SWIFT RUS 8

Formats and Usage Guidelines

This edition is prepared by the Russian National SWIFT Association

Moscow, September 2012
Usage Guidelines for SWIFT standards for financial messages exchange in securities market with consideration of requirements and particular features of the Russian market

Release 8
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Corporate Action Event Indicators
INTRODUCTION

The purpose of creating the present document is to extend the scope of opportunities of Russian S.W.I.F.T. Users, their correspondents and counterparties for using S.W.I.F.T. network for securities transactions in Russian stock market.

The present guidelines SWIFT-RUS Release 8, created by the Russian National SWIFT Association, fully comply with SWIFT message standards requirements stipulated in SWIFT User Handbook, while taking into account the features peculiar to securities transactions in the Russian securities market.

In order to achieve this goal the National Market Practice Group for elaboration of S.W.I.F.T. standards usage guidelines for Category 5 messages by the Russian National SWIFT Association defined additional rules for creating SWIFT messages related to securities transactions. With the help of such rules application of unified technology becomes possible that results in automation of messages processing for securities market transactions with taking into consideration the requirements of regulating authorities, numerous peculiar traits and matching individual practices of different financial institutions involved in exchange of Category 5 messages. The document is based on ISO 15022 standard, which is de facto international standard for electronic messages in securities markets. The authors of the document recommend to stipulate the usage of this standard in bilateral arrangements between securities market participants.

The present document should be used together with appropriate volumes of SWIFT User Handbook translated into Russian by the Russian National SWIFT Association.

This release of SWIFT-RUS 8 standards becomes effective as soon as approved by the Russian National SWIFT Association Steering Committee (November 2012).
1. General clauses

1.1 Message formats

All financial messages exchanged through S.W.I.F.T. network should conform to the formatting rules of the respective message types.

Format specifications for messages in the present Guide are based on the same scheme and the same notations as in the volumes of Standards User Handbook set.

In accordance with the decision of Securities Market Practice Group (SMPG) each message should contain the following information:

Field :20C::SEME//Reference (1.8.6).
Field :98A::SETT//Settlement Date (1.8.23).
Field :98A::TRAD//Trade Date (1.8.23).
Field :35B::Identification of the Financial Instrument specifying ISIN code (1.8.13).
Field :36B::Quantity of the Financial Instrument to be settled (1.8.14).
Field :97A: Account number and account type of the party involved in transaction (1.8.22).
Field :95a: DEAG// or :95a::REAG// Delivering Agent or Receiving Agent (it is recommended to use BIC code) (1.8.21).
Field :95a::SELL// or :95a::BUYR//client Delivering Agent or Receiving Agent (it is recommended to use BIC code) (1.8.21).
Field :95P::PSET//Place of Settlement (it is recommended to use BIC code) (1.8.21).
Field :19A::SETT// Currency code and cash amount paid (or to be paid) in exchange for the securities in the instructions to receive/delivery versus payment (1.8.5).

1.1.1. MT Field Specifications

This section describes rules which apply to the fields of a message. Description of the field, may contain some or all of the following:

FORMAT

Specifies the field formats which are allowed for the field.

PRESENCE

Indicates if the field is mandatory, optional or conditional in its sequence.

QUALIFIER

Lists the qualifiers which may be used for the field. An explanation for reading the qualifier table may be found in the “Category 5 – Securities Markets - Message Usage Guidelines”.

DEFINITION

Specifies the definition of the field in the message type.
CODES
Lists all codes available for use in the field. If there is more than one subfield for which codes are defined, each separate code list will be identified with a CODES heading. When a list of codes is validated by the network, the error code will be specified.

NETWORK VALIDATED RULES
Specifies rules that are validated on the network, that is, rules for which an error code is defined. Generally, rules specified in this section affect only the field in which they appear. In some cases, rules which are validated at the message level, i.e., rules which affect more than one field, are repeated in this section. This is the case when the rule does not affect the presence of the field, but information within several fields (e.g., a currency which must be the same for more than one field in the message).

