The order №48/04 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 brokerage company 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" paragraph 1st of the same law, **I hereby order**:

Article 1. (27.06.2018 N122/04)

The rule for completing reports and presenting information for the legalization of illicit income of the brokerage company 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 brokerage company 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 brokerage company 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 brokerage company 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 brokerage companies.

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 brokerage company 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 brokerage company and taking into account the abovementioned appropriate supervisory measures should be taken.

3. In order to carry out remote supervision, the brokerage companies 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) Client – any person who applies to the brokerage company for the services provided by the legislation of Georgia and/or uses the aforementioned services based on the latter's main activity;

h) Securities market intermediary – a legal entity that carries out the activities provided for in Article 23 of the Law of Georgia "On Securities Market", except for those intermediaries that only carry out nominal ownership or only keep assets.

i) Offshore zone – countries and territories defined by Annex No. 2; (27.06.2018 N122/04)

j) An operation (transaction) carried out without identification – an operation (transaction) with a volume below the thresholds (1500/3000) provided for by legislation, 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. If the abovementioned identification data is obtained in a remote form without direct contact with the client and at the same time is not verified in an appropriate manner, the operation (transaction) is also considered carried out without identification. (27.06.2018 N122/04)

Article 3. General provisions

1. The main columns of the reporting forms are filled by the brokerage companies, and some of them are protected and filled automatically based on the information filled by the brokerage companies.

2. The reporting form shall accurately and completely include the requested information according to the reporting period defined by the first paragraph of Article 21 of this rule.

3. Report shall include transactions (operations) carried out for the benefit of clients and by the instructions of clients. In addition, the report shall not reflect the movement of assets between the accounts/sub-accounts of one client in the brokerage company. Information about transactions made in foreign currency is recorded in national currency at the official exchange rate established by the National Bank on the date of execution of the transaction. The value of securities is also recorded in national currency.

4. The date of execution of the transaction is the date of transfer/receipt of funds related to the transaction from/to the client's account in the brokerage company, in the case of transactions related to securities without cash settlement in the brokerage company, the date of transfer/receipt of securities from/to the client's account in the brokerage company, in the case of transactions related to securities without cash settlement in the brokerage company, the date of transfer/receipt of securities from/to the client's account in the brokerage company, the date of transfer/receipt of securities from/to the client's account in the brokerage company, and if the transaction is not related to the movement of neither cash nor securities in the brokerage company, the date of execution of the transaction document.

5. When reflecting information about the volume of transactions, the following is indicated: (a) Turnover (credit and debit turnovers, summed up in absolute values), of the relevant assets (of funds or securities) carried out on the client's brokerage account on the date of execution of the transaction or (b) Amounts (value) specified in the transaction documents, which are not related to the movement of cash and/or securities in the brokerage company. In the case of transactions related to securities without cash settlement (including exchange of securities, depositing-transfer), the information is reflected in the monetary expression at the price fixed by the transaction, if this is confirmed by the transaction documents, or in the absence of such documents, for securities admitted to the exchange - by the last closing price published by the exchange, and in all other cases by the nominal value.

6. If cash flows are fixed to the client's account in the brokerage company on the basis of transaction, then the report reflects information only about the actual turnover of cash to the client's account. If, only securities are moved to the client's account in the brokerage company on the basis of the transaction, then the report reflects information only about the actual turnover of securities to the client's account. If neither cash nor securities movement is made to the client's account in the brokerage company on the basis of the transaction, then the report neither cash nor securities movement is made to the client's account in the brokerage company on the basis of the transaction, then the information about the volume of the transaction is reflected in the report according to the transaction document.

7. The report does not include information about budget payments, "split", "reverse-split" and conversion of securities, as well as about the commission received from the client in exchange for the services provided by the brokerage company, except for the fee for providing consulting services.

8. The repetition of the data in the subfactors in the report forms is not allowed, except for the cases stipulated by clauses 22 and 23 of Article 12 of this rule.

9. The information on blocking/mortgaging of assets on the brokerage accounts of clients is not reflected in the report forms.

10. When carrying out operations between the clients of the brokerage company, the information is reflected in the perspective of both of them.

10¹. If the risk level of the client has been changed 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 N122/04)

11. 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.

