

The order №47/04 of
the President of the National Bank of Georgia
May 5, 2016
Tbilisi

**On the approval of the rule for completing reports and presenting
information for the legalization of illicit income of the Securities
registrar and terrorist financing risk supervision**

Pursuant to the requirements of the paragraph 3rd of the article 48th, subparagraph “e” of the article 52nd of the Organic Law of Georgia “On the National Bank of Georgia” and subparagraph “a” of the article 4th of the Law of Georgia “Law of Georgia "On Facilitating the Prevention of Illicit Income Legalization” and paragraph 1st of the article 11 of same law, I **hereby order**:

Article 1. (27.06.2018 N 119/04)

The rule for completing reports and presenting information for the legalization of illicit income of the securities registrar and terrorist financing risk supervision shall be approved.

Article 2

This order shall take effect immediately upon publication.

The President of the National Bank of Georgia

Koba Gvenetadze

**The rule for completing reports and presenting information for the legalization of illicit income of the
securities registrar and terrorist financing risk supervision**

Article 1. Purpose and scope of the rule

1. The rule for completing reports and presenting information for the legalization of illicit income of the securities registrar and terrorist financing risk supervision (hereinafter referred to as the “Rule”) includes the principles of filling in the separate columns of the "Report of legalization of illicit income of the securities registrar and terrorist financing risk supervision" (hereinafter referred to as – “the report”) provided for in Annex No. 1 of this order, which require explanation as well as the manner of presentation of additional information to be provided by securities registrar.

2. The purpose of remote supervision of the risk of legalization of illicit income and terrorist financing (hereinafter referred to as – “Remote Supervision”) is to assess the risks of legalization of illicit income and terrorism financing in a particular securities registrar in accordance with the rules established by the National Bank of Georgia (hereinafter referred to as “National Bank of Georgia”), as well as, the adequacy of the internal control system of the registrar and, and taking into account the abovementioned appropriate supervisory measures should be taken.

3. In order to carry out remote supervision, the securities registrars operating in Georgia provide the National Bank with the information required by this rule in the prescribed form and within the time limits.

Article 2. Definition of terms

For the purposes of this rule, the terms have the following meanings:

- a) Entity– Both a resident and a non-resident natural or legal person, as well as an organizational formation provided for by the legislation of Georgia, which is not a legal entity;
- b) Resident natural person – a natural person who is a citizen of Georgia, as well as an individual entrepreneur;
- c) Non-resident natural person – a natural person who is a citizen of a foreign country, as well as a natural person without citizenship and a citizen of a foreign country who is registered as an individual entrepreneur in Georgia;
- d) Resident legal entity – legal entity, as well as any kind of organizational formation, created in accordance with the legislation of Georgia;
- e) Non-resident legal entity – legal entity, as well as any type of organizational formation, created in accordance with the legislation of a foreign country;
- f) Registered -created – in case of legal entity, having citizenship – in case of natural person;
- g) Issuer – person, which issues securities in accordance with the legislation;
- h) Registered person – a natural or legal person registered in the share register, who owns securities issued by the issuer;
- I) Client – any person (issuer and registered person) who applies to the registrar, depending on the main activity of the latter, for the services stipulated by the legislation of Georgia and/or uses the aforementioned services.
- J) Offshore zone - countries and territories defined by Annex No. 2; *(27.06.2018 N 119/04)*
- K) An operation (transaction) carried out without identification – an operation (transaction) during the implementation of which the person's name, surname, residency and unique identification number (personal number, and in the absence of it - document number) are not established. *(27.06.2018 N 119/04)*

Article 3. General provisions

1. The main columns of the reporting forms are filled by the registrar, and some of them are protected and filled automatically based on the information filled by the registrar.
2. The reporting form shall accurately and completely include the requested information according to the reporting period defined by the first paragraph of Article 17 of this rule.
3. The report shall include information on the volume of transactions (operations) carried out by clients during the reporting period, which is recorded in the national currency at the official exchange rate established by the National Bank on the date of the transaction.
4. The volume of the transaction (operation) includes the value provided by the contract of securities, declared in case of non-submission to the registrar of the contract, and in other cases the nominal value.
5. Information about blocking of transactions (operations) on personal accounts is not reflected in the reporting forms.
6. It is not allowed to repeat the data in the sub-factors in the reporting forms, except for the cases provided by paragraphs 23 and 24 of Article 10 of this rule.

7. When carrying out operations between the registrar's clients, the information is reflected in terms of both of them.

8. In the event that the client has the citizenship of another country along with the citizenship of Georgia, he/she is recorded in the report as a citizen of another country, and if in both cases, he/she is a citizen of a foreign country - as a citizen of the country that carries more risk in terms of legalization of illicit income and terrorism financing.

9. If the client has changed the risk level several times during the reporting period, it is recorded in the report according to the risk category assigned at the end of the reporting period.
(27.06.2018 N 119/04)

Article 4. Forms of report

The report includes the following forms:

- a) Information about the securities registrar (form No. 1);
- b) Information about the structure of the client base (form No. 2);
- c) Information about the residency of clients and transactions carried out by them (form No. 3)
- d) Information about the residency of clients (form No. 4);
- e) Information about clients identified based on a third party (form No. 5);
- f) Information about clients with high-risk activities and risk-bearing clients with various signs (form No. 6);
- g) Statistical information about the reports sent to the financial monitoring service (form No. 7);
- h) Information on reports sent with suspicious status (form N8);
- I) Information on sanctioned clients and suspended transactions (form No. 9);
- j) Information on the state of implementation of the recommendations of the National Bank of Georgia (form No. 10);
- k) Information about suspicious zones (form No. 11);

Article 5. Information on securities registrar (form №1)

1. The reporting form includes the name of registrar and the information about owner(s) of a significant share (10% and more), beneficial owner(s), director(s), person responsible for monitoring.

