

**APPROVED
by Order of
the Chairman of the Board
of SPB Bank,
Public Joint-Stock Company
No. 01-07-26/02**

List of Documents Required for Entry Into Depository Agreement, Agreement with a Securities Account Trustee, Appointment of a Securities Account Operator, Opening of a Securities Sub-Account for the Depository's Clients, as Well as Additional Requirements to the Disclosure of Beneficiaries at Provision of Depository Services, as Well as in Case of Changes in the Submitted Information.

1. For SPB Bank, PJSC to make a decision on entry into a depository agreement with a legal entity being a non-resident of the Russian Federation:

| No. | Document Title | Form of Presentation |
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| 1. | Application for Accession to SPB Bank, PJSC Depository Activities Terms and Conditions in the form established by the Bank and posted on the Bank's website, bearing a signature of the legal entity's sole executive or authorized representative | Original document |
| 2. | Questionnaire of the Bailor / Depository's Client being a legal entity in the form established by the Bank and posted on the Bank's website, bearing a signature of the legal entity's sole executive or authorized representative | Original document |
| 3. | <p>Questionnaire of the Client being a non-resident legal entity (for a non-resident legal entity) or Questionnaire of the Client being a credit institution (for a non-resident legal entity being a credit institution) (hereinafter — the "Client's Questionnaire"), in the form established by the Bank and posted on the Bank's website, bearing a signature of the non-resident legal entity's sole executive or authorized representative.</p> <p>For the purposes of the Client's Questionnaire, beneficial owners are persons who directly or indirectly (through third parties) own (have a majority equity holding exceeding 25 percent) or have the ability to control the organization's activities.</p> <p>In the absence of such persons, a corresponding written confirmation shall be presented bearing a signature of the sole executive (head) of the non-resident legal entity.</p> <p>No Information regarding the beneficial owner shall be provided:</p> <ul style="list-style-type: none">– By international organizations;– By the issuers of securities admitted to on-exchange trading, which disclose information according to the Russian law on securities;– By the foreign organizations whose securities have been listed on a foreign exchange entered on the list approved by the Bank of Russia. <p>If the beneficial owner (his/her relative) is a public official**, a "Questionnaire of Public Official, Relative of a Public Official, Person Acting on Behalf of a Public Official" shall be executed for the beneficial owner in the form established by the Bank and posted on the Bank's website, bearing a signature of the non-</p> | |

| No. | Document Title | Form of Presentation |
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| | resident's head / non-resident's authorized representative acting on the basis of a power of attorney confirming the person's powers. | |
| 4. | "Questionnaire of the Individual Representative", "Questionnaire of the Representative Being a Resident Legal Entity", "Questionnaire of the Representative Being a Non-Resident Legal Entity" as per the form established by the Bank and posted on the Bank's website, bearing a signature of the legal entity's sole executive / the legal entity's authorized representative acting on the basis of a power of attorney confirming the person's powers. "Questionnaire of the Client's Representative" shall be executed for each person / entity which, when effecting a transaction, acts in the name and on behalf of or at the expense of the legal entity, and whose powers are based on a power of attorney, act of a competent public or local authority, or law; "Questionnaire of the Client's Representative" shall also be executed for the sole executive of a legal entity. | original document |
| 5. | Constituent documents, including all registered alterations therein and additions thereto, according to the law of the non-resident's country of incorporation | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 6. | Certificate of Registration of a Foreign Legal Entity With a Local Tax Authority in the Russian Federation, as provided for by the Russian law. | a notarized copy, or a copy certified by an authorized person of the non-resident legal entity (subject to submission of the original document to the Bank), or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 7. | Certificate of Registration of a Foreign Organization With a Tax Authority, or another document issued by the tax authority as provided for by the law of the non-resident legal entity's country of incorporation | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 8. | A document confirming the state registration of a non-resident legal entity: an extract from the commercial register of the non-resident legal entity's country of incorporation, or another document confirming the legal entity's legal status as provided for by the law of the non-resident legal entity's country of incorporation. | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 9. | Permit to open an account with the Bank issued by the National (Central) Bank of the non-resident legal entity's country of incorporation, if such permit is required under the international treaties to which the Russian Federation is a party, or under the law of the non-resident legal entity's country of incorporation. | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 10. | A document confirming the election (appointment) of the sole executive (head) of a non-resident legal entity, or persons given the powers of the sole executive of a non-resident legal entity. | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 11. | <p>Extract from the employment contract (agreement) of the sole executive, containing information regarding the term of the employment contract (agreement) of the head of the non-resident legal entity, or, if the functions of the sole executive are discharged by several persons, for all persons given the powers of the sole executive of the non-resident legal entity in accordance with the non-resident legal entity's constituent documents.</p> <p>The said document shall be submitted to the Bank, only if the period for which the above persons are elected (appointed) is not specified in the constituent documents or in any documents on the election (appointment) of the non-resident legal entity's sole</p> | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |

| No. | Document Title | Form of Presentation |
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| | executive. | |
| 12. | <p>Identity document of the person (persons) given the powers of the legal entity's sole executive.</p> <p>If the said persons are foreign citizens or stateless persons, they shall additionally submit to the Bank the following documents (if provided for by the Russian law and by any international treaties to which the Russian Federation is a party):</p> <p>a document confirming the right of a foreign citizen or stateless person staying in the Russian Federation to stay (reside) in the Russian Federation (arrival-departure record in the absence of any other documents)</p> | <p>a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available)</p> <p>A copy of identity document of a foreign citizen or stateless person executed in any foreign language should be submitted to the Bank together with a duly certified translation into Russian.</p> |
| 13. | <p>Power of attorney confirming the powers of the person that has signed the Application for Accession, Questionnaires and documents specified in Clauses 2-4, 20-27 of this table on behalf of the non-resident legal entity</p> | <p>original document, notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available)</p> |
| 14. | <p>Identity document of the person that has signed the Application for Accession, Questionnaires and documents specified in Clauses 2-4, 20-27 of this table on behalf of the non-resident legal entity</p> <p>If the said person is a foreign citizen or stateless person, he/she shall additionally submit to the Bank the following documents (if provided for by the Russian law and by any international treaties to which the Russian Federation is a party):</p> <ul style="list-style-type: none"> • a document confirming the right of a foreign citizen or stateless person staying in the Russian Federation to stay (reside) in the Russian Federation (arrival-departure record in the absence of any other documents) | <p>a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available)</p> <p>A copy of identity document of a foreign citizen or stateless person executed in any foreign language should be submitted to the Bank together with a duly certified translation into Russian.</p> |
| 15. | <p>Ownership structure of a non-resident (disclosed up to the individuals that ultimately, directly or indirectly (through third</p> | |

| No. | Document Title | Form of Presentation |
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| | <p>16.1.1.1. Legal entities whose period of activities <u>exceeds three months after the state registration</u> shall submit information / documents listed in one or more of the following clauses (at their discretion):</p> <ul style="list-style-type: none"> • data of the annual financial statements (balance sheet, profit and loss statement) as of the reporting date preceding the date of submission to the Bank for undertaking to service; statements shall be accepted by the Bank, provided that they bear a note of acceptance by a tax authority or bear no such note, but are accompanied by a copy of the receipt of certified mail with a list of enclosures (if sent by mail) or by a copy of the confirmation of dispatch thereof as hard copies (if submitted in electronic format); • annual (or quarterly) tax return for any tax as of the reporting date preceding the date of submission to the Bank for undertaking to service, bearing a note of acceptance by a tax authority or bearing no such note, but accompanied by a copy of the receipt of certified mail with a list of enclosures (if sent by mail) or by a copy of the confirmation of dispatch thereof as hard copies (if submitted in electronic format); • auditor's report regarding the annual report for the last year, which confirms reliability of the financial (accounting) statements and compliance of the accounting procedure with the Russian law / international financial reporting standards; • an extract from the register of revenues and expenditures for three months preceding the date of submission to the Bank for undertaking to service; • a certificate confirming fulfillment by the taxpayer (levy payer, withholding agent) of the obligation to pay taxes, levies, penalties, fines, issued by a tax authority (the period from the date of issue of the certificate to the date of submission to the Bank for undertaking to service should not exceed six months); • data regarding the non-resident legal entity's rating posted on the websites of international (Standard & Poor's, Fitch Ratings, Moody's Investors Service, etc.) or national rating agencies; <p>16.1.1.2. Legal entities whose period of activities is <u>less than three months after the state registration</u> shall submit information / documents listed in one or more of the following clauses (at their discretion):</p> <ul style="list-style-type: none"> ▪ data of the annual financial statements (balance sheet, profit and loss statement) as of the reporting date preceding the date of submission to the Bank for undertaking to service; statements shall be accepted by the Bank, provided that they bear a note of acceptance by a tax authority or bear no such note, but are accompanied by a copy of the receipt of certified mail with a list of enclosures (if sent by mail) or by a copy of the confirmation of dispatch thereof as hard copies (if submitted in electronic format); ▪ annual (or quarterly) tax return for any tax, bearing a note of acceptance by a tax authority or bearing no such note, but accompanied by a copy of the receipt of certified mail with a list of enclosures (if sent by mail) or by a copy of the confirmation of dispatch thereof as hard copies (if submitted in electronic format); ▪ extract from the register of revenues and expenditures for the period from the date of state registration, but no less than for a full month; | <p>financial estimates for 6 months, extract from the register of revenues and expenditures shall be certified by signature of the non-resident legal entity's authorized person, with a seal affixed (if any); certificate of tax liability fulfillment by the non-resident legal entity shall be submitted as original document, information regarding the rating, as well as information regarding the absence of any insolvency (bankruptcy) proceedings, valid insolvency (bankruptcy) judgments, or liquidation procedures against the non-resident legal entity as of the date of execution of an application for undertaking to service shall be specified by the non-resident legal entity at completion of the Client's Questionnaire or in a free-format letter.</p> |