Article 4. Forms of report

The report includes the following forms:

a) Information about the brokerage company (form No. 1);

b) Information about the structure of the client base (form No. 2);

c) Information about products/transactions (form No. 3);

d) Information about the transactions carried out according to the geographical area (form No. 4);

e) Information about the clients' residency and transactions carried out by them (form No. 5);

f) Information about clients' residency (form No. 6);

g) Information about clients identified based on a third party (form No. 7);

h) Information about clients with high-risk activities and risk-bearing clients with various signs (form No. 8);

i) Information about intermediaries (form No. 9);

j) Statistical information about the reports sent to the financial monitoring service (form No. 10);

k) Information on reports sent with suspicious status according to clients' residency (form N11). (27.06.2018 N122/04)

k¹) Information on reports sent with suspicious status according to products/transactions (form N11-1). (27.06.2018 N122/04)

l) Information on sanctioned clients and suspended transactions (form No. 12);

m) Information on the state of implementation of the recommendations of the National Bank of Georgia (form No. 13);

n) Information about suspicious zones (form No. 14);

o) Information about risk-bearing products (form No. 15).

Article 5. Information on brokerage company (form Nº1)

1. The reporting form includes the name of the brokerage company, the information on Members of the Supervisory Board, owner(s) of a significant share (10% and more), beneficial owner(s), director(s), person responsible for monitoring, branches and subsidiaries (financial institutions) located in Georgia and outside of Georgia, representative offices located outside Georgia, as well as the date of the last inspection (on-site inspection) and evaluation of the National Bank. (27.06.2018 N122/04).

2. When reflecting information about members of the Supervisory Board, 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. If there are branches outside Georgia, their number and location are indicated (list of countries).

4. If there are subsidiaries (financial institutions) and representative offices outside of Georgia, their names and locations are indicated (list of countries).

5. The form also reflects infrmation 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 carried out in the reporting period.

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

3. The reporting form includes the full quantitative indicator of legal and natural persons being in a business relationship with the brokerage company for the reporting period, regardless of whether the person made a transaction during the reporting period or not. The form also includes information on persons with whom business relations were terminated during the reporting period.

Article 7. Information about products/transactions (form Nº3)

1. The reporting form reflects information on the number and volume of certain categories of transactions (operations) carried out by clients.

2. The total turnover data reflects the information about the transactions carried out by the instructions of clients and for their benefit (including the transactions specified in the form).

3. When reflecting data on consulting services, the number of transactions on the basis of which consulting services were provided is indicated in the number of transactions column, and the total amount of remuneration received by the brokerage company in exchange for the services - in the volume column.

4. When reflecting information on the management of investment portfolios, the column of the number of transactions indicates the number of transactions on the basis of which investment portfolios were transferred to the brokerage company for management, and in the volume column, the total (market or, in the absence of such, nominal) value of these investment portfolios (which was recorded at the time of transfer to management).

5. Transactions carried out by cash-settlement include amounts deposited/withdrawn in cash by clients to/from the cashier's office of the brokerage company, as well as, to/from the nominal holder account of the brokerage firm.

6. The form reflects only the information about the transactions carried out on the instructions of the non-resident nominal owner.

7. The sub-factor "Non-exchange transactions" reflects information on exchange and granting of securities, as well as securities purchase and sale transactions, which was not carried out on the stock exchange defined by the Law of Georgia on "Securities Market", as well as on a licensed/authorized exchange or an alternative trading platform in the USA, Canada, Japan, Australia, Scandinavian countries, EU member states (except Malta, Luxembourg and Cyprus) and the United Kingdom (except ('British Overseas Territories').

8. If the product/transaction provided by any of the sub-factors is at the same time a non-exchange transaction, the information is reflected differently, only in the corresponding sub-factor.

9. Information on products/transactions given in the reporting form shall include only data on transactions carried out by/for the benefit of identified clients, while information on transactions carried out without identification of the client is recorded differently, in the corresponding sub-factor.

Article 8. Information about the transactions carried out according to the geographical area (form No. 4)

1. The reporting form reflects the information on the operations of depositing/transferring of both identified and non-identified transactions/assets (both money and securities) carried out by and for the benefit of the customer according to the countries,

2. Information on transactions according to the countries is reflected according to the location (in case of sum of money) of the recipient's/sender's serving banking institution, and in the case of securities, according to the location of the recipient's/sender's serving institution.

3. The column – "Countries/territories, which are not separated out" reflects information in detail about transactions carried out through the territories of those countries, the list of which is not given in the form (indicating the name and code of the country/territory).