2. When reflecting information about members of the owners of a significant share, beneficial owners, directors, the person responsible for monitoring, identification data is indicated (in the case of a natural person, name, surname, personal number and citizenship, and in the case of a legal entity - Firm name, identification code and registration country).

3. The form also reflects the date of the last inspection (on-site inspection) carried out by the National Bank and information about the assessment. (27.06.2018 N 119/04)

4. The form also reflects information according to the data available at the end of the reporting period.

Article 6. Information on the structure of the client base (form No. 2)

- 1. The reporting form consists of factors and sub-factors. According to risk levels and other characteristics, the form should reflect information about the number of clients and the volume of transactions (operations) carried out in the reporting period.

2. In order to fill out the reporting form, registrar shall provide a classification of clients according to risk levels.

3. The reporting form includes the quantitative indicators of clients who are registered with the registrar during the reporting period, regardless of whether the transaction was carried out by them during the reporting period, as well as information about those clients who terminated business relations with the registrar during the reporting period.

Article 7. Information about clients' residency and transactions carried out by them (form No. 3)

1. Reporting form shall reflect information only about those clients who made transactions during the reporting period according to the residency.

2. The reporting form includes a quantitative indicator of issuers and registered natural and legal persons and information on the number and volume of transactions (operations) carried out by/for their benefit. The form also includes information on clients with whom business relations were terminated during the reporting period.

3. Column "other" shall reflect detailed information about persons registered in those countries/territories the list of which is not given in the form (indicating the name and code of the country/territory).

4. Regardless of the threshold amount established by the legislation regarding identification, if the registrar has the client's identification data, the information shall be reflected in the same form according to the residency.

5. Reporting form shall reflect differently information about transactions carried out without identification of the client during the reporting period.

Article 8. Information about client's residency (Form №4)

1. The reporting form reflects the information about the clients who are in a business relationship with the registrar during the reporting period according to residency, regardless of whether the transaction was carried out by them/for their benefit during the reporting period. The form also reflects information about those clients who have terminated business relations with the registrar during the reporting period.

2. Column "other" shall reflect detailed information about persons registered in those countries/territories the list of which is not given in the form (indicating the name and code of the country/territory).

3. Regardless of the threshold amount established by the legislation regarding identification, if the registrar has the client's identification data, the information shall be reflected in the same form according to the residency.

4. Information about clients who are not identified is reflected in the form in a differentiated manner.

Article 9. Information about clients identified based on a third party (form No. 5)

1. The form shall include the information about those clients, whose identification was carried out in accordance with the paragraph 11, of the Article 6 of the Law of Georgia "On Facilitating the Prevention of Illicit Income Legalization" (including clients identified through resident third parties/intermediaries (for example of brokerage companies)).

2. The form shall include the data of that organization (the name of the country of registration shall be identical to the name given in the list of countries established by the relevant reporting

forms), which the registrar relied on when identifying the person, as well as the number of clients identified in this form and data on the performed transactions.

3. The quantitative indicator of customers is reflected in full, regardless of whether the customer made a transaction during the reporting period. The form also includes information about clients who have terminated relations with the registrar during the reporting period.

Article 10. Information about clients with high-risk activities and risk-bearing clients with various signs (form No. 6)

1. The reporting form includes information on the number and volume of transactions of clients with high-risk activities, as well as risk-bearing clients with various signs.

2. The quantitative indicator of individuals is reflected in full, regardless of whether the client made a transaction during the reporting period. The form also includes information about clients who have terminated relations with the registrar during the reporting period.

3. Professional service providers include persons engaged in consulting, marketing and other similar professional activities, in addition to persons engaged in legal, accounting and auditing activities. (27.06.2018 N122/04)

4. Persons engaged in gambling activities include companies the activities of which are related to the sale of lottery tickets, the operation of gambling machines, the operation of virtual gambling websites, bookmaking and betting activities, and the operation of casinos (including "Floating casinos"). (27.06.2018 N122/04)

5. Activities related to precious metals, precious stones and their products, antiques and works of art, it also includes auctioneers, pawnbroker, jewelry, antiques and art stores.

6. The reporting form does not reflect information about artists and auction organizers defined by the Law of Georgia "On Enforcement Proceedings".

7. The form does not include information about companies created with the state's shared participation, the activities of which are the production and/or trade of weapons, ammunition, military equipment and transport (of parts), nuclear reactor materials, except for companies created with the shared participation of states determined as non-cooperative, cautionary or offshore zones. (27.06.2018 N119/04)

8. The information about the customers, whose activity is trade and/or production of chemical substances, does not include companies producing and/or selling household chemical products.

9. Organizations the activities of which are not focused on making a profit include grant issuers, charitable and humanitarian aid providers, religious and non-governmental organizations, foundations, federations, associations, etc.

10. Organizations the activities of which are not focused on making a profit do not include administrative bodies and organizations founded by them, as well as authoritative international financial institutions (EBRD, WB, IMF, etc.).

11. The sports clubs specified in the form include football, basketball and other similar types of clubs, except for sports and health complexes.