| No. | Document Title | Form of Presentation |
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| | <ul style="list-style-type: none"> ▪ financial estimates for 6 months (in the form established by the Bank) following the date of execution of an application for undertaking to service; ▪ interim financial statements (balance sheet and profit and loss statement as of the last reporting date); ▪ a certificate confirming fulfillment by the taxpayer (levy payer, withholding agent) of the obligation to pay taxes, levies, penalties, fines, issued by a tax authority. <p>16.1.2. For non-resident legal entities not being taxpayers of the Russian Federation: information / documents listed in one or more of the following clauses shall be submitted (at their discretion):</p> <ul style="list-style-type: none"> ▪ auditor's report regarding the annual report for the last year; ▪ data regarding the non-resident legal entity's rating posted on the websites of international (Standard & Poor's, Fitch Ratings, Moody's Investors Service, etc.) or national rating agencies; ▪ annual (quarterly) financial statements or a tax return for any tax for the last reporting period as required by the law of the non-resident legal entity's country of incorporation; ▪ information regarding the absence of any insolvency (bankruptcy) proceedings, valid insolvency (bankruptcy) judgments, or liquidation procedures against the non-resident legal entity as of the date of submission to the Bank for undertaking to service (such information shall be submitted to the Bank in written form bearing a signature of the non-resident legal entity's authorized person, in case if the non-resident legal entity is under no obligation to submit any financial statements or tax returns and information regarding its rating at the place of its incorporation or activities, and in case if the time for the first submission of financial statements or tax returns has not come yet). <p>16.2. Documents / information regarding financial standing to be submitted by non-residents being credit institutions (information / documents listed in one or more of the following clauses shall be submitted (at the non-residents' discretion)):</p> <ul style="list-style-type: none"> ▪ Annual (quarterly) financial statements or a tax return for any tax for the last reporting period as required by the law of the country of incorporation of a non-resident credit institution; ▪ Auditor's report for the last financial year; ▪ Data regarding the credit institution's rating posted on the websites of international (Standard & Poor's, Fitch Ratings, Moody's Investors Service, etc.) or national rating agencies. | |
| 17. | <p>Information regarding the non-resident legal entity's business standing (reviews prepared in any written format)*:</p> <ul style="list-style-type: none"> • reviews about the non-resident legal entity from other clients of the Bank which have business relations with the non-resident, or • reviews from other credit institutions by which the non-resident legal entity had been serviced earlier or is being serviced, including information regarding the non-resident legal entity's business standing from such credit institutions. <p>Review from an entity for which a clearing securities account has been opened with the Bank shall be acceptable.</p> | <p>Original document, a notarized copy, or a copy certified by an authorized person of the non-resident legal entity (subject to submission of the original document to the Bank), or a copy certified by an authorized officer of the Bank (if the original document is available)</p> |