4. The form additionally shall reflect the information about the transactions carried out inside the country and outside the country without identification of the client in a differentiated manner.

5. The form does not reflect information about the amounts deposited for trading with the central depository and the movement of securities.

Article 9. Information about clients' residency and transactions carried out by them (form No.

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 clients and information on the number and volume of transactions carried out by/for their benefit. The form also includes information on persons 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 brokerage company has the client's identification data, the information shall be reflected in the same form according to the residency.

Article 10. Information about client's residency (Form Nº6)

5)

1. The reporting form reflects the information about the clients who are in a business relationship with the brokerage company 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 brokerage company 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 brokerage company has the client's identification data, the information shall be reflected in the same form according to the residency.

Article 11. Information about clients identified based on a third party (form No. 7)

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).

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 brokerage company relied on when identifying the person, as well as the number of clients identified in this form and data on the performed turnovers.

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 brokerage company during the reporting period.

Article 12. Information about clients with high-risk activities and risk-bearing clients with various signs (form No. 8)

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 brokerage company during the reporting period.

3. (27.06.2018 N122/04) 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. (27.06.2018 N122/04) 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 N122/04)

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

10. The form includes information about non-resident investment funds and companies. (27.06.2018 N122/04)

11. Removed (27.06.2018 N122/04)

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

13. (27.06.2018 N122/04) The form includes information about non-resident asset management companies that manage and invest clients' funds (including pension savings). (27.06.2018 N122/04

14. 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 N122/04);

14¹. 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. (27.06.2018 N122/04).

15. (27.06.2018 N122/04) 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 N122/04)

16. Removed (27.06.2018 N122/04)

17. The volume of transactions of those persons, about whom reports were sent to the Financial Monitoring Service of Georgia with a suspicious status, reflects the total volume of both the transaction sent with suspicious status and the transactions carried out by the client during the reporting period.

18. In the event that the parties involved in the transaction in the report sent to the Financial Monitoring Service of Georgia with a suspicious status are several clients at the same time, quantitative indicators include all of them and the total volume of transaction sent with a suspicious status, as well as transactions carried out by them during the reporting period.

19. 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.

20. In the forms, companies are considered to have a complex ownership structure, determining the beneficial owners of which requires a vertical study of two or more legal entities. A branch and/or representative office of an enterprise is not considered a legal entity. (27.06.2018 N122/04)

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 N122/04)

21. The brokerage company 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.

22. 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 N122/04)

23. 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 N122/04)

Article 13. Information about intermediaries (Form Nº9)

1. The form includes information about securities market intermediaries in business relationship during the reporting period, regardless of whether the transaction was carried out through them and/or on their instruction during the reporting period, the form also reflects information about the intermediaries with whom the business relationship was terminated during the reporting period. (27.06.2018 N122/04)

2. The form shall include the name of the intermediary, the country of registration (the name of the country of registration must be identical to the name given in the list of countries established by the relevant reporting forms), the date of establishment of business relationship and the volume of transactions related to the intermediary.

Article 14. Statistical information on reports sent to the Financial Monitoring Service (form No. 10)

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.

3. In the event that the report on operations above the limit subject to monitoring determined by the legislation is sent with several signs at the same time, the information in the form is reflected according to one of the signs.

Article 15. Information on reports sent with suspicious status according to clients' residence (form N11) (27.06.2018 N122/04)

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 brokerage company 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").

3. If the parties to the transaction are clients of the brokerage company, the form reflects information about all of them (in accordance with residency).

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.

Article 15¹. Information on reports sent with suspicious status according to products/transactions (form N11-1) (27.06.2018 N122/04)

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 brokerage company shall ensure sorting of information given in reports sent with suspicious status according to types of products/transactions (purchase of securities, consulting services, etc.) and transaction status ("Terrorism financing," "Other").

3. If in a transaction sent to the Financial Monitoring Service of Georgia with suspicious status, several products are used simultaneously by the parties participating in the transaction, information about each of them is reflected in the form.

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.

Article 16. Information on sanctioned clients and suspended transactions (form No. 12)

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 17. Information on the state of implementation of the recommendations of the National Bank of Georgia (form No. 13)

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 brokerage company.