12. The form includes information about non-resident investment funds and companies. (27.06.2018 N119/04)

13. Removed (27.06.2018 N119/04)

14. The form includes information about holding companies the main activities of which is managing or controlling the activities of other enterprises.

15. The form includes information about non-resident asset management companies that manage and invest clients' funds (including pension savings). (27.06.2018 N119/04)

16. The form includes information about the trust service provider companies that act as a fiduciary, agent or trustee for the interests of a natural or legal person in order to administer, manage and further transfer assets to the beneficiary. (27.06.2018 N119/04);

16¹. Companies with a trust legal relationship include persons, in the ownership or management structure of which we have such a legal arrangement (for example., trust, fideicomiso, treuhand, fiducie)), where the settlor, trustee, beneficiary, and/or other persons (protector, etc.) are stated.

17. The form includes information about companies the main activity of which is related to trading with binary options on foreign currency or other trading instruments (Forex and binary options companies, etc.). (27.06.2018 N119/04)

18. Removed (27.06.2018 N119/04)

19. In the form, the quantitative indicator of persons shall include information about all clients participating in the transaction sent to the Financial Monitoring Service of Georgia with a suspicious status is reflected and in the transaction column, both the transaction sent with a suspicious status and the information about the total volume of the amount of the transactions carried out by the transaction parties with the registrar during the reporting period.

20. In the case of sending a report to the Financial Monitoring Service of Georgia with a suspicious status of a transaction attempt, the transaction volume will reflect both the amount of this particular transaction and the total volume of transactions carried out by the client(s) participating in the transaction during the reporting period.

20¹. Customers whose beneficial owner is a person registered in the Noteworthy/Offshore/Non-Cooperative Zones do not include customers registered in such zones. (27.06.2018 N119/04)

21. Companies are considered to have a complex ownership structure in the form, the determination of beneficial owners of which requires vertical studies of two or more legal entities. A branch and/or representative office of an enterprise is not considered a legal entity. (27.06.2018 N 119/04)

22. Registrar shall include information in the form on clients determined by it to be high risk according to the activities, if the criteria differ from the list given in the form.

23. If the client is at the same time a risk-bearer with several signs provided for in the form, the information is reflected in only one of the factors. Exceptions are the factors "persons about whom report was sent to the Financial Monitoring Service of Georgia with a suspicious status", "companies with a complex ownership structure" and "persons whose beneficial owners are registered in noteworthy/offshore/non-cooperative zones", in which the data repetition provided by the factors are allowed. (27.06.2018 N122/04) For example, if a professional service provider is at the same time with a complex ownership structure, information is reflected in both factors. (27.06.2018 N119/04)

24. If the client's characteristics simultaneously correspond to the factors "Persons about whom report was sent to the Financial Monitoring Service of Georgia with a suspicious status", "Persons whose beneficial owners are registered in the noteworthy/off-shore/non-cooperative zones" and "Companies with a complex ownership structure", the information is recorded in all three factors. (27.06.2018 N119/04)

Article 11. Statistical information on reports sent to the Financial Monitoring Service (form No. 7)

1. The reporting form includes statistical information on reports sent to the Financial Monitoring Service of Georgia in accordance with Article 9 of the Law of Georgia "On Facilitating the Prevention of Illicit Income Legalization".

2. Information about reports sent with a suspicious status is reflected differently, indicating the reason for sending the report with a suspicious status.

Article 12. Information on reports sent with suspicious status (form N8)

1. The reporting form includes additional information on reports sent to the Financial Monitoring Service of Georgia with suspicious status in accordance with Article 9 of the Law of Georgia "On Facilitating the Prevention of Illicit Income Legalization".

2. In order to fill out the form, the registrar shall ensure sorting of information given in reports sent with suspicious status according to the residency of the clients participating in the transaction and the status of the transaction ("Terrorism Financing," "Other"). *(27.06.2018 N 119/04)*

3. The form reflects information about all parties (clients) of the transaction (according to residency). *(27.06.2018 N 119/04)*

4. If "other" is marked in the status column, the basis for assigning this status shall be recorded in the additional information, and the data shall be recorded in separate columns in accordance with the basis. *(27.06.2018 N 119/04)*

Article 13. Information on sanctioned clients and suspended transactions (form No. 9)

1. The form includes the information about the number and residency of those clients whose property was confiscated in accordance with the court decision based on the petition of the government commission working on the issues of implementation of the resolutions of the UN Security Council during the reporting period.

2. The form also includes information on the number and residency of those clients, the execution of whose transactions was suspended based on the written instruction of the Financial Monitoring Service of Georgia during the reporting period.

3. The column "Other", shall include information about persons registered in those countries/territories, the list of which is not given in the form (indicating the name and code of the country/territory).

Article 14. Information on the state of implementation of the recommendations of the National Bank of Georgia (form No. 10)

1. The reporting form includes the recommendations determined as a result of both on-site inspection and remote supervision of the National Bank of Georgia and the status of their implementation.

2. The reporting form shall include each recommendation, the established implementation period, the implementation status, the measures taken and the implementation date.

3. In order to fulfill each recommendation, the information on the implemented measures described in the form should clearly reflect the measures taken by the registrar.

Article 15. Information on suspicious zones (Form №11)

1. The reporting form reflects the country or part of the country's territory, which was considered by the registrar to have a weak control mechanism for the legalization of illicit income (by indicating the country code).