USAGE RULES
Specifies rules that are not validated on the network, that is, rules for which no error code is defined, but are nevertheless mandatory for the correct usage of the field.

This field may contain recommendations of NSMPG regarding the usage of this field, which are not validated on the network and are not mandatory for the correct usage of the message. They are intended to ensure most efficient operation with the message when conducting an operation on the securities market.

EXAMPLES
Provides one or more examples of the field as it will be formatted/used.

1.1.2. Message Type Format Specifications

Format specifications are the formatting rules for the settlement instructions, confirmations, reports and settlement status advices. This information is provided in table form for each message type:

GENERAL INFORMATION
Scope of application of the message type.

FORMAT SPECIFICATIONS
Rules for the layout of the message type.
This information is provided in table form as the following:

<table>
<thead>
<tr>
<th>Status</th>
<th>Tag</th>
<th>Detailed Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
<th>№ clause in RUS</th>
<th>№ SWIFT User Handbook</th>
</tr>
</thead>
</table>

Where
Status – indicates if the field is:
- M – Mandatory
- O – Optional.
The status \textbf{M} for fields in optional (sub)sequences means that the field must be present if the (sub)sequence is present and at least one field is filled in the (sub)sequence, otherwise it is not used.

\textbf{Tag} is the field identification.

\textbf{Detailed Field Name} is the detailed name of the field tag, for this message type.

\textbf{Content/Options} provides permitted field length and characteristics. For information concerning field structure, notation and character restrictions, please see volume “Standards MT General Information”.

\textbf{Qualifier} specifies the qualifier to be used in the field.

\textbf{№ of section in RUS} is the section number in the RUS which contains field specification

\textbf{№ SWIFT User Hand book} identifies the number of the field in the Field Specifications for the message type in current release of the SWIFT User Handbook.

\textbf{EXAMPLES AND SCHEMES}

Examples of message usage on the national securities market taking into account recommendations developed by NSMPG and corresponding schemes for securities movements.

In the message of any type it is possible to use only those fields and only those options which are provided by the format a message type.

\section*{1.2. ISO Identification Codes}

\subsection*{1.2.1. Bank Identifier Code (BIC) of the International Organization for Standardization (ISO)}

For SWIFT Users’ identification Bank Identifier Code (BIC) can be used. It is assigned in accordance with ISO standard.

\textbf{FORMAT}

4!a2!a2!c[3!c], where

- Bank code 4!a
- Country code 2!a
- Location code 2!c
- Branch code [3!c]

Country code is based on ISO 3166 international standard.

BIC is used in the Header of a financial message to identify its Sender and Receiver and in the text of a financial message to identify a settlement party (field 95) involved in securities transactions. For further information see Option P description.

\subsection*{1.2.2. International Securities Identification Number (ISIN) assigned by International Organization for Standardization (ISO)}

SWIFT Users can use unified international identification codes ISIN (International Securities Identification Number) for identifying securities involved in transactions
in the stock market. These codes are assigned by a designated ISO Registration Authority – ANNA – in compliance with ISO 6166 international standard.

The structure of ISIN is the following:

**FORMAT:**

2!a10!c, where

- **Country Code** 2!a
- **Security Identification Number assigned by designated authority** 10!c

**EXAMPLE:**

:35B:ISIN RU0009046585

### 1.2.3. Currency Codes assigned by International Organization for Standardization (ISO)

**FORMAT:**

3!a

The currency code consists of two letters of ISO country code and the following third letter, indicating the specific type of currency or money. For the Russian ruble it looks like the **RUB**.

The currency code must be valid ISO code (verified by the network).

### 1.3. Allowed character set and transliteration

The character set allowed by S.W.I.F.T. to be used in text fields of the messages included in the present Guide is the following:

```
abcdefghijklmnopqrstuvwxyz
ABCDEFGHIJKLMNOPQRSTUVWXYZ
0123456789
/ - ? : () . ' +
```

- Carriage Return
- Line Feed
- Space

As the allowed character set does not contain Cyrillic characters, conversion from Cyrillic to Latin letters should be done for the purpose of financial messaging in accordance with the unified transliteration table and the rules stipulated further in this document.