Article 18. Information on suspicious zones (Form Nº14)

1. The reporting form reflects the country or part of the country's territory, which was considered by the brokerage company 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 19. Information about risk-bearing products (form No. 15)

1. The reporting form reflects information only about those products, as well as means of providing services (channel), which were considered by the brokerage company to carry a high risk in terms of legalization of illicit income and financing of terrorism (taking into account the initial risk), regardless of whether the abovementioned product (delivery channel) was introduced in the reporting period or not.

2. The information specified in the reporting form shall clearly reflect the description of the product/delivery channel, the risks related to the legalization of illicit income and the financing of terrorism, and the measures determined by the brokerage company to mitigate the risks.

3. The form also reflects information about the volume of transactions carried out through the product turnover/delivery channel. (27.06.2018 N122/04)

Article 20. Additional information to be presented by the brokerage company.

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 brokerage company shall submit to the National Bank all the policy-procedures and software descriptions of the brokerage company 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 21 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 brokerage companies 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 21. Deadlines for submission of reports and additional information

1. The brokerage company 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 20 of this rule shall be submitted by the brokerage company together with the report.

3. In order to schedule an on-site inspection of a specific brokerage company, taking into account changes in the management and/or ownership structure of the brokerage company, 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 brokerage company and terrorist financing.

4. In order to establish the authenticity of the reports submitted to the National Bank, the brokerage company is obliged to have an accounting system that ensures the reconstruction of the data reflected in the reports (27.06.2018 N122/04)

Article 22. Rules for submitting reports and additional information (27.06.2018 N122/04)

1. In accordance with the rule approved by the relevant order of the President of the National Bank, the brokerage company, within the terms specified in the first paragraph of Article 21 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 brokerage company shall also submit to the National Bank, through the "correspondence" functionality of the portal, the information provided for in Article 20 of this rule within the terms specified in the first paragraph of Article 21 of this rule.

5. In order to facilitate the legalization of illicit income and the prevention of terrorism financing provided for in Article 20 of this rule, the policy-procedures existing in the brokerage company, 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 20 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 20 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.

Article 23. Other provisions

Information about clients with high-risk activities and risk-bearing clients with various signs (form No. 8) provided in the report should be presented in the report of the first half of 2017.

Annex N1. (27.06.2018 N122/04)

Name of the brokerage company	
Members of the supervisory board	
The owner(s) of a significant share	
Beneficial Owner Person(s)	
Director(s)	
Person responsible for monitoring implementation/contact information	
Branches in Georgia	
Branches located outside Georgia	
Representatives located outside Georgia	
Subsidiary enterprises (financial institutions) in Georgia	
Subsidiary enterprises (financial institutions) located outside Georgia	
The date of the last inspection carried out by the National Bank of Georgia	

Reporting on legalization of illicit income and terrorism financing risk supervision of brokerage companies Form N1. Information about brokerage company

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		

Medium-risk customers	-	-
A natural person - resident		
A resident legal entity		
Non-resident natural person		
Non-resident legal entity		
Low-risk customers	-	-
A natural person - resident		
A resident legal entity		
Non-resident natural person		
Non-resident legal entity		

Form N3. Information about products/transactions

Products/transactions	Number of transactions	Volume of transactions
Total turnover		
A transaction executed with securities on the representative		
Consultation service		
Investment portfolio management		
A transaction carried out in the form of cash		
A transaction carried out on behalf of the nominal owner		
A transaction made on a trading platform with a financial instrument		
Non-exchange transaction		
A transaction carried out without identification		

Form N4. Information about transactions carried out according to geographical area

Transactions carried out without	Depositing		Transferring		
identification	Number of	Volume of	Number of	Volume of	
	transactions	transactions	transactions	transactions	
Total	-	-	-	-	
Inside country					
Outside country					

List of the countries	Code of the country	Depos	iting	Trar	nsferring
		Number of	Volume of	Number	Volume of
		transactions	transactions	of	transactions
				transacti	
				ons	