| No. | Document Title | Form of Presentation |
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| | <p>* If it is impossible to obtain any reviews from the said entities, the legal entity shall submit the relevant written explanation to the Bank. In this case, the legal entity shall submit reviews from its counterparties (current or potential) and/or from any associations, unions, groups, self-regulatory organizations of which the legal entity is a member. If less than three months have passed after the state registration of a legal entity, business standing reviews regarding the legal entity's beneficial owners and/or regarding the legal entity's members / shareholders (having an equity holding of at least 25 %) may be submitted to the Bank.</p> <p>A non-resident legal entity shall have the right to defer the submission of business standing reviews for up to 10 working days, if the entity needs extra time to obtain and submit such reviews to the Bank. To get a deferral, a Letter of Guarantee (in the form established by the Bank) signed by the non-resident shall be sent to the Bank.</p> <p>The period from the date of review execution to the date of its submission to the Bank should not exceed three months.</p> <p>A review about the non-resident's business standing should include the following information:</p> <ul style="list-style-type: none"> - Name and Taxpayer Identification Number (INN) (Foreign Company Code (KIO)) or registration number of the non-resident. - The nature of contractual relationship entered into e.g. contracts for supply of goods (execution of works, provision of services) with the entity that has issued the review; the non-resident employs settlement / brokerage / depository services from the entity that has issued the review, etc.). - Confirmation of the fact that the non-resident has fulfilled any assumed obligations. - Subjective opinion of the entity that has issued a review about the non-resident's business standing (e.g. description of the non-resident as a bona fide and reliable partner). | |
| 18. | Questionnaire of the legal entity (including any organization of the financial market) in the form posted on the Bank's website. | Original document signed by the non-resident legal entity's authorized person |
| 19. | The Wolfsberg Questionnaire (to be completed by credit institutions) | Original document signed by the non-resident legal entity's authorized person |
| 20. | A free-format letter regarding the completion by a non-resident not being a credit institution of the AML (Anti Money Laundering) procedures (if the obligation to comply with the AML procedures is provided for by the law of its country of incorporation) | Original document signed by the non-resident legal entity's authorized person |
| 21. | <p>“Questionnaire of the Individual Beneficiary”, “Questionnaire of the Beneficiary Being a Legal Entity”, “Questionnaire of the Beneficiary Being a Private Entrepreneur” (if any) in the form established by the Bank*.</p> <p>*- shall not be submitted if the Client is:</p> <ul style="list-style-type: none"> - a foreign resident bank being a member of the Financial Action Task Force on Money Laundering (FATF), having a rating assigned by a Russian credit rating agency or by an international rating agency¹, and entered on the list (register) of active credit institutions of the corresponding foreign state. - an organization carrying out operations with money or other assets, specified in Article 5 of Federal Law dated 07.08.2001 No. 115-Φ3 “On Combating Legalization | Original document signed by the non-resident legal entity's authorized person |

¹ For reference: Moody's Investors Service, Standard & Poor's, Fitch Ratings.

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| | (Laundering) of Criminally Gained Income and Financing of Terrorism”,, and the beneficiary is a client of such client. Copies of the documents confirming any information specified in the “Beneficiary’s Questionnaire” shall also be submitted. | |
| 22. | A form confirming the status of a tax resident (for a legal entity, including an unincorporated foreign organization) | Original document |
| 23. | Form W-8BEN-E (in English) Confirmation of the status of beneficiary for U.S. tax withholding and reporting (for non-US legal entities) | Original document |
| 24. | Form W-9 (in English) Certificate of Foreign Status of Beneficial Owner for US Tax Withholding and Reporting (to be filled out by US residents for tax purposes) | Original document |
| 25. | Application for withholding of tax on the payment of income from any securities of U.S. issuers, covered by the provisions of Chapters 3 and 4 of the U.S. Internal Revenue Code, on the owner’s securities accounts from the Bailor of SPB Bank, PJSC not being a US resident for tax purposes. (Application of the bailor’s owner) | Original document |

Documents submitted by the legal entities, incorporated under the law of a foreign state, and issued by a foreign authority should be duly legalized / apostilled and translated into Russian; the accuracy of translation and the translator’s signature should be notarized.

Legalization of documents shall not be required for the countries:

being parties to the Hague Convention of 1961 Abolishing the Requirement of Legalization for Foreign Public Documents (subject to an apostille affixed to the document itself or to a separate sheet by the competent authority of a foreign state as required by the Convention);

being parties to the Convention of 1993 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases, and to the Convention of 2002 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases.

For the purposes of opening a securities account of a foreign nominee holder, in addition to the documents specified in Paragraph 1 of this Clause, a legal entity being a non-resident of the Russian Federation shall submit the following documents to the Bank:

| No. | Document Title | Form of Presentation |
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| 1. | Declaration of the legal entity being a non-resident of the Russian Federation that, according to the proper law of such legal entity being a non-resident of the Russian Federation, it is entitled to record and transfer rights to securities, bearing a signature of the organization’s authorized person. | Original document |
| 2. | License / Permit (document) issued to the non-resident legal entity by an authority of the non-resident legal entity’s country of incorporation to confirm the non-resident legal entity’s right to carry out depositary activities. | Original document, or a notarized copy, or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 3. | Application for withholding of tax on the payment of income from any securities of U.S. issuers, covered by the provisions of Chapters 3 and 4 of the U.S. Internal Revenue Code, on securities accounts of the nominee holder / trustee from the Bank’s Bailor having no status of a Qualified Intermediary under the U.S. Internal Revenue Code. It shall be submitted at opening of an account for effective transactions with US securities. | Original document |
| 4. | Form W-8IMY (in English) Confirmation of the status of foreign intermediary, foreign flow-through entity, or certain U.S. branches for United States tax | Original document |

| No. | Document Title | Form of Presentation |
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| | withholding and reporting | |

Documents submitted by the legal entities, incorporated under the law of a foreign state, and issued by a foreign authority should be duly legalized / apostilled and translated into Russian; the accuracy of translation and the translator's signature should be notarized.