2. The reporting form shall contain information on the date of classification of the country or a part of the country's territory as a suspicious zone about the basis and source, considering which it was considered as a suspicious area.

3. If a country/part of the country's territory, which is included in the list of countries specified in the relevant reporting forms, is considered a suspicious area, the name in the form should be indicated identically to the name in the list.

Article 16. Additional information to be presented by the securities registrar.

1. In addition to the reporting provided for in Annex No. 1 of this order, for the purpose of remote evaluation of the control system, the registrar shall submit to the National Bank all the policy-procedures and software descriptions developed in order to facilitate the legalization of illicit income and the prevention of terrorism financing.

2. The information provided by the first paragraph of this article is presented according to the reporting period defined by Article 17 of this rule, except for the cases defined by paragraph 3 of the same article.

3. Policy-procedures and software descriptions do not need to be presented repeatedly according to reporting periods, unless there are any changes in it, and in case of changes, only updated information is sent.

4. Other additional information can be requested from the registrar based on the relevant request of the National Bank.

5. The information specified in the first and fourth paragraphs of this article can be requested in the form of a questionnaire, the form of which is determined by the National Bank.

Article 17. Deadlines for submission of reports and additional information

1. The registrar submits the report to the National Bank for the following dates:

a) Reporting of the first half of the year (January - June) - no later than July 31 of the current year;

b) Reporting of the second half-year (July - December) - no later than January 31 of the year following the reporting period.

2. The policy-procedures and the description of the software provided by Article 16 of this rule shall be submitted by the registrar together with the report.

3. In order to schedule an on-site inspection of a specific registrar, taking into account changes in the management and/or ownership structure of the registrar, as well as other circumstances, it is possible to request reports and/or additional information ahead of time. However, the different frequency and intensity of reporting/information requests may be determined by the level of risk of legalization of illicit income of the registrar and terrorist financing.

4. In order to establish the authenticity of the reports submitted to the National Bank, the registrar is obliged to have an accounting system that ensures the reconstruction of the data reflected in the reports (27.06.2018 N119/04)

Article 18. Rules for submitting reports and additional information (27.06.2018 N119/04)

1. In accordance with the rule approved by the relevant order of the President of the National Bank, the registrar, within the terms specified in the first paragraph of Article 17 of this rule, uploads the report certified by electronic/digital signature to the "AML/CFT remote supervision portal" (hereinafter referred to as - the portal).

2. The reporting form is posted on portal.

3. The report is prepared in MSEXcel format. Violation of the reporting format and formulas posted on the portal is not allowed.

4. The registrar shall also submit to the National Bank, through the "correspondence" functionality of the portal, the information provided for in Article 16 of this rule within the terms specified in the first paragraph of Article 17 of this rule.

5. In order to facilitate the legalization of illicit income and the prevention of terrorism financing provided for in Article 16 of this rule, the policy-procedures existing in the registrar, as well as the changes made in the policy-procedures, are presented to the National Bank in the Georgian language, in the form of an officially signed and scanned document. If the original document is drawn up in a foreign language, the document translated into Georgian shall be submitted together with the signed and scanned document.

6. In the case of submitting the information provided for in paragraph 5 of the Article 16 of this rule by means of a questionnaire, the questionnaire shall be verified with an electronic/digital signature.

7. In case of interruption of the functioning of the portal, for reasons independent of registrar, in accordance with the requirements of this article, the reporting and/or the information provided for in Article 16 of this rule is delivered to the National Bank by complying with the requirements of this article in electronic form at the following address: aml.offsite@nbg.gov.ge.

Annex N1. (27.06.2018 N 119/04)

Reporting on legalization of illicit income and terrorism financing risk supervision of securities registrar

Form N1. Information about securities registrar

Name of the securities registrar	
The owner(s) of a significant share	
Beneficial Owner Person(s)	
Director(s)	
Person responsible for monitoring implementation/contact information	
The date of the last inspection carried out by the National Bank of Georgia	
The assessment given as a result of the last inspection carried out by the National Bank of Georgia	

Form N2. Information about the structure of the client base

Client base	Number of persons	Volume of transactions
Total	-	-
High-risk customers	-	-
A natural person - resident		
A resident legal entity		
Non-resident natural person		
Non-resident legal entity		

<u>Medium-risk customers</u>	-	-
A natural person - resident		
A resident legal entity		
Non-resident natural person		
Non-resident legal entity		
<u>Low-risk customers</u>	-	-
A natural person - resident		
A resident legal entity		
Non-resident natural person		
Non-resident legal entity		

Form N3. Information about the residency of clients and transactions carried out by them

Transaction carried out without identification				Number of the transactions			The volume of transactions			
Registration countries	County code	Issuers			Registered persons					
					Legal entities			Natural persons		
		Number of transactions	Volume of transactions	Number of issuers	Number of transactions	Volume of transactions	Number of legal entities	Number of transactions	Volume of transactions	Number of natural persons