Australia AU Autria Australia AT AT Auglighanistan AF AT Azerbaigin AZ Azerbaigin Azerbaigin AZ AT Alland Islands AX AX Alhan Islands AX AX Alhania AI AT Algeria DZ AT Angulla AI AT Angula AQ AT Antractio AQ AT Arba AT AT Arba AT AT New Zealand NZ AT Barbados BB AT	Total		-	-	_	-
Austria AT Image: Constraint of the second	Australia	AU				
Afginamistan AF Image: Constraint of the second se						
Azerbaijn AZ All Alband Islands AX All Albania AL All Algeria DZ American Samoa Angeria DZ All Angeria DZ All Angeria AZ All Angela AO All Angola AO All Andorra AD All Andarra AQ All Antigua and Barbuda AG All Arigua and Barbuda AG All Arigua and Barbuda AG All United Arab Emirates AE All Aruba AW All United States US Intel States United States US Intel States New Zcaland NC Intel States Bargladesh BD Intel States Bargladesh BD Intel States Belgium BE Intel States Belgium BE Intel States Belgium BE Intel States Belgium BE Intel States Belgium BC Intel States Belgium BC Intel States <td></td> <td></td> <td></td> <td></td> <td></td> <td></td>						
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American SamoalASImage of the second s						
Anguilla AI Image: Constraint of the second se						
Angola AO Image: Constraint of the second seco						
AndorraADImage: Constraint of the second seco						
Antarctica AQ Image: Construction of the second secon						
Antigua and Barbuda AG Image and Barbuda AR Argentina AR Image and Argentina AR Aruba AW Image and Aruba Image and Aruba Aruba AW Image and Aruba Image and Aruba United States US Image and Aruba Image and Aruba New Zaland NZ Image and Aruba Image and Aruba New Zaland NZ Image and Aruba Image and Aruba New Caledonia NC Image and Aruba Image and Aruba Barbados BB Image and Aruba Image and Aruba Image and Aruba Barbados BB Image and Aruba Image and Aruba <t< td=""><td></td><td></td><td></td><td></td><td></td><td></td></t<>						
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ArgentinaARARArubaAWImage and the set of						
ArubaAWImage: Constraint of the second						
United StatesUSImage: Constraint of the state of						
New Zealand NZ Image: Constraint of the second sec						
New Caledonia NC Image and the second secon						
BangladeshBDIIBarbadosBBIIThe BahamasBSIIBahrainBHIIBelarusBYIIBelgiumBEIIBelizeBZIIBeninBJIIBernudaBMIIBoliviaBOIIBosnia and HerzegovinaBAIIBotswanaBWIIBotswanaBWIIBrazilBRIIBrunei DarussalamBNIIBouvet IslandBYIIBulgariaBGIIBurtanBTIIBurtanBTIIGabonGAIIUnited KingdomGBIIGhanaGHIIGuadeloupeGPII						
Barbados BB Image: space sp						
The BahamasBSImage: Constraint of the second	Barbados					
Bahrain BH Image: Second						
Belarus BY Belgium BE Belize BZ Benin BJ Bermuda BM Bolivia BO Bosnia and Herzegovina BA Botsua BW Brazil BR Brazil BR British Indian Ocean Territory IO Brunei Darussalam BN Bulgaria BG Burndi BI Burndi BI Burndi BI Burndi BI Burndi BG Burndi BG Burndi BG Burndi GG Burndi GA Burndi BI Bhutan BT Gabon GA Gaban GM Ghana GH Gurnsey GG Guradeloppe GP						
BelgiumBEImage: state of the state o						
BelizeBZImage: style						
BeninBJImage: style						
BermudaBMImage: style="text-align: center;">Image: style="text-align: center;">Image: style="text-align: style="text-align: center;">Image: style="text-align: style="tex						
BoliviaBOImage: constraint of the system of the syst						
Bosnia and HerzegovinaBAImage: Constraint of the system of the sys						
BotswanaBWImage: scalar						
BrazilBRImage: constraint of the systemBritish Indian Ocean TerritoryIOImage: constraint of the systemBrunei DarussalamBNImage: constraint of the systemBouvet IslandBVImage: constraint of the systemBulgariaBGImage: constraint of the systemBulgariaBGImage: constraint of the systemBurkina FasoBFImage: constraint of the systemBurundiBIImage: constraint of the systemButtanBTImage: constraint of the systemGabonGAImage: constraint of the systemUnited KingdomGBImage: constraint of the systemGuyanaGYImage: constraint of the systemGhanaGHImage: constraint of the systemGuernseyGGImage: constraint of the systemGuadeloupeGPImage: constraint of the system						
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IOIOIOIOBrunei DarussalamBNIOIOBouvet IslandBVIOIOBulgariaBGIOIOBurkina FasoBFIOIOBurundiBIIOIOBhutanBTIOIOGabonGAIOIOUnited KingdomGBIOIOGuyanaGYIOIOGhanaGHIOIOGuernseyGGIOIOGuadeloupeGPIOIO		DK				
Bouvet IslandBVImage: Constraint of the system of th						
BulgariaBGImage: constraint of the systemBurkina FasoBFImage: constraint of the systemBurundiBIImage: constraint of the systemBurundiBTImage: constraint of the systemBhutanBTImage: constraint of the systemBhutanBTImage: constraint of the systemGabonGAImage: constraint of the systemGabonGAImage: constraint of the systemGabonGAImage: constraint of the systemGuyanaGBImage: constraint of the systemGuyanaGYImage: constraint of the systemGhanaGHImage: constraint of the systemGermanyDEImage: constraint of the systemGuernseyGGImage: constraint of the systemGuadeloupeGPImage: constraint of the system						
Burkina FasoBFImage: Constraint of the second						
BurundiBIImage: Constraint of the second seco						
BhutanBTImage: Constraint of the second secon	Burkina Faso	BF				
GabonGAImage: Constraint of the systemUnited KingdomGBImage: Constraint of the systemGuyanaGYImage: Constraint of the systemGuyanaGMImage: Constraint of the systemGhanaGHImage: Constraint of the systemGermanyDEImage: Constraint of the systemGuernseyGGImage: Constraint of the systemGuadeloupeGPImage: Constraint of the system						
United KingdomGBImage: Constraint of the systemGuyanaGYImage: Constraint of the systemGuyanaGMImage: Constraint of the systemGhanaGHImage: Constraint of the systemGermanyDEImage: Constraint of the systemGuernseyGGImage: Constraint of the systemGuadeloupeGPImage: Constraint of the system						
GuyanaGYImage: Constraint of the GambiaThe GambiaGMImage: Constraint of the GambiaGhanaGHImage: Constraint of the GambiaGermanyDEImage: Constraint of the GambiaGuernseyGGImage: Constraint of the GambiaGuadeloupeGPImage: Constraint of the Gambia						
The Gambia GM Image: Constraint of the system Ghana GH Image: Constraint of the system Germany DE Image: Constraint of the system Guernsey GG Image: Constraint of the system Guadeloupe GP Image: Constraint of the system						
GhanaGHImage: Constraint of the second						
Germany DE Image: Constraint of the second						
Guernsey GG Guadeloupe GP						
Guadeloupe GP						
Guatemala						
	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	Dominican Republic	DO				