Legalization of documents shall not be required for the countries:

being parties to the Hague Convention of 1961 Abolishing the Requirement of Legalization for Foreign Public Documents (subject to an apostille affixed to the document itself or to a separate sheet by the competent authority of a foreign state as required by the Convention);

being parties to the Convention of 1993 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases, and to the Convention of 2002 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases.

A document copy certified by the Client shall contain: a signature of the person that certified the document copy, his/her surname, name, patronymic (if any), position, impression of a seal (if any).

For the purposes of opening a securities account of a foreign authorized holder, in addition to the documents specified in Paragraph 1 of this Clause, a legal entity being a non-resident of the Russian Federation shall submit the following documents to the Bank:

| No. | Document Title | Form of Presentation |
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| 1. | Declaration of the legal entity being a non-resident of the Russian Federation that, according to the proper law, it has the right, without being the securities owner, to carry out any legal and other actions with securities in its own name and for the benefit of other entities, as well as to exercise any securities-related rights, bearing a signature of the organization's authorized person. | Original document |
| 2. | License / Permit (document) <u>(if available)</u> issued to the non-resident legal entity by an authority of the non-resident legal entity's country of incorporation to confirm that the non-resident legal entity has the right, without being the securities owner, to carry out any legal and other actions with securities in its own name and for the benefit of other entities, as well as to exercise any securities-related rights, bearing a signature of the organization's authorized person. | Original document, or a notarized copy, or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 3. | Application for withholding of tax on the payment of income from any securities of U.S. issuers, covered by the provisions of Chapters 3 and 4 of the U.S. Internal Revenue Code, on securities accounts of the nominee holder / trustee from the Bank's Bailor having no status of a Qualified Intermediary under the U.S. Internal Revenue Code. It shall be submitted at opening of an account for effective transactions with US securities. | Original document |
| 4. | Form W-8IMY (in English) Confirmation of the status of foreign intermediary, foreign flow-through entity, or certain U.S. branches for United States tax withholding and reporting | Original document |

Documents submitted by the legal entities, incorporated under the law of a foreign state, and issued by a foreign authority should be duly legalized / apostilled and translated into Russian; the accuracy of translation and the translator's signature should be notarized.

Legalization of documents shall not be required for the countries:

being parties to the Hague Convention of 1961 Abolishing the Requirement of Legalization for Foreign Public Documents (subject to an apostille affixed to the document itself or to a separate sheet by the competent authority of a foreign state as required by the Convention);

being parties to the Convention of 1993 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases, and to the Convention of 2002 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases.

A document copy certified by the Client shall contain: a signature of the person that certified the document copy, his/her surname, name, patronymic (if any), position, impression of a seal (if any).

Should the Applicant have a standalone subdivision (branch, representative office) in the Russian Federation, the Applicant, in addition to the documents specified in Paragraphs 1 and 2 of this Clause shall submit the following documents to the Bank:

| No. | Document Title | Form of Presentation |
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| 1. | Regulations on the Representative Office or Branch of a Non-Resident Legal Entity | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 2. | Certificate of Registration of a Branch or Representative Office of a Non-Resident Legal Entity With a Local Tax Authority in the Russian Federation | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 3. | A document confirming the powers exercised by the head of branch or representative office of a non-resident legal entity | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 4. | Documents confirming the entry made in the Consolidated State Register of the Representative Offices of Foreign Companies Accredited in the Russian Federation, or in the State Register of Branches of Foreign Legal Entities Accredited in the Russian Federation (as provided for by the Russian law) | a notarized copy, or a copy certified by an authorized person of the non-resident legal entity (subject to submission of the original document to the Bank), or a copy certified by an authorized officer of the Bank (if the original document is available) |

Documents submitted by the legal entities, incorporated under the law of a foreign state, and issued by a foreign authority should be duly legalized / apostilled and translated into Russian; the accuracy of translation and the translator's signature should be notarized.

Legalization of documents shall not be required for the countries:

being parties to the Hague Convention of 1961 Abolishing the Requirement of Legalization for Foreign Public Documents (subject to an apostille affixed to the document itself or to a separate sheet by the competent authority of a foreign state as required by the Convention);

being parties to the Convention of 1993 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases, and to the Convention of 2002 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases.