The rules and transliteration table included in this section ensure the conversion from Cyrillic to Latin characters. All the messages, created by the Sender in compliance with SWIFT-RUS recommendations, that possibly contain Cyrillic letters and/or are meant to be processed by the Receiver in Russian language, must be converted.

During transliteration the upper/lower case of Cyrillic characters does not matter: all Cyrillic characters are considered as UPPER case symbols.

Transliteration should be reversible, i.e., the information before direct transliteration and after reverse transliteration must be identical (on both – Sender’s and Receiver’s...
- sides), through which the maximum authenticity of transmitted information is

guaranteed. This rule has the following exceptions: special mode of conversion of
symbol «“» (double quotes) described in section 1.3.2 and impossibility of
preserving the original case (register) of Cyrillic characters.

1.3.1. Transliteration Indicator

To notify the Receiver of the necessity of reverse transliteration of the whole line or
its part the Sender puts transliteration indicator in the field immediately before the
text that should be converted (that contains Cyrillic characters) and also after the
text.

The transliteration indicator in SWIFT-RUS is apostrophe «’». This indicator is used
to notify of the start/stop of transliteration and means, that the following characters
of the line in the field must be converted in accordance with the rules and the table
included in the present document (during the first/odd entry) or must not be
converted (during the second/even entry).

The transliteration indicator may be omitted in the end of the text under
transliteration if the field does not contain more characters.

1.3.2. Transliteration Rules

Each character of the Russian alphabet should be transliterated by one appropriate
character of the Latin alphabet.

In order to enlarge the Latin character set and to avoid the field size extension
UPPER and lower case characters are used according to the Table of correspondence
indicated below.

Service symbols are quoted unchanged except for the apostrophe («’»).

In the process of direct conversion each symbol of apostrophe («’») matches with a
series of two symbols of apostrophe («’») independently from the position of
Cyrillic or Latin characters – on its right or left side.

Taking into account frequent usage of the symbol of double quotes («”») and for the
purpose of its integration in the allowed character set it is considered as equivalent to
the symbol of apostrophe and should be converted accordingly. In the result of
reverse conversion on the Receiver’s side the symbol of double quotation in the
Sender’s original text will correspond to the symbol of apostrophe in the received
text.

The fields and subfields of the message’s Text block should be converted.

The following information should not be converted:

• The service part of the message (Header, Trailers, Field Tags, Field
  options, colons used as Field Tags separators, symbols of <Carriage return>, <Line feed>,
  apostrophe etc.);

• Information in the Reference field (field 20) and in the Related reference
  field (field 21);
Fields containing numbers, code words or other codes according to SWIFT standards;

Fields identifying Settlement parties with option P;

Qualifiers;

Code words in between two slashes.

If SWIFT-RUS transliteration is used, the following fact should be taken into account: the length of the field of the message to be sent through SWIFT network and to be transliterated together with all the service symbols of apostrophe must comply to the maximum field length in accordance with SWIFT standards.

### 1.3.3. Transliteration Table

<table>
<thead>
<tr>
<th>Symbol of the Russian alphabet</th>
<th>Symbol of the Latin alphabet</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Б</td>
<td>B</td>
<td></td>
</tr>
<tr>
<td>В</td>
<td>V</td>
<td></td>
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<tr>
<td>Г</td>
<td>G</td>
<td></td>
</tr>
<tr>
<td>Д</td>
<td>D</td>
<td></td>
</tr>
<tr>
<td>Е</td>
<td>E</td>
<td></td>
</tr>
<tr>
<td>Ё</td>
<td>o</td>
<td>Lower case</td>
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<tr>
<td>Ж</td>
<td>J</td>
<td></td>
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<tr>
<td>З</td>
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<tr>
<td>И</td>
<td>I</td>
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</tr>
<tr>
<td>Й</td>
<td>i</td>
<td>Lower case</td>
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<tr>
<td>К</td>
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<tr>
<td>Ц</td>
<td>C</td>
<td></td>
</tr>
<tr>
<td>Ч</td>
<td>c</td>
<td>Lower case</td>
</tr>
<tr>
<td>Ш</td>
<td>Q</td>
<td></td>
</tr>
</tbody>
</table>
EXAMPLE 1:

The original text at the Sender’s of the message side (before transliteration): 25 positions

Компания ”Alliance” (ЗАО)

The text in SWIFT message (after transliteration): 30 positions

"KOMPANIa ’’Alliance’’ (‘‘ZAO)

The text at the Receiver’s side (after reverse transliteration): 25 positions
EXAMPLE 2:

The original text at the Sender’s of the message side (before transliteration): 5 positions
O’Key
The text in SWIFT message (after transliteration): 6 positions
O”Key
The text at the Receiver’s of the message side (after reverse transliteration): 5 positions
O’Key

1.4. Indicator of SWIFT-RUS standards release

SWIFT –RUS standards include the notion of «standard indicator» which is used together with transliteration indicator to define the release of the present document used by the Sender of the message.

This indicator is mandatory for all message types and is put in block 3 of the User Header Block in the field 113. Its format is the following: 4!x.

The standards release indicator for the version SWIFT-RUS8 is RUS8.

1.5. Message length

The maximum message length for Category 5 in compliance with ISO 15022 standard is 10000 characters.

1.6. Message structure

1.6.1. Principles of message text creation

The text of an ISO 15022 message conforms to a defined block structure. Each block consists of fields containing logically interrelated data. Main blocks may include nested blocks.

Each block starts and ends with predefined service fields that contain the name of the block:

- :16R: - start of block
- :16S: - end of block

Depending on the syntaxes rules blocks containing data of the same type may be repeated several times in the text of a message.
1.6.2. Message Field Types

The text of a message consists of two types of fields: discrete fields and generic fields.

**DISCRETE FIELD**

Has only one business meaning for all message types.

**FORMAT:**

:2!n[1!a]:<data content>, where:

:2!n[1!a]: - field tag

<data content> - information in the field

Examples of discrete fields:

:16R:GENL start of block
:16S:GENL end of block
:35B: identification of the Financial Instrument
:23G:NEWM Function of the Message
:28E:1/ONLY : Page Number/Continuation Indicator

**GENERIC FIELD**

Is used to describe groups of business data that are common throughout the messages, eg, dates, amounts, settlement parties’ details. They are then made unique (eg, trade date or settlement date) by the addition of a Qualifier, which gives a specific business meaning to the Field.

**QUALIFIER**

Is a code word of fixed length which is separated from the Field Tag by a colon «:» and from the Field Data – by double slash.

**FORMAT**

Generic field: :2!n1!a::4!c/[8c]/<data content>, where:

- :2!n1!a: - field tag
- :1!a: - field number and option
- : - generic field mark
- :4!c – qualifier
- [8c] - Data Source Scheme
- <data content> – field content.

**EXAMPLE:**1.

:97A::4!c//35x account number
:97A::SAFE//12345 qualifier SAFE – safekeeping account
:97A::CASH//67890 qualifier CASH – cash account,
EXAMPLE: 2.

:98A::4!c//8!c  date
:98A::TRAD//20020810 qualifier TRAD – trade date
:98A::SETT//20020814 qualifier SETT – settlement date (according to terms and conditions of the contract).

1.6.3. Rules of message fields structuring

STRUCTURE

Each field is identified by a tag which consists of two digits followed by a letter option.
Field structure consists of a colon «:», followed by a tag, followed by a colon «:» and the field content.

CONTENT

Content and character restrictions applied to it:
Field must not start with a Carriage Return or Line Feed (\<Cr\><Lf>).
Field must not be entirely composed of blank characters and must consist of at least one meaningful character.
Within discrete field content a colon «:» or hyphen «-» must never be used as the first character of a line.
Fields are separated by a ‘Field Separator within Text’ (\<Cr\><Lf>).
Field content may be composed of one or several components of fixed or variable length. Subfield may be mandatory or optional.
The first field in a message is preceded by a ‘Start of Text’ (\<Cr\><Lf>) and the last field in a message is followed by an ‘End of Text’ (\<Cr\><Lf>-).