Egypt	EG		
Ethiopia	ET		
Ecuador	EC		
Equatorial Guinea	GQ		
Iraq	IQ		
Eritrea	ER		
	ES		
Spain			
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	<u> </u>	
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	СК		
Curaçao	CW		
Lao People's Democratic Republic			
Las i copie s Democratic Republic	LA		
Latvia	LV		
Lesotho	LS		
	LS	<u> </u>	
Lebanon			
Liberia	LR	<u> </u>	
Libya	LY	<u> </u>	
Lithuania	LT		
Liechtenstein	LI		
Luxembourg	LU	ļ	
Madagascar	MG		

Mauritius	MU	1	l	l	
Mauritania	MR				
Macao	MO				
North Macedonia	MK				
Malawi	MW				
Malaysia	MY				
Maldives	MV				
Mali	ML				
Malta	MT				
Morocco	MA				
	MA				
Martinique Marshall Islands	MQ MH				
	YT				
Mayotte					
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				
	WS				<u> </u>
Samoa South Africa	ZA				
	SS				
South Sudan	55				
South Georgia and the South Sandwich Islands	GS				
San Marino	SM				
Saudi Arabia	SA				
Sao Tome and Principe	ST				
France	FR			1	
French Guiana	GF				
French Gulana	Gľ			l	l

French Polynesia	PF	I	I	I	1
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				
	PM				
Saint Pierre and Miquelon 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	1			
Somalia	SO	1			
Armenia	AM	1			
Sudan	SD				
Suriname	SR				
Taiwan, Province of China	TW				
Thailand	TH				
Tanzania	TZ				
Tajikistan	TJ				
Turks and Caicos Islands	TC				
Timor-Leste	TL				
	TG				
Togo Tokelau	TK				
	TO				
Tonga	TT				
Trinidad and Tobago					
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			1	
Qatar	QA				
Kyrgyzstan	KG	1	1		
United States Minor Outlying		1	1		1
Islands	UM				
Sweden	SE	1			
Switzerland	СН		1		1
Christmas Island	CX	1			
Simisting Island	U/A	I	I	1	I

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				
Countries/territories, which are not separated out		-	-	-	-
List:					

Form N5. Information about the residency of clients and transactions carried out by them

Registration countries				Legal entities	Natural		
	the country	Number of transactions	Volume of transactions	Number of transactions	Volume of transacti ons		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 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	1	I	1		
British Indian Ocean	DK					
Territory	IO					
Brunei Darussalam	BN					
Bouvet Island	BN					
Bulgaria	BG					
Burkina Faso	BF					
Burundi	BI					
Bhutan	BT					
Gabon	GA					
United Kingdom of Great	GB					
Britain and Northern Ireland						
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	DIVI					
Dominican Republic	DO					
Egypt	EG					
Ethiopia	ET					
Ecuador	EC					
Equatorial Guinea	GQ					
Iraq	IQ					
Eritrea	ER					
Spain	ES					
Estonia	EE	[]				
	VU					
Vanuatu	٧U					
Holy See	VA					
Venezuela	VE					
Vietnam	VN					
Virgin Islands (U.S.)						
8	VI					
Virgin Islands (British)						
(ingin totalias (Direction)	VG					
Zambia	ZM					
Zimbabwe	ZW					
Turkey	TR					
Turkmenistan	TM					
Jamaica	JM	[]				
-						
Japan Vemen	JP					
Yemen	YE	 				
India	IN	·				
Indonesia	ID					
Jordan	JO					
Iran (Islamic Republic of)	IR					
Ireland	IE					
Iceland	IS	ł				
Israel	IL	<u> </u>				

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Italy	IT						
Cabo Verde	CV						
Cayman Islands Cambodia	KY						
	KH						
Cameroon	CM						
Canada	CA						
Bonaire, Sint Eustatius and Saba	BQ						
Kenya	KE						
Cyprus	CY						
Kiribati	KI						
Columbia	CO						
Comoros	KM						
Congo	CG						
Congo (the Democratic Republic of the)	CD						
Korea	KR						
Korea (the Democratic							
People's Republic of)	KP						
Costa Rica	CR	┨─────┤					
Côte d'Ivoire	CI	┟────┤					
Cuba	CU	┟────┤					
Cuba Cook Islands	CU	┟────┤					
Cook Islands Curaçao	CW						
Lao People's Democratic	CW						
Lao People's Democratic Republic	LA						
T - t- i-	LV						
Latvia Lesotho	LV						
Lebanon	LS						
Liberia	LB						
Libya	LY						
Libya	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	ļļ					
Morocco	MA	ļļ					
Martinique	MQ	ļļ					
Marshall Islands	MH	ļļ					
Mayotte	YT	ļļ					
Isle of Man	IM	ļļ					
Mexico	MX						
Myanmar	MM						
Micronesia (Federated States of)	FM						
Mozambique	MZ						
Moldova	MD						
Monaco	MC						
Montserrat	MS						
Montenegro	ME						
Mongolia	MN						
11101150110	TATTA						I

Namibia	NA	I			
Nauru	NR				
Nepal	NP				
Niger	NP			 	
	NG			 	
Nigeria					
Netherlands	NL				
Nicaragua	NI				
Niue	NU				
Norway	NO				
Norfolk Island	NF				
Oman	OM				
Pakistan	PK				
Palau	PW				
State of 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				
	PF			 	
French Polynesia	Pr				
French Southern	TF				
Territories	66				
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	1	· · · · ·	1	l	I	1
Syrian Arab Republic	SY					
Slovakia	SK					
Slovenia	SI					
Solomon Islands	SB					
Somalia	SO					
Armenia	AM					
Sudan	SD					
Suriname	SR					
Taiwan (Province of China)	SK					
	TW					
Thailand	TH					
Tanzania, United Republic of	ΤZ					
Tajikistan	TJ					
Turks and Caicos						
Islands	TC					
Timor-Leste	TL					
Togo	TG					
Tokelau	TK					
Tonga	ТО					
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					
Kuuvoit	KW					
Kuwait						
Kazakhstan	KZ					
Qatar	QA KG					
Kyrgyzstan						
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					
Diroouti	IJ					

Haiti	HT						
Heard Island and McDonald Islands	HM						
Honduras Hong Kong	HN HK						
Georgia	GE						
Stateless persons							
Countries/territories, which are not separated out		-	-	-	-	-	-
List:							