Total					
Australia	AU				
Austria	AT				
Afghanistan	AF				
Azerbaijan	AZ				
Åland Islands	AX				
Albania	AL				
Algeria	DZ				
American Samoa	AS				
Anguilla	AI				
Angola	AO				
Andorra	AD				
Antarctica	AQ				
Antigua and Barbuda	AG				
United Arab Emirates	AE				
Argentina	AR				
Aruba	AW				
United States	US				
New Zealand	NZ				
New Caledonia	NC				
Bangladesh	BD				
Barbados	BB				
The Bahamas	BS				
Bahrain	BH				
Belarus	BY				
Belgium	BE				
Belize	BZ				
Benin	BJ				
Bermuda	BM				
Bolivia	BO				
Bosnia and Herzegovina	BA				
Botswana	BW				
Brazil	BR				
British Indian Ocean Territory	IO				
Brunei Darussalam	BN				
Bouvet Island	BV				
Bulgaria	BG				
Burkina Faso	BF				
Burundi	BI				
Bhutan	BT				
Gabon	GA				
United Kingdom	GB				
Guyana	GY				
The Gambia	GM				
Ghana	GH				
Germany	DE				
Guernsey	GG				
Guadeloupe	GP				
Guatemala	GT				
Guinea	GN				
Guinea-Bissau	GW				
Gibraltar	GI				
Grenada	GD				
Greenland	GL				
Guam	GU				
Denmark	DK				
Western Sahara	EH				
Dominica	DM				
Dominican Republic	DO				

Egypt	EG				
Ethiopia	ET				
Ecuador	EC				
Equatorial Guinea	GQ				
Iraq	IQ				
Eritrea	ER				
Spain	ES				
Estonia	EE				
Vanuatu	VU				
Vatican City	VA				
Venezuela	VE				
Vietnam	VN				
U.S. Virgin Islands	VI				
British Virgin Islands	VG				
Zambia	ZM				
Zimbabwe	ZW				
Turkey	TR				
Turkmenistan	TM				
Jamaica	JM				
Japan	JP				
Yemen	YE				
India	IN				
Indonesia	ID				
Jordan	JO				
Iran	IR				
Ireland	IE				
Iceland	IS				
Israel	IL				
Italy	IT				
Cabo Verde	CV				
Cayman Islands	KY				
Cambodia	KH				
Cameroon	CM				
Canada	CA				
Caribbean Netherlands	BQ				
Kenya	KE				
Cyprus	CY				
Kiribati	KI				
Colombia	CO				
Comoros	KM				
Congo	CG				
Democratic Republic of the Congo	CD				
South Korea	KR				
North Korea	KP				
Costa Rica	CR				
Côte d'Ivoire	CI				
Cuba	CU				
Cook Islands	CK				
Curaçao	CW				
Lao People's Democratic Republic	LA				
Latvia	LV				
Lesotho	LS				
Lebanon	LB				
Liberia	LR				
Libya	LY				
Lithuania	LT				
Liechtenstein	LI				
Luxembourg	LU				
Madagascar	MG				

Mauritius	MU				
Mauritania	MR				
Macao	MO				
North Macedonia	MK				
Malawi	MW				
Malaysia	MY				
Maldives	MV				
Mali	ML				
Malta	MT				
Morocco	MA				
Martinique	MQ				
Marshall Islands	MH				
Mayotte	YT				
Isle of Man	IM				
Mexico	MX				
Myanmar	MM				
Federated States of Micronesia	FM				
Mozambique	MZ				
Moldova	MD				
Monaco	MC				
Montserrat	MS				
Montenegro	ME				
Mongolia	MN				
Namibia	NA				
Nauru	NR				
Naples	NP				
Niger	NE				
Nigeria	NG				
Netherlands	NL				
Nicaragua	NI				
Niue	NU				
Norway	NO				
Norfolk Island	NF				
Oman	OM				
Pakistan	PK				
Palau	PW				
Palestine	PS				
Panama	PA				
Papua New Guinea	PG				
Paraguay	PY				
Peru	PE				
Pitcairn Islands	PN				
Poland	PL				
Portugal	PT				
Puerto Rico	PR				
Réunion	RE				
Rwanda	RW				
Romania	RO				
Russia	RU				
Greece	GR				
El Salvador	SV				
Samoa	WS				
South Africa	ZA				
South Sudan	SS				
South Georgia and the South Sandwich Islands	GS				
San Marino	SM				
Saudi Arabia	SA				
Sao Tome and Principe	ST				
France	FR				
French Guiana	GF				

French Polynesia	PF				
French Southern and Antarctic Lands	TF				
Seychelles	SC				
Saint Barthélemy	BL				
Senegal	SN				
Collectivity of Saint Martin	MF				
Saint Helena	SH				
Saint Vincent and the Grenadines	VC				
Federation of Saint Kitts and Nevis	KN				
Saint Lucia	LC				
Saint Pierre and Miquelon	PM				
Serbia	RS				
Eswatini	SZ				
Svalbard and Jan Mayen	SJ				
Sierra Leone	SL				
Singapore	SG				
Sint Maarten	SX				
Syria	SY				
Slovakia	SK				
Slovenia	SI				
Solomon Islands	SB				
Somalia	SO				
Armenia	AM				
Sudan	SD				
Suriname	SR				
Taiwan, Province of China	TW				
Thailand	TH				
Tanzania	TZ				
Tajikistan	TJ				
Turks and Caicos Islands	TC				
Timor-Leste	TL				
Togo	TG				
Tokelau	TK				
Tonga	TO				
Trinidad and Tobago	TT				
Tuvalu	TV				
Tunisia	TN				
Uganda	UG				
Uzbekistan	UZ				
Ukraine	UA				
Hungary	HU				
Wallis and Futuna	WF				
Uruguay	UY				
Faroe Islands	FO				
Philippines	PH				
Finland	FI				
Fiji	FJ				
Falkland Islands (Islas Malvinas)	FK				
Cocos (Keeling) Islands	CC				
Kuwait	KW				
Kazakhstan	KZ				
Qatar	QA				
Kyrgyzstan	KG				
United States Minor Outlying Islands	UM				
Sweden	SE				
Switzerland	CH				
Christmas Island	CX				