1.7. Data Types

LENGTH

nn   Maximum length
nn!  Fixed length
nn-nn Minimum and maximum length
nn*nn Maximum number of lines times maximum line length

TYPES OF CHARACTERS

n   numeric (0-9) only
a   alphabetic capital letters (A-Z)
c   alpha-numerical capital letters (upper case) and digits only
x   any character of the X permitted set
e   blank or space
d   The integer part must contain at least one digit. A decimal comma is mandatory and is included in the maximum length. Punctuation marks or blanks, are not permitted within the integer part or decimal part.
BRACKETS

[ ] Optional subfield
{ } Block separator

“X” PERMITTED CHARACTER SET

a-z A-Z 0-9 - / : ( ) , ‘ + ? <CrLf> <Space>

CODE WORDS AND QUALIFIERS

Upper case alphabetic letters and digits only.

1.8. Fields Specifications

The following general rules apply to all fields:
The field length and type of characters are specified in the field specifications for individual message types.

Unless otherwise stated, all specified subfields must be present.

Brackets, [ ], around the format of a particular subfield, indicate that the subfield is optional within that field. For example, if the format for a field is ‘16x/[4x]’, up to 16 characters must be present. The following 4 characters, preceded by a slash ‘/’, are optional, and therefore may not be present in the field.

A field format may be shown on two or more lines, if the field contains several lines the field format should contain number of lines and the maximum allowable number of characters with “*”: 10*35x, 6*35x, 4*35x etc.

EXAMPLE:

:95Q::4!c//4*35x, i.e.,
:95Q::BUYR//HONGKONG SECURITIES
EXCHANGE SQUARE 3
CENTRAL HONG KONG
or
:95P::4!c//4!a2!a2!c[3!c], i.e.,
:95P::DEAG//SBOSUS3N

1.8.1. Field 11A Currency

FORMAT

<table>
<thead>
<tr>
<th>Option A</th>
<th>:4!c//3!a</th>
<th>(Qualifier)</th>
<th>(Currency Code)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Qualifier</td>
<td>4!c</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Currency Code</td>
<td>3!a</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
PRESENCE
Optional
QUALIFIER

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACCT</td>
<td>Currency of Account</td>
<td>Base currency of the account.</td>
</tr>
<tr>
<td>DENO</td>
<td>Currency of Denomination</td>
<td>Currency in which a financial instrument is currently denominated.</td>
</tr>
<tr>
<td>FXIB</td>
<td>Currency to Buy</td>
<td>Account servicer is instructed to buy the indicated currency after the receipt of cash proceeds.</td>
</tr>
<tr>
<td>FXIS</td>
<td>Currency to Sell</td>
<td>Account servicer is instructed to sell the indicated currency in order to obtain the necessary currency to fund the transaction within this instruction message.</td>
</tr>
<tr>
<td>OPTN</td>
<td>Currency Option</td>
<td>Currency in which the cash disbursed from an interest or dividend payment is offered.</td>
</tr>
</tbody>
</table>

DEFINITION
The field contains information about the currency code. This field is used both for the settlements and reports on the settlements, and for Corporate Action messages.

NETWORK VALIDATED RULES
Currency Code must be a valid ISO 4217 currency code (Network Validated Rules).

EXAMPLES
:11A::DENO//EUR currency of denomination of financial instrument
:11A::OPTN//USD cash payment is done in US dollars

1.8.2. Field 12a Type of Financial Instrument

Option A :4!c/[8c]/30x Qualifier)(Data Source Scheme)(Instrument Code or Description)
Option B :4!c/[8c]/4!c (Qualifier) (Data Source Scheme) (Instrument Type Code)
Option C :4!c//6!c (Qualifier) (CFI code)

where
- Qualifier 4!c
- Data Source Scheme [8c]
- Instrument Type Code 30x
- Instrument code or
- Description 4!c
- CFI code 6!c
PRESENCE
Optional

DEFINITION
The field can be used in both in settlements messages and settlements reconciliation, as well as in Corporate Action messages:
The fields indicates the following information:
- Classification Type of the financial instrument / qualifier CLAS /,
- Option Style /OPST/,
- Option Type /OPTI/.