Form N6. Information about the residency of the client

Registrations countries	Country code	Legal entities	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 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	ЈО	
Iran (Islamic Republic of)	IR	
Ireland	IE	
Iceland	IS	
Israel	IL	
Italy	IT	
Cabo Verde	CV	
Cayman Islands	KY	
Cambodia	KH	
Cameroon	СМ	
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	СК	
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	
Масао	МО	
Republic of North Macedonia	МК	
Malawi	MW	
Malaysia	МҮ	
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	РК	
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	
Тодо	TG	
Tokelau	TK	
Tonga	ТО	
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	СН	
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	НК		
Georgia	GE		
Stateless persons			
Countries/territories, which are not separated out		-	-
List:			

Form N7. Information about customers identified on the basis of a third party

Name of the organization	country	Country code	Number of persons	Number of transactions	Volume of transactions
Total					
Sum total			-	-	-

Form N8. Information about clients with high-risk activities and risk-bearing clients with various signs

Clients	Number of persons	Volume of transactions
Total data	-	-
Total	-	-
Professional service providers		
Persons carrying out gambling activities		
Persons carrying out activities related to precious metals, precious stones and their products, antiques and works of art		
Persons related to the production and/or trade of weapons and ammunition, military equipment and transport (parts).		
Persons related to the production and/or trade of chemical substances		
Persons related to the production and/or trade of nuclear reactor materials		
Sports clubs		
Investment funds/companies		
Holding companies		
Asset management companies		
Companies providing trust services		
Companies with a trust-legal relationship		
Real estate agents		
Binary options trading companies		
Politically active persons		
Total	-	-
Persons about whom reports have been sent to the Financial Monitoring Service with a suspicious status		
Companies with complex ownership structures		
Persons whose beneficiary owners are registered in worthy of attention/offshore/non-cooperative zones		
Other high-risk customers	-	-

Form N9. Information about intermediaries

Name	Country	Country code	Date of establishment of business relationship	Volume of transactions

Form N10. Statistical information about reports sent to the Financial Monitoring Service

Reports sent to Financial Monitoring Service	Number of reports
Total	-
Suspicious	
Financing of terrorism	
Others	
Above the limit	
A transaction executed with securities on the representative	
A transaction implemented by a suspicious financial institution	
A transaction with securities carried out by a person being in noteworthy and suspicious zone and registered (including the registered branch of such a legal entity in Georgia) and/or a transaction made using a bank account of a bank operating in such zone	
Transaction carried out by cash	

Form N11. Information about reports sent with a suspicious status according to the residency of customers

Status	Residency	Country code	Number of persons	Additional information

Form N11-1. Information about reports sent with suspicious status according to product/transaction

status	Name of the product/transaction	Number of cases	Additional information

Form N12. Information about sanctioned customers and suspended transactions

Registration countries	Country codes	Number of persons whose propert y was seized	The number of persons whose transactions have been suspended
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	1	
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	BG		
Burundi	BI		
Bhutan	BT		
Gabon	GA		
United Kingdom of Great Britain and Northern Ireland	GA GB		
	GB		
Guyana Gambia			
Gambia Ghana	GM 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		
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Form N13. Information about the state of implementation of the recommendations of the National Bank of Georgia

Recommendation	The term of	Performance	Com la sta 1	Performance
Kecommendation			Conducted	
	performance	condition	measures	date
	established by the	(Status)		
	National Bank of			
	Georgia			
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Form N14. Information on suspicious zones

Zone lists	Country codes	Date of entry into the zone list	Grounds for considering the zone suspicious

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Form N15. Information about risk-bearing products

Product name	Product description	Money laundering and terrorist financing risk factors	Risk reduction measures	Product turn over

Annex N2. (27.06.2018 N122/04)

Offshore zones

Cyprus	СҮ
United Arab Emirates	AE
Ireland	IE
Kuwait	KW
Philippines	РН

Lebanon	LB
Switzerland	СН
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	НК
	NI
Nicaragua Costa Rica	CR
Nauru	NR
Botswana	BW
	AO
Angola Andora	
Andora Barbados	AD
	BB
Bahamas	BS
Belize Bermuda	BZ BM
Brunei Darussalam	BN GG
Guernsey Guatemala	
	GT
Gibraltar	GI GD
Grenada	
Virgin Islands (U.S.)	VI
Virgin Islands (British) Cook Islands	VG
	СК
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