Sri Lanka	LK				
Chad	TD				
Czechia	CZ				
Chile	CL				
China	CN				
Northern Mariana Islands	MP				
Central African Republic	CF				
Croatia	HR				
Jersey	JE				
Djibouti	DJ				
Haiti	HT				
Heard Island and McDonald Islands	HM				
Honduras	HN				
Hong Kong	HK				
Georgia	GE				
Stateless persons					
Countries/territories, which are not separated out		-	-	-	-
List:					

Form N4. Information about the residency of the client

Without identification	Number of persons
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Registrations countries	Country code	Registered persons		Issuers
		Natural persons	Legal entities	
Total		-	-	
Australia	AU			
Austria	AT			
Afghanistan	AF			
Azerbaijan	AZ			
Åland Islands	AX			
Albania	AL			
Algeria	DZ			
American Samoa	AS			
Anguilla	AI			
Angola	AO			
Andorra	AD			
Antarctica	AQ			
Antigua and Barbuda	AG			
United Arab Emirates	AE			
Argentina	AR			

Aruba	AW		
United States of America	US		
New Zealand	NZ		
New Caledonia	NC		
Bangladesh	BD		
Barbados	BB		
Bahamas	BS		
Bahrain	BH		
Belarus	BY		
Belgium	BE		
Belize	BZ		
Benin	BJ		
Bermuda	BM		
Bolivia	BO		
Bosnia and Herzegovina	BA		
Botswana	BW		
Brazil	BR		
British Indian Ocean Territory	IO		
Brunei Darussalam	BN		
Bouvet Island	BV		
Bulgaria	BG		
Burkina Faso	BF		
Burundi	BI		
Bhutan	BT		
Gabon	GA		
United Kingdom of Great Britain and Northern Ireland	GB		
Guyana	GY		
Gambia	GM		
Ghana	GH		
Germany	DE		
Guernsey	GG		
Guadeloupe	GP		
Guatemala	GT		
Guinea	GN		
Guinea-Bissau	GW		
Gibraltar	GI		
Grenada	GD		
Greenland	GL		
Guam	GU		
Denmark	DK		
Western Sahara	EH		
Dominica	DM		
Dominican Republic	DO		
Egypt	EG		
Ethiopia	ET		

Ecuador	EC		
Equatorial Guinea	GQ		
Iraq	IQ		
Eritrea	ER		
Spain	ES		
Estonia	EE		
Vanuatu	VU		
Holy See	VA		
Venezuela	VE		
Viet Nam	VN		
Virgin Islands (U.S.)	VI		
Virgin Islands (British)	VG		
Zambia	ZM		
Zimbabwe	ZW		
Turkey	TR		
Turkmenistan	TM		
Jamaica	JM		
Japan	JP		
Yemen	YE		
India	IN		
Indonesia	ID		
Jordan	JO		
Iran (Islamic Republic of)	IR		
Ireland	IE		
Iceland	IS		
Israel	IL		
Italy	IT		
Cabo Verde	CV		
Cayman Islands	KY		
Cambodia	KH		
Cameroon	CM		
Canada	CA		
Bonaire, Sint Eustatius and Saba	BQ		
Kenya	KE		
Cyprus	CY		
Kiribati	KI		
Colombia	CO		
Comoros	KM		
Congo	CG		
Congo (the Democratic Republic of the)	CD		
Korea (the Republic of)	KR		
Korea (the Democratic People's Republic of)	KP		
Costa Rica	CR		
Côte d'Ivoire	CI		
Cuba	CU		

Cook Islands	CK		
Curaçao	CW		
Lao People's Democratic Republic	LA		
Latvia	LV		
Lesotho	LS		
Lebanon	LB		
Liberia	LR		
Libya	LY		
Lithuania	LT		
Liechtenstein	LI		
Luxembourg	LU		
Madagascar	MG		
Mauritius	MU		
Mauritania	MR		
Macao	MO		
Republic of North Macedonia	MK		
Malawi	MW		
Malaysia	MY		
Maldives	MV		
Mali	ML		
Malta	MT		
Morocco	MA		
Martinique	MQ		
Marshall Islands	MH		
Mayotte	YT		
Isle of Man	IM		
Mexico	MX		
Myanmar	MM		
Micronesia (Federated States of)	FM		
Mozambique	MZ		
Moldova	MD		
Monaco	MC		
Montserrat	MS		
Montenegro	ME		
Mongolia	MN		
Namibia	NA		
Nauru	NR		
Nepal	NP		
Niger	NE		
Nigeria	NG		
Netherlands	NL		
Nicaragua	NI		
Niue	NU		
Norway	NO		
Norfolk Island	NF		

Oman	OM		
Pakistan	PK		
Palau	PW		
Palestine, State of	PS		
Panama	PA		
Papua New Guinea	PG		
Paraguay	PY		
Peru	PE		
Pitcairn	PN		
Poland	PL		
Portugal	PT		
Puerto Rico	PR		
Réunion	RE		
Rwanda	RW		
Romania	RO		
Russian Federation	RU		
Greece	GR		
El Salvador	SV		
Samoa	WS		
South Africa	ZA		
South Sudan	SS		
South Georgia and the South Sandwich Islands	GS		
San Marino	SM		
Saudi Arabia	SA		
Sao Tome and Principe	ST		
France	FR		
French Guiana	GF		
French Polynesia	PF		
French Southern Territories	TF		
Seychelles	SC		
Saint Barthélemy	BL		
Senegal	SN		
Saint Martin (French part)	MF		
Saint Helena, Ascension and Tristan da Cunha	SH		
Saint Vincent and the Grenadines	VC		
Saint Kitts and Nevis	KN		
Saint Lucia	LC		
Saint Pierre and Miquelon	PM		
Serbia	RS		
Eswatini	SZ		
Svalbard and Jan Mayen	SJ		
Sierra Leone	SL		
Singapore	SG		
Sint Maarten (Dutch part)	SX		
Syrian Arab Republic	SY		

Slovakia	SK		
Slovenia	SI		
Solomon Islands	SB		
Somalia	SO		
Armenia	AM		
Sudan	SD		
Suriname	SR		
Taiwan (Province of China)	TW		
Thailand	TH		
Tanzania, United Republic of	TZ		
Tajikistan	TJ		
Turks and Caicos Islands	TC		
Timor-Leste	TL		
Togo	TG		
Tokelau	TK		
Tonga	TO		
Trinidad and Tobago	TT		
Tuvalu	TV		
Tunisia	TN		
Uganda	UG		
Uzbekistan	UZ		
Ukraine	UA		
Hungary	HU		
Wallis and Futuna	WF		
Uruguay	UY		
Faroe Islands	FO		
Philippines	PH		
Finland	FI		
Fiji	FJ		
Falkland Islands (Islas Malvinas)	FK		
Cocos (Keeling) Islands	CC		
Kuwait	KW		
Kazakhstan	KZ		
Qatar	QA		
Kyrgyzstan	KG		
United States Minor Outlying Islands	UM		
Sweden	SE		
Switzerland	CH		
Christmas Island	CX		
Sri Lanka	LK		
Chad	TD		
Czechia	CZ		
Chile	CL		
China	CN		
Northern Mariana Islands	MP		

Central African Republic	CF		
Croatia	HR		
Jersey	JE		
Djibouti	DJ		
Haiti	HT		
Heard Island and McDonald Islands	HM		
Honduras	HN		
Hong Kong	HK		
Georgia	GE		
Stateless persons			
Countries/territories, which are not separated out		-	-
List:			

Form N5. Information about customers identified on the basis of a third party

[illegible]

Form N6. Information about clients with high-risk activities and risk-bearing clients with various signs

[illegible]

Form N7. Statistical information about reports sent to the Financial Monitoring Service

Reports sent to Financial Monitoring Service	Number of reports
<u>Total</u>	-
<u>Suspicious</u>	-
Financing of terrorism	
Others	
<u>Above the limit</u>	-
A transaction executed with securities on the representative	

Form N8. Information about reports sent with a suspicious status

Status	Residency	Country code	Number of persons	Additional information

Antarctica	AQ		
Antigua and Barbuda	AG		
United Arab Emirates	AE		
Argentina	AR		
Aruba	AW		
United States of America	US		
New Zealand	NZ		
New Caledonia	NC		
Bangladesh	BD		
Barbados	BB		
Bahamas	BS		
Bahrain	BH		
Belarus	BY		
Belgium	BE		
Belize	BZ		
Benin	BJ		
Bermuda	BM		
Bolivia	BO		
Bosnia and Herzegovina	BA		
Botswana	BW		
Brazil	BR		
British Indian Ocean Territory	IO		
Brunei Darussalam	BN		
Bouvet Island	BV		
Bulgaria	BG		
Burkina Faso	BF		
Burundi	BI		
Bhutan	BT		
Gabon	GA		
United Kingdom of Great Britain and Northern Ireland	GB		
Guyana	GY		
Gambia	GM		
Ghana	GH		
Germany	DE		
Guernsey	GG		
Guadeloupe	GP		
Guatemala	GT		
Guinea	GN		
Guinea-Bissau	GW		
Gibraltar	GI		
Grenada	GD		
Greenland	GL		
Guam	GU		
Denmark	DK		
Western Sahara	EH		
Dominica	DM		
Dominican Republic	DO		
Egypt	EG		
Ethiopia	ET		
Ecuador	EC		
Equatorial Guinea	GQ		
Iraq	IQ		
Eritrea	ER		
Spain	ES		
Estonia	EE		
Vanuatu	VU		
Holy See	VA		
Venezuela	VE		
Vietnam	VN		
Virgin Islands (U.S.)	VI		
Virgin Islands (British)	VG		

Zambia	ZM		
Zimbabwe	ZW		
Turkey	TR		
Turkmenistan	TM		
Jamaica	JM		
Japan	JP		
Yemen	YE		
India	IN		
Indonesia	ID		
Jordan	JO		
Iran (Islamic Republic of)	IR		
Ireland	IE		
Iceland	IS		
Israel	IL		
Italy	IT		
Cabo Verde	CV		
Cayman Islands	KY		
Cambodia	KH		
Cameroon	CM		
Canada	CA		
Bonaire, Sint Eustatius and Saba	BQ		
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Cyprus	CY		
Kiribati	KI		
Colombia	CO		
Comoros	KM		
Congo	CG		
Congo (the Democratic Republic of the)	CD		
Korea (the Republic of)	KR		
Korea (the Democratic People's Republic of)	KP		
Costa Rica	CR		
Côte d'Ivoire	CI		
Cuba	CU		
Cook Islands	CK		
Curaçao	CW		
Lao People's Democratic Republic	LA		
Latvia	LV		
Lesotho	LS		
Lebanon	LB		
Liberia	LR		
Libya	LY		
Lithuania	LT		
Liechtenstein	LI		
Luxembourg	LU		
Madagascar	MG		
Mauritius	MU		
Mauritania	MR		
Macao	MO		
Macedonia	MK		
Malawi	MW		
Malaysia	MY		
Maldives	MV		
Mali	ML		
Malta	MT		
Morocco	MA		
Martinique	MQ		
Marshall Islands	MH		
Mayotte	YT		
Isle of Man	IM		
Mexico	MX		
Myanmar	MM		

Micronesia (Federated States of)	FM		
Mozambique	MZ		
Moldova	MD		
Monaco	MC		
Montserrat	MS		
Montenegro	ME		
Mongolia	MN		
Namibia	NA		
Nauru	NR		
Nepal	NP		
Niger	NE		
Nigeria	NG		
Netherlands	NL		
Nicaragua	NI		
Niue	NU		
Norway	NO		
Norfolk Island	NF		
Oman	OM		
Pakistan	PK		
Palau	PW		
Palestine	PS		
Panama	PA		
Papua New Guinea	PG		
Paraguay	PY		
Peru	PE		
Pitcairn	PN		
Poland	PL		
Portugal	PT		
Puerto Rico	PR		
Réunion	RE		
Rwanda	RW		
Romania	RO		
Russian Federation	RU		
Greece	GR		
El Salvador	SV		
Samoa	WS		
South Africa	ZA		
South Sudan	SS		
South Georgia and the South Sandwich Islands	GS		
San Marino	SM		
Saudi Arabia	SA		
Sao Tome and Principe	ST		
France	FR		
French Guiana	GF		
French Polynesia	PF		
French Southern Territories	TF		
Seychelles	SC		
Saint Barthélemy	BL		
Senegal	SN		
Saint Martin (French part)	MF		
Saint Helena	SH		
Saint Vincent and the Grenadines	VC		
Saint Kitts and Nevis	KN		
Saint Lucia	LC		
Saint Pierre and Miquelon	PM		
Serbia	RS		
Eswatini	SZ		
Svalbard and Jan Mayen	SJ		
Sierra Leone	SL		
Singapore	SG		

Sint Maarten (Dutch part)	SX		
Syrian Arab Republic	SY		
Slovakia	SK		
Slovenia	SI		
Solomon Islands	SB		
Somalia	SO		
Armenia	AM		
Sudan	SD		
Suriname	SR		
Taiwan (Province of China)	TW		
Thailand	TH		
United Republic of Tanzania	TZ		
Tajikistan	TJ		
Turks and Caicos Islands	TC		
Timor-Leste	TL		
Togo	TG		
Tokelau	TK		
Tonga	TO		
Trinidad and Tobago	TT		
Tuvalu	TV		
Tunisia	TN		
Uganda	UG		
Uzbekistan	UZ		
Ukraine	UA		
Hungary	HU		
Wallis and Futuna	WF		
Uruguay	UY		
Faroe Islands	FO		
Philippines	PH		
Finland	FI		
Fiji	FJ		
Falkland Islands (Islas Malvinas)	FK		
Cocos (Keeling) Islands	CC		
Kuwait	KW		
Kazakhstan	KZ		
Qatar	QA		
Kyrgyzstan	KG		
United States Minor Outlying Islands	UM		
Sweden	SE		
Switzerland	CH		
Christmas Island	CX		
Sri Lanka	LK		
Chad	TD		
Czechia	CZ		
Chile	CL		
China	CN		
Northern Mariana Islands	MP		
Central African Republic	CF		
Croatia	HR		
Jersey	JE		
Djibouti	DJ		
Haiti	HT		
Heard Island and McDonald Islands	HM		
Honduras	HN		
Hong Kong	HK		
Georgia	GE		
Stateless persons			
Countries/territories, which are not separated out			

Lebanon	LB
Switzerland	CH
Oman	OM
Malta	MT
Malaysia	MY
Luxembourg	LU
Bahrain	BH
Aruba	AW
Maldives	MV
Macao	MO
Uruguay	UY
Morocco	MA
Jamaica	JM
Curaçao	CW
Tuvalu	TV
Chile	CL
Fiji	FJ
Hing Kong	HK
Nicaragua	NI
Costa Rica	CR
Nauru	NR
Botswana	BW
Angola	AO
Andora	AD
Barbados	BB
Bahamas	BS
Belize	BZ
Bermuda	BM
Brunei Darussalam	BN
Guernsey	GG
Guatemala	GT
Gibraltar	GI
Grenada	GD
Virgin Islands (U.S.)	VI
Virgin Islands (British)	VG
Cook Islands	CK
Liechtenstein	LI
Mauritius	MU
Marshall Islands	MH
Isle of Man	IM
Micronesia (Federated States of)	FM
Monaco	MC
Montserrat	MS
Niue	NU
Palau	PW
Panama	PA
Puerto Rico	PR
Samoa	WS
French Polynesia	PF
Saint Lucia	LC
Sint Maarten (Dutch part)	SX
Jersey	JE
Djibouti	DJ