A document copy certified by the Client shall contain: a signature of the person that certified the document copy, his/her surname, name, patronymic (if any), position, impression of a seal (if any).

2. For SPB Bank, PJSC to make a decision on the appointment of Securities Account (Securities Sub-Account) Holder / on the entry into a depository agreement with an individual RF citizen, foreign citizen or stateless person / on the opening of a securities sub-account for an individual:

| No. | Document Title | Form of Presentation |
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| 1. | Questionnaire of the Bailor / Depository's Client being an individual in the form established by the Bank and posted on the Bank's website, bearing the Bailor's signature | Original document |
| 2. | Passport of a citizen of the Russian Federation | A notarized copy or a copy certified by an officer of the Bank (if the original document is available) |
| 3. | Identity document of a foreign citizen, stateless person. The following documents shall be additionally submitted to the Bank by a foreign citizen, stateless person (if provided for by the Russian law and by the international treaties to which the Russian Federation is a party): a document confirming the right of a foreign citizen or stateless person staying in the Russian Federation to stay (reside) in the Russian Federation (arrival-departure record in the absence of any other documents). | A notarized copy or a copy certified by an officer of the Bank (if the original document is available) |
| 4. | Power of Attorney for the Securities Account Holder in the form set forth in Appendix No. 11 to the Terms and Conditions | Notarized original document or a notarized copy |
| 5. | Application for Accession to SPB Bank, PJSC Depository Activities Terms and Conditions in the form established by the Bank and posted on the Bank's website, bearing a signature of the legal entity's sole executive or authorized representative — at opening of a securities sub-account and in other cases provided for by the Terms and Conditions | Original document |
| 6. | Questionnaire of an individual (including any person engaged in private practice) and private entrepreneur, posted on the Bank's website | Original document |
| 7. | A form confirming the status of a tax resident (for an individual, including any person engaged in private practice, and private entrepreneur), posted on the Bank's website | Original document |
| 8. | Application for withholding of tax on the payment of income from any securities of U.S. issuers, covered by the provisions of Chapters 3 and 4 of the U.S. Internal Revenue Code, on the owner's securities accounts from the Bailor of SPB Bank, PJSC not being a US resident for tax purposes. (Application of the bailor's owner) | Original document |
| 9. | Form W-8BEN (in English) Certificate of Foreign Status of Beneficial Owner for US Tax Withholding and Reporting Individuals) | Original document |
| 10. | "Questionnaire of an Individual Representative" in the form established by the Bank and posted on the Bank's website (to be filled out for the Securities Account (Securities Sub-Account) Holder or for another representative of the Client (if any) | original document |
| 11. | "Questionnaire of Public Official, Relative of a Public Official, Person Acting on Behalf of a Public Official" in the form established by the Bank and posted on the Bank's website, bearing a signature of the Client / representative of the Client (if any). | |

| No. | Document Title | Form of Presentation |
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| | To be filled out if the Client / representative of the Client is a public official**. | |

| No. | Document Title | Form of Presentation |
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| 12. | <p>“Questionnaire of the Individual Beneficiary”, “Questionnaire of the Beneficiary Being a Legal Entity”, “Questionnaire of the Beneficiary Being a Private Entrepreneur” (if any) in the form established by the Bank*.</p> <p>Copies of the documents confirming any information specified in the “Beneficiary’s Questionnaire” shall also be submitted.</p> | |

Documents executed (in full or in part) in a foreign language (except for any identity documents of an individual issued by the competent authorities of foreign states, executed in several languages, including Russian) shall be submitted to the Bank with a duly certified translation into Russian.

The requirement to submit documents with a duly certified translation into Russian shall not apply to any identity documents of an individual issued by the competent authorities of foreign states, provided that the individual has a document confirming his/her right of lawful stay in the Russian Federation (e.g. visa, arrival-departure record).