Classification type
Classification type of the financial instrument, for example, ISO Classification of Financial instrument (CFI).

Option Style Specifies how an option can be exercised (American or European).

Option Type
Specifies whether it is a call option or a put option.

USAGE RULES
In option B if Data Source Scheme is not present, Instrument Type Code must contain one of the following codes:

Option style – AMER (American Style) or EURO (European Style).

Option type – CALL (Call Option) or PUTO (Put Option).

When option C is used, CFI code must contain a valid ISO CFI code.

EXAMPLES
:12A::CLAS/ECLR/BOND Classification Type of financial instrument code is indicated with Euroclear Data Source Scheme.
:12B::OPST//AMER Specifies how an option can be exercised
:12C::CLAS//ESVUFR CFI code classification type

1.8.3. Field 13a Number Identification

FORMAT

Option A :4!c/3!c (Qualifier) (Number ID)
Option B :4!c/[8c]/30x (Qualifier) (Data Source Scheme) (Number)
Option J :4!c//5!c (Qualifier) (Extended Number ID)

where
- Qualifier 4!c
- Number ID 3!c
- Extended Number ID 51c
- Number - XML message identifier 30x

**PRESENCE**
Optional

**QUALIFIER**
The field can be used in both in settlements messages and settlements reconciliation, as well as in Corporate Action messages:

It is recommended to use the following qualifiers:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAON</td>
<td>CA Option Number</td>
</tr>
<tr>
<td>COUP</td>
<td>Coupon Number</td>
</tr>
<tr>
<td>LINK</td>
<td>Linked Message</td>
</tr>
<tr>
<td>LOTS</td>
<td>Lot Number</td>
</tr>
<tr>
<td>POOL</td>
<td>Pool Number</td>
</tr>
<tr>
<td>STAT</td>
<td>Statement Number</td>
</tr>
<tr>
<td>VERN</td>
<td>Version Number</td>
</tr>
</tbody>
</table>

Possibility of using a specific code is determined in the message specification.

**DEFINITION**
This field specifies the message type number of the related message as well as the sequential number of the report, assigned by the sender.

**NETWORK VALIDATED RULES**
Extended number identification is only used in change reports (DELT code). Reference number in Option B must not start or end with a slash «/» and not contain two consecutive slashes «//».

**USAGE RULES**
With qualifier LINK Number ID must contain the FIN message type number of the linked message.

**EXAMPLES**
:13A::LINK//540  Message type number of the linked message
:13A::STAT//364  Statement Number of the report
:13A::CAON//002 Corporate Action Option Number
### 1.8.4. Field 17B Flag

**FORMAT**

```
Option B :4!c//1!a (Qualifier) (Flag)
```

where

- **Qualifier** 4!c
- **Flag** 1!a

**PRESENCE**

Optional

**QUALIFIER**

It is recommended to use the following qualifiers:

<table>
<thead>
<tr>
<th>ACTI</th>
<th>Activity Flag</th>
<th>Indicates whether holdings or transactions are reported in this statement</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUDT</td>
<td>Audited statement</td>
<td>Indicates whether the statement is audited.</td>
</tr>
<tr>
<td>CALL</td>
<td>Callable Flag</td>
<td>Indicates whether the issuer has the right to repay the financial instrument prior to maturity (used in the Corporate Action messages).</td>
</tr>
<tr>
<td>CERT</td>
<td>Certification/Breakdown Flag</td>
<td>Indicates whether certification/breakdown is required. (providing information about the owner of the securities)</td>
</tr>
<tr>
<td>CONS</td>
<td>Sub-safekeeping Statement</td>
<td>Indicates whether the statement reports holdings or transactions at sub-safekeeping account level.</td>
</tr>
<tr>
<td>CHAN</td>
<td>Change Allowed Flag</td>
<td>Indicates whether change of instruction is allowed.</td>
</tr>
<tr>
<td>DFLT</td>
<td>Default Processing Flag</td>
<td>Indicates whether the option, for example, currency option, will be selected by default if no instruction is provided by the account owner. (used in the Corporate Action messages)</td>
</tr>
<tr>
<td>FRNF</td>
<td>Floating Rate Note Flag</td>
<td>Indicates whether the interest rate of an interest bearing instrument is reset periodically. (used in the messages for corporate actions)</td>
</tr>
<tr>
<td>PUTT</td>
<td>Putable Flag</td>
<td>Indicates whether the holder has the right to ask for redemption of the financial instrument prior to final maturity (used in the Corporate Action messages).</td>
</tr>
<tr>
<td>RCHG</td>
<td>Charges Flag</td>
<td>Indicates whether charges apply to the holder, for instance redemption charges. (used in the Corporate Action messages)</td>
</tr>
<tr>
<td>STIN</td>
<td>Standing Instruction Flag</td>
<td>Indicates whether an account owner has placed a standing order to select this corporate action option. (used in the Corporate Action</td>
</tr>
</tbody>
</table>
WTHD Withdrawal Allowed Flag

Indicates whether withdrawal of instruction is allowed. (used in the Corporate Action messages)

DEFINITION

This field specifies the flag of information availability in the report, such as the balances or transactions on the account, as well as the type of the statement.

Corporate Action messages may contain the following information: whether certification from the account holder is required (providing information about the owner of the securities), changes of the interest rate on interest-bearing financial instrument, whether the holder has the right to ask for redemption of the financial instrument prior to final maturity, whether the issuer has the right to repay the financial instrument prior to maturity.

CODES

Subfield Flag must contain one of the following codes:

- N No
- Y Yes

USAGE RULES

If the Activity Flag (field:17B::ACTI) indicates no information to be reported, that is, N, then subsequences Financial Instrument or Transactions must not be present in the message. Otherwise, they are mandatory.

If the consolidated statement flag (field:17B::CONS) is set to «Y», then in each sequence of «Sub-safekeeping account» should be given the appropriate number of sub-accounts.

Qualifier AUDT is optional.

EXAMPLES

:17B::ACTI//N the report does not contain information
:17B::CONS//Y consolidated statement contains information on sub-accounts
:17B::DFLT//Y by-default option (if there are no instructions from the owner of the account)
:17B::RCHG//Y commission is charges form the owner of the account

1.8.5. Field 19a Amount

FORMAT

Option A :4!c/[N]3!a15d (Qualifier) (Sign) (Currency code) (Amount)

where

- Qualifier 4!c
- Negative amount sign [N]
- ISO currency code 3!a
It is recommended to use the following qualifiers in the messages on settlements and corporate actions:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACRU</td>
<td>Accrued Interest Amount</td>
</tr>
<tr>
<td>BOOK</td>
<td>Book Value</td>
</tr>
<tr>
<td>CHAR</td>
<td>Charges/Fees</td>
</tr>
<tr>
<td>COVA</td>
<td>Value of Collateral Held</td>
</tr>
<tr>
<td>DEAL</td>
<td>Trade Amount</td>
</tr>
<tr>
<td>ENTL</td>
<td>Entitled Amount</td>
</tr>
<tr>
<td>ESTT</td>
<td>Settled Amount</td>
</tr>
<tr>
<td>HOLD</td>
<td>Holding Value</td>
</tr>
<tr>
<td>LOCO</td>
<td>Local Tax</td>
</tr>
<tr>
<td>PSTA</td>
<td>Posting Quantity</td>
</tr>
<tr>
<td>REGF</td>
<td>Regulatory Amount</td>
</tr>
<tr>
<td>SETT</td>
<td>Settlement Amount</td>
</tr>
<tr>
<td>STAM</td>
<td>Stamp Duty</td>
</tr>
<tr>
<td>STEX</td>
<td>Stock Exchange Tax</td>
</tr>
<tr>
<td>TRAN</td>
<td>Transfer Tax</td>
</tr>
<tr>
<td>TRAX</td>
<td>Transaction Tax</td>
</tr>
<tr>
<td>VATA</td>
<td>Value-Added Tax</td>
</tr>
<tr>
<td>WITH</td>
<td>Withholding Tax</td>
</tr>
</tbody>
</table>

- **ACRU**: Amount of interest that has been accrued in between coupon payment periods.
- **BOOK**: The cost of all securities. This is needed for tax purposes in some countries.
- **CHAR**: Amount of money paid for the provision of financial services that cannot be categorised by another qualifier.
- **COVA**: Total value of the collateral (post-haircut) held by the exposed party prior to the collateral proposal.
- **DEAL**: Principal amount of a trade (price multiplied by quantity) or Principal amount of a trade (for second leg).
- **ENTL**: Cash amount based on terms of corporate action event and balance of underlying securities, entitled to/from account owner (which may be positive or negative).
- **ESTT**: Amount effectively settled and which will be credited to/debited from the account owner's cash account. It may differ from the instructed settlement amount (SETT) based on market tolerance level.
- **HOLD**: Value of an individual financial instrument holding within a safekeeping account.
- **LOCO**: Amount of tax charged by the jurisdiction in which the financial instrument settles.
- **PSTA**: Quantity of securities that have been posted (credit or debit) to safekeeping account.
- **REGF**: Amount of money charged by a regulatory authority, for example, Securities and Exchange fees in US.
- **SETT**: Total amount of money to be paid or received in exchange for the financial instrument.
- **STAM**: Amount of stamp duty.
- **STEX**: Amount of stock exchange tax.
- **TRAN**: Amount of tax levied on a transfer of ownership of financial instrument.
- **TRAX**: Amount of transaction tax.
- **VATA**: Amount of value added tax.
- **WITH**: Amount of money that will be withheld by a tax authority.
DEFINITION

This field specifies the total amount of funds effectively settled (ESTT) to be paid or received in exchange for the financial instrument. (SETT).

In Corporate Action messages the field may specify the amount entitled to the owner (ENTL), the gross amount of funds (GRSS), Withholding Tax Amount (TAXR), etc.

USAGE RULES

The maximum length is 15 characters, including a comma between the integer and fractional part.

The integer part of Amount must contain at least one digit. A decimal comma is mandatory and is included in the maximum length. Punctuation marks or blanks, are not permitted within the integer part or decimal part.

The field must not be empty or start with zero, only if zero is indicated in the integer part of the amount followed by a comma.

Sign N must be present only for the negative amount.

Currency Code must be a valid ISO currency code (validated on the network).

The field can be used in both in settlements messages and settlements reconciliation, as well as in Corporate Action messages:

Settlement Amount / qualifier SETT/,
Amount Effectively Settled / qualifier ESTT/,
Accrued Interest Amount / qualifier ACRU/,
Transaction Amount / qualifier DEAL/,
Executing Broker's Amount/ Commission / qualifiers EXEC, LOCO/,
Tax Amount / qualifier COAX, STAM, STEX, TRAN, TRAX, VATA, WITH etc./
Interest Amount / qualifier INTR/.

EXAMPLES

:19A::SETT//USD1000
:19A::ESTT//USD1000
:19B::ENTL//RUB750000 Entitled Amount payable to the owner
:19B::GRSS//RUB1000000 gross cash amount
:19B::NETT//RUB750000 Net Cash Amount
:19B::TAXR//RUB180000 Withholding Tax Amount

1.8.6. Field 20C Sender's Reference (message)

FORMAT

Option C :4!c//16x (Qualifier) (Reference)

where

- Qualifier 4!c
• Message reference 16x

PRESENCE
Mandatory
QUALIFIER
It is recommended to use the following qualifiers in the settlement and corporate action messages:

SEME - Reference assigned by the Sender to unambiguously identify the message.

DEFINITION
This field specifies reference of the message assigned by the Sender to unambiguously identify the message.

NETWORK VALIDITATED RULES
Reference must not start or end with a slash «/» and not contain two consecutive slashes «//».

USAGