seal affixed. No erasures and write-overs are allowed.
	2. The Registration Card and reports submitted by the Trading Member within the timeframes set out herein shall be processed within no more than three (3) business days of the date of receipt of said documents from the Trading Member.
	3. Information and reports shall be deemed submitted on a day on which they are received by the exchange provided that such information and reports meet requirements for their composition, form and format stated herein.
	4. If there are no comments to the Registration Card and reports submitted by a Candidate in hard copy, the Exchange informs the Candidate on results of the card and reports processing (if relevant request from the Candidate is available) by sending an electronic message to it within five (5) business days of receiving the request.
	5. In an event a Trading Member submits the Registration Card and reports that do not comply with the requirements set out herein for their composition, form or format, the Exchange, within no more than three (3) business days of processing of the documents received, shall notify the Trading Member by way of sending an electronic message thereto, of the need to eliminate violations of the requirements hereof. In this case, the Registration Card and reports are deemed non-submitted.
1. FINAL PROVISIONS
	1. Trading Members shall bear responsibility for invalid data and information submitted thereby as part of the Information and reports as well as violations of deadlines for submission thereof in compliance with the legislation of the Russian Federation, regulatory acts for financial markets, this procedure and other Exchange’s by-laws.
	2. Penalties levied on Trading Members failing to submit information and reports and meet the deadlines provided hereby for submission of information and reports are established by the Exchange’s by-laws.

# APPENDIX No. 1

**Registration Card Form**

**SE MICEX Trading Member Registration Card**

**Date \_\_\_\_\_\_\_\_\_\_\_\_\_ 20\_\_\_**

|  |  |  |
| --- | --- | --- |
| 1. | Company’s full name (from Charter) |  |
| 2. | Company’s short name (from Charter) |  |
| 3. | Company’s full name in English (from Charter, where unavailable – one used in practice) |  |
| 4. | Company’s short name in English (from Charter, where unavailable– one used in practice) |  |
| 5. | Form Codes for federal public statistical data assembly:  |  |
| 5.1. | OKPO (General Classifier of Enterprises and Organisations) |  |
| 5.2. | OKVED (Russian Classification of Economic Activity) |  |
| 5.3. | OKOGU (National Classifier of Government Entities and Administration) |  |
| 5.4. | OKFS (National Classifier of Forms of Ownership) |  |
| 5.5. | OKOPF (National Classifier of Organisational Legal Forms) |  |
| 5.6. | OKATO (National Classifier of Administrative Territorial Entities) |  |
| 6.  | State registration data: |  |
|  6.1 | Legal entity’s state registration date |  |
| 6.2 | OGRN (Primary State Registration Number)  |  |
|  6.3 | Primary State Registration Number (OGRN) entry date in Unified State Register of Legal Entities |  |
| 6.4 | Registration authority’s name |  |
| 6.5 | Registration place |  |
| 6.6 | Series and number of document evidencing state registration |  |
| 7. | INN (Taxpayer Identification Number) |  |
| KPP (Tax Registration Reason Code)  |  |
| KPP 2 (indicated by major taxpayers, if available) |  |
| 8. | BIK (Bank of Russia Identifier Code) |  |
| 9. | SWIFT code |  |
| 10. | Location (according to Articles of Association) |  |
| 11. | Actual address |  |
| 12. | Postal address (for correspondence) |  |
| 13. | Telephone |  |
| 14. | Fax |  |
| 15. | Email  |  |
| 16. | Web address  |  |
| 17. | Registered and paid-in (pooled) authorised capital or authorised fund value, property value |  |
| 18.  | Presence or absence of legal entity, its permanent executive body, other body or person authorised to act on legal entity’s behalf without power of attorney at legal address |  |
| 19. | Number of branches  |  |
| 20.[[1]](#footnote-1) | For regional Company –Moscow branch (representation office): |  |
| Postal address |  |
| Telephone |  |
| Leader’s full name |  |
| Leader’s position  |  |
| 21. | Licences to conduct professional activity (number, issuing authority, issuance date with specification of activity types, licence expiry date):  |  |
| 21.1 | To conduct banking operations |  |
| 21.2 | Securities Market Professional Participant: |  |
| Brokerage  |  |
| Dealership  |  |
| Securities Management |  |
| Depositary  |  |
| 21.3 | To conduct commodity futures and options deals on exchange trading (exchange intermediary)  |  |
| 21.4 | Licence to exchange trading intermediary to conclude contracts on exchange commodity-backed financial derivatives  |  |
| 22. | Data on structure and composition of legal entity’s governing bodies  |  |
| 22.1. | Highest governing body’s name |  |
| 22.1.1 | Participant (shareholder) list |  |
| 22.2. | Collegiate management body’s (council’s) name |  |
| 22.2.1 | Company’s collegiate management body (council) leader: |  |
| Full name  |  |
| 22.2.2 | Management body’s (council’s) compositionMembers’ full names: |  |
| 22.3. | Collegiate executive management body’s name |  |
| 22.3.1 | Collegiate executive management body’s composition:Members’ full names: |  |
| 23. | Company’s sole executive body (hereinafter – Company’s leader): |  |
| Full name |  |
| Position |  |
| Commission on appointment (name, date and number) |  |
| 23.1 | Data on effective qualification certificates of Company’s leader: |  |
| Date and number of decision minutes by Examining Board |  |
| Date and number of decision minutes by Certification Commission |  |
| Qualification Certificate series and number  |  |
| Qualification awarded |  |
| 24. | Company’s controller |  |
| Full name |  |
| Position  |  |
| Commission on appointment (name, date and number) |  |
| 24.1 | Data on effective qualification certificates of Company’s controller |  |
| Date and number of decision minutes by Examining Board |  |
| Date and number of decision minutes by Certification Commission |  |
| Qualification Certificate series and number |  |
| Qualification awarded |  |
| 25 | Personnel in charge of equity and bond market operations: |  |
| Full name |  |
| Position |  |
| Contact telephones |  |
| Email  |  |
| 26. | Data on presence (absence) of correspondent accounts with banks in states (territories) known not to comply with generally accepted standards for anti-money laundering and countering terrorism financing or foreign states (foreign territories) with a heightened level of corruption (to list countries if “available”) |  |
| 27. | Data on presence (absence) of correspondent accounts with banks in states (territories) offering preferential tax treatment and (or) not providing for disclosure or submission of information on conduct of financial operations (off-shore zones) (to list countries if “available’).  |  |
| 28. | Data on presence (absence) of correspondent accounts with banks in states or territories where information is available from international resources that drugs are illegally produced in or smuggled through territories thereof as well as states or territories allowing free circulation of drugs (save for states or territories using drugs solely for medical purposes) (to list countries if “available”). |  |
| 29. | Data on presence (absence) of accounts with shell banks (a shell bank is one registered in the jurisdiction of a state where said bank has no representation). If there are accounts opened for shell banks, specify their full names and account details.  |  |
| 30. | Personnel in charge of anti-money laundering and countering terrorism financing operations: |  |
|  | Full name |  |
| Position |
| Contact telephones |
|  | Email |  |
| 31. | Actions in anti-money laundering and countering terrorism financing |  |
| 32. | Purpose of establishing and contemplated nature of business relations between the Exchange and the company |  |
| 33. | Company’s business objectives  |  |
| 34.  | Company’s goodwill  |  |
| 35. | Data on individuals – beneficiary owners |  |

|  |  |
| --- | --- |
| Position |  |
| (Leader or any other authorised official\*) Seal | (Full name) |
| Drafted by, tel. |  |
| (Full name and telephone number) |  |

\* If the person signing the Registration Card acts on the basis of the power of attorney, the Registration Card must be accompanied by a notarised copy of the said power attorney authorizing the person to sign the Registration Card and consent to processing of personal data of the authorised person executed in compliance with the form posted on the Exchange website, unless provided otherwise by statutory requirements.

**Contact Data for SMS via IDS (Information Display System)**

|  |  |  |
| --- | --- | --- |
|  |  |  |
|  | Telephone number |  |
| Category |  |
| Owner’s full name  |  |
| Owner’s position Email  |  |
|  |  |  |

# APPENDIX No. 2

**FORMATS OF ELECTRONIC DOCUMENTS FOR SUBMISSION OF INFORMATION AND REPORTS**

* + 1. **Format of Electronic Document for Submission of the Registration Card of the Trading Member to SE MICEX**
	1. **OVERALL STRUCTURE OF XML DOCUMENT**

An electronic data file is formed as an XML document complying with the International XML 1.0 Specification of the World Wide Web Consortium. The file is a set of elements describing the values of parameters of the Registration Card.

1. **Formats of Electronic Documents for Submission of Reports by Credit Institutions to SE MICEX:**
	1. **The Trial Balance According to the Accounts**

**(Form 0409101)**

For credit institutions submitting Reports to the Moscow Main Territorial Department of the Bank of Russia

An electronic data file (Type - REGN\*.K31) is formed in a text format. The file consists of lines representing a sequence of symbols separated by commas, each of them describing several fields of a line of standard Form 0409101.

List of fields is given in Table 1.

Table 1

|  |  |
| --- | --- |
| **Field No.** | **Description** |
| 1 | Account number |
| 2 | Account attribute |
| 3 | Opening balance in Rubles |
| 4 | Opening balance (FX, precious metals) |
| 5 | Opening balance total |
| 6 | Debit turnover in Rubles |
| 7 | Debit turnover (FX, precious metals) |
| 8 | Debit turnover total |
| 9 | Credit turnover in Rubles |
| 10 | Credit turnover (FX, precious metals) |
| 11 | Credit turnover total |
| 12 | Closing balance in Rubles |
| 13 | Closing balance (FX, precious metals) |
| 14 | Closing balance total |

For credit institutions submitting Reports formed at the TC’s SHC to the Territorial Department of the Bank of Russia

An electronic data file is formed in a tab-separated text format. The file represents a sequence of lines, each of them describing several fields comprising part of a line in standard Form 0409101.

List of fields is given in Table 2.

Table 2

|  |
| --- |
| **Description** |
| BIK (Company’s Bank Identification Code) |
| Report date |
| Form identifier |
| Account number |
| Supplementary parameter/Parameter according to the account/form (in this Form) |
| Value of parameter according to a particular account  |

* 1. **Income Statement (Form 0409102)**

For credit institutions submitting Reports to the Moscow Main Territorial Department of the Bank of Russia

An electronic data file (Type - REGN\*.KG1) is formed in a text format. The file consists of lines representing a sequence of symbols separated by commas, each of them describing several fields comprising a line of standard Form 0409102.

List of fields is given in Table 3.

Table 3

|  |
| --- |
| **Description**  |
| Symbol number |
| Ruble transactions total value  |
| FX transactions total value  |
| Grand total |

For credit institutions submitting Reports formed at the TC’s SHC to the Territorial Department of the Bank of Russia

An electronic data file is formed in a tab-separated text format. The file represents a sequence of lines, each of them describing several fields comprising part of a line in standard Form 0409102.

List of fields is given in Table 4.

Table 4

|  |
| --- |
| **Description**  |
| BIK (Company’s Bank Identification Code) |
| Reporting date |
| Form identifier |
| Symbol number |
| Supplementary Parameter/ Amount type according to symbol (in this form) |
| Value of amount type according to a particular symbol |

* 1. **Calculation of Equity (Capital) (Basel III) (Form 0409123)**

For credit institutions submitting Reports to the Moscow Main Territorial Department of the Bank of Russia

An electronic data file (Type - REGN\*.KA1) is formed in a text format. The file consists of lines representing a sequence of symbols separated by commas, each of them describing several fields of a line in standard Form 0409123.

List of fields is given in Table 5.

Table 5

|  |
| --- |
| **Description**  |
| Line number |
| Closing balance on reporting date |

For credit institutions submitting Reports formed at the TC’s SHC to the Territorial Department of the Bank of Russia

An electronic data file is formed in a tab-separated text format. The file represents a sequence of lines, each of them describing several fields of a line in standard Form 0409123.

List of fields is given in Table 6.

Table 6

|  |
| --- |
| **Description**  |
| BIK (Company’s Bank Identification Code) |
| Reporting date |
| Form identifier  |
| Line number |
| Supplementary parameter |
| Closing balance on reporting date |

* 1. **Information on Mandatory Ratios (Form 0409135)**

For credit institutions submitting Reports to the Moscow Main Territorial Department of the Bank of Russia

An electronic data file (Type - REGN\*.KF1) is formed in a text format. The file consists of lines representing a sequence of symbols separated by commas, each of them describing several fields of a line in standard Form 0409135.

List of fields in the Form (Sections 1, 2b) is given in Table 7.

Table 7

|  |
| --- |
| **Description**  |
| Identification code |
| Value |

List of fields in the Form (Sections 2 and 2a) is given in Table 7a.

Table 7а

|  |
| --- |
| **Description**  |
| Indicator name |
| Indicator/ratio value (in shares) |

For credit institutions submitting Reports formed at the TC’s SHC to the Territorial Department of the Bank of Russia

Electronic data files are formed in a tab-separated text format. The files represent a sequence of lines, each of them describing several fields of a line in standard Form 0409135 ( Sections 1 and 2b are in one file, and Sections 2 and 2a in another one).

List of fields in the Form (Sections 1 and 2b) is given in Table 8.

Table 8

|  |
| --- |
| **Description**  |
| BIK (Company’s Bank Identification Code) |
| Reporting date |
| Form identifier |
| Breakdown code  |
| Breakdown parameter  |
| Value of parameter for a particular breakdown  |

List of fields in the Form (Sections 2 and 2a) is given in Table 8a

Table 8а

|  |
| --- |
| **Description**  |
| BIK (Company’s Bank Identification Code) |
| Reporting date |
| Indicator name |
| Parameter for indicator |
| Parameter value for given indicator /ratio (in shares)  |

* 1. **Statement on Numerical Value of Maximum Ratio of Single Borrower or Group of Related Party Borrowers Risk (H6) (According to Data in Form 0409118).**

An electronic data file is formed as an XML document complying with the International XML 1.0 Specification of the World Wide Web Consortium. The file represents a set of elements describing the values of parameters in the Statement on Numerical Value of Maximum Ratio of Single Borrower or Group of Related Party Borrowers Risk (H6).

List of elements in the Form is given in Table 9.

Table 9

|  |  |
| --- | --- |
| **Element**  | **Description**  |
| <form\_extra\_param> | Describes element group |
| <record> | Describes parameter name and value |
| <main> | Describes element group  |
| <pname> | Describes parameter name |
| <pvalue> | Describes parameter value |
| <regnumber> | Registration number with the Bank of Russia |
| < regcode > | Trading Member’s code (number) |
| <repdate> | Reporting date |
| <ftype> | Form type |
| <fname> | Form name |

List of parameters in the Form is given in Table 9a.

Table 9a

|  |  |
| --- | --- |
| **Parameter** | **Description**  |
| kapital | Capital value |
| krz | Borrower risk ratio value |
| h6 | Н6 value |

1. **Formats of Electronic Documents for Submission of Reports by Non-Credit Institutions to SE MICEX:**
2. **Balance Sheet (Form 0710001), Income Statement (Form 0710002),** **Calculation of Equity (Capital)**

An electronic data file is formed as an XML document complying with the International XML 1.0 Specification of the World Wide Web Consortium. The file is a set of elements describing the values of parameters of the standard Forms: Form No. 1, Form No. 2, Calculation of Equity (Capital).

List of elements and parameters in the Form is given in Table 10.

Table 10

|  |  |
| --- | --- |
| **Element** | **Description**  |
| <QuartalReport> | Describes element group |
| <QRP\_version> | Software version number |
| <REGDATA> | Describes element group of Company’s details |
| <BALANS> | Describes element group in Form No. 1 |
| <OTCH\_PU> | Describes element group in Form No. 2 |
| <SOB\_SREDSTVA> | Describes element group in Equity (Capital) Calculation Form  |
|  |  |
| <row> | Describes element group |
| <code> | Describes parameter name |
| <val1> | Describes parameter value |
| <val2> | Describes parameter value |
| <val3> | Describes parameter value |
| <val4> | Describes parameter value |

1. **Balance Sheet (Form 0710001), Income Statement (Form 0710002)**

An electronic data file is formed as an XML document complying with the International XML 1.0 Specification of the World Wide Web Consortium. The file is a set of elements complying with the requirements to XML files for electronic transmission of data on accounting reporting to the tax authorities.

1. **Form No. 1100 Quarterly Report of the Securities Market Professional Participant**

An electronic data file is formed as an XML document complying with the International XML 1.0 Specification of the World Wide Web Consortium. The file is a set of elements describing the values of parameters in Form No. 1100.

1. To be filled in by a regional Company with a representation office in Moscow. [↑](#footnote-ref-1)