3. Appointment of the Securities Account (Securities Sub-Account) Operator shall be carried out based on the following documents:

| No. | Document Title | Form of Presentation |
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| 1. | Registered constituent documents (Charter), including any valid alterations therein and additions thereto. | a notarized copy, or a copy certified by the Bailor’s authorized person, or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 2. | Certificate and/or form of record in the Unified State Register of Legal Entities on making an entry regarding the state registration of amendments made to constituent documents of a legal entity. | a notarized copy, or a copy certified by the Bailor’s authorized person, or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 3. | <p>Documents confirming the state registration of a legal entity:</p> <p>1) for legal entities registered before 01.07.2002: Certificate of Making an Entry in the Unified State Register of Legal Entities Regarding a Legal Entity Registered Before July 1, 2002, as per Form P 57001;</p> <p>2) for legal entities registered from 01.07.2002 to 03.07.2013 (inclusive): Certificate of State Registration of a Legal Entity as per Form P 51001;</p> <p>3) for legal entities registered as from 04.07.2013: Certificate of State Registration of a Legal Entity as per Form P 51003;</p> <p>4) for non-profit organizations: Certificate of State Registration of a Non-Profit Organization in the form set forth in the Appendix to Order of the Ministry of Justice of the Russian Federation No. 244 dated 03.08.2009.</p> | a notarized copy, or a copy certified by the Bailor’s authorized person, or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 4. | Certificate of Registration of a Russian Organization With a Local Tax Authority in the Russian Federation | a notarized copy, or a copy certified by the Bailor’s authorized person, or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 5. | A document confirming the election (appointment) of the sole executive of a legal entity in accordance with the legal entity’s constituent documents. The specified position should correspond to that specified in the Charter and in the order on entry into office. | a notarized copy, or a copy certified by the Bailor’s authorized person, or a copy certified by an authorized officer of the Bank (if the original document is available) |

| No. | Document Title | Form of Presentation |
|-----|--|--|
| 6. | A power of attorney confirming the powers of the person authorized to act on behalf of a legal entity | Original document, notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 7. | “Questionnaire of the Representative of the Client Being a (Resident) Legal Entity”, “Questionnaire of the Representative of the Client Being a (Non-Resident) Legal Entity”, executed by the Bank’s client for the Securities Account (Securities Sub-Account) Operator | Original document |
| 8. | Questionnaire of the legal entity (including any organization of the financial market) has been posted on the Bank’s website | Original document |
| 9. | A form confirming the status of a tax resident (for a legal entity, including an unincorporated foreign organization) | Original document |
| 10. | Form W-8BEN-E (in English) Confirmation of the status of beneficiary for U.S. tax withholding and reporting (for non-US legal entities) | Original document |
| 11. | Form W-9 (in English) Certificate of Foreign Status of Beneficial Owner for US Tax Withholding and Reporting (to be filled out by US residents for tax purposes). | Original document |
| 12. | Form W-8IMY (in English) Confirmation of the status of foreign intermediary, foreign flow-through entity, or certain U.S. branches for United States tax withholding and reporting | Original document |

4. A list of documents to be submitted to the Bank in case of any amendments made to the previously submitted documents for legal entities being non-residents of the Russian Federation*:

| No. | In case of amendments made to the constituent documents, replacement of the sole executive (executive board, chairman of the executive board) | |
|-----|---|-------------------|
| 1. | Questionnaire of the Bailor / Depository’s Client being a legal entity in the form established by the Bank and posted on the Bank’s website, bearing a signature of the legal entity’s sole executive or authorized representative (<i>the Questionnaire shall be submitted together with Appendix No. 12 to SPB Bank, PJSC Depository Activities Terms and Conditions</i>) | Original document |
| 2. | Questionnaire of the Client being a non-resident legal entity (for a non-resident legal entity) and/or Questionnaire of the Client being a credit institution (for a non-resident legal entity being a credit institution) (hereinafter — the “Client’s Questionnaire”), in the form established by the Bank and posted on the Bank’s website, bearing a signature of the non-resident’s head/non-resident’s authorized representative acting on the basis of a power of attorney confirming the person’s powers. For the purposes of the Client’s Questionnaire, beneficial owners are persons who directly or indirectly (through third parties) own (have a majority equity holding exceeding 25 percent) or have the ability to control the organization’s activities. In the absence of such persons, a corresponding written confirmation shall be presented bearing a signature of the sole executive (head) of the non-resident legal entity. No Information regarding the beneficial owner shall be provided: <ul style="list-style-type: none"> – By international organizations; – By the issuers of securities admitted to on-exchange trading, which disclose information according to the Russian law on securities; – By the foreign organizations whose securities have been listed on a foreign exchange entered on the list approved by the Bank of Russia. | Original document |

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| 3. | <p>“Questionnaire of the Individual Representative”, “Questionnaire of the Representative Being a (Resident) Legal Entity”, “Questionnaire of the Representative Being a (Non-Resident) Legal Entity” in the form established by the Bank and posted on the Bank’s website, bearing a signature of the legal entity’s sole executive / the legal entity’s authorized representative acting on the basis of a power of attorney confirming the person’s powers. “Questionnaire of the Client’s Representative” shall be executed for each person / entity which, when effecting a transaction, acts in the name and on behalf of or at the expense of the legal entity, and whose powers are based on a power of attorney, act of a competent public or local authority, or law; “Questionnaire of the Client’s Representative” shall also be executed for the sole executive of a legal entity.</p> | Original document |
| 4. | Constituent documents, including all valid registered amendments (Charter, Articles of Association or another document provided for by the law of the non-resident’s country of incorporation) | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 5. | A document confirming the election (appointment) of the sole executive (head) of a non-resident legal entity, or persons given the powers of the sole executive of a non-resident legal entity. | a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 6. | <p>Identity document of the person (persons) given the powers of the non-resident legal entity’s sole executive.</p> <p>If the said persons are foreign citizens or stateless persons, they (except for the beneficial owner) shall additionally submit to the Bank the following documents (if provided for by the Russian law):</p> <ul style="list-style-type: none"> • arrival-departure record; • a document confirming the right of a foreign citizen or stateless person to stay (reside) in the Russian Federation | <p>a notarized copy or a copy certified by an authorized officer of the Bank (if the original document is available)</p> <p>A copy of identity document of a foreign citizen or stateless person executed in any foreign language should be submitted to the Bank together with a duly certified translation into Russian.</p> |
| 7. | <p>An extract from the employment contract (agreement) of the sole executive, containing information regarding the term of the employment contract (agreement).</p> <p>The said document shall be submitted to the Bank, only if the period for which the sole executive is elected is not specified in the legal entity’s constituent documents or in any document on the election (appointment) of the sole executive.</p> | a notarized copy, or a copy certified by an authorized person of the legal entity (subject to submission of the original document to the Bank), or a copy certified by an authorized officer of the Bank (if the original document is available) |
| 8. | <p>“Questionnaire of the Individual Beneficiary”, “Questionnaire of the Beneficiary Being a Legal Entity”, “Questionnaire of the Beneficiary Being a Private Entrepreneur” (if any) in the form established by the Bank.</p> <p>Copies of the documents confirming any information specified in the “Beneficiary’s Questionnaire” shall also be submitted.</p> | Original document signed by the non-resident legal entity’s authorized person |
| 9. | <p>“Questionnaire of Public Official, Relative of a Public Official, Person Acting on Behalf of a Public Official” in the form established by the Bank and posted on the Bank’s website, bearing a signature of the legal entity’s sole executive / the legal entity’s authorized representative acting on the basis of a power of attorney confirming the person’s powers.</p> <p>To be filled out, if the beneficial owner (relative of the beneficial owner) is assigned a status of public official**.</p> | |

Documents submitted by the legal entities, incorporated under the law of a foreign state, and issued by a foreign authority should be duly legalized / apostilled and translated into Russian; the accuracy of translation and the translator’s signature should be notarized.

Legalization of documents shall not be required for the countries:

being parties to the Hague Convention of 1961 Abolishing the Requirement of Legalization for Foreign Public Documents (subject to an apostille affixed to the document itself or to a separate sheet by the competent authority of a foreign state as required by the Convention);

being parties to the Convention of 1993 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases, and to the Convention of 2002 on Legal Aid and Legal Relations in Civil, Family and Criminal Cases.

A document copy certified by the Client shall contain: a signature of the person that certified the document copy, his/her surname, name, patronymic (if any), position, impression of a seal (if any).

5. SPB Bank, PJSC shall be entitled to request any other documents, including those required by the Procedure for Depository Accounting and Reporting for the Purpose of Compliance With the Requirements of the U.S. Internal Revenue Code by the Bailors of SPB Bank, PJSC When Gaining Income From Any Securities of the U.S. Issuers.

**** Public Official (PO)**

The term PO includes the following categories:

FPO — a foreign public official, i.e. any appointed or elected person holding any office in a legislative, executive, administrative or judicial body of a foreign state, or any person fulfilling any public function for a foreign state, particularly, for a public agency or state-owned enterprise, or a person that had held a public office earlier, and less than one year passed after he/she disclaimed responsibility.

OPIO — an official of a public international organization, or a person that had held a public office earlier, and less than one year passed after he/she disclaimed responsibility.

RPO — an individual who is serviced or undertaken to service and fills (holds) public offices in the Russian Federation, positions of the members of the Board of Directors of the Bank of Russia, offices at a federal public service, the appointment to which and dismissal is carried out by the President of the Russian Federation or by the Government of the Russian Federation, offices in the Bank of Russia, in government-owned corporations and other organizations set up by the Russian Federation based on federal laws, which have been entered on the lists of offices determined by the President of the Russian Federation; or a person that had held a public office earlier, and less than one year passed after he/she disclaimed responsibility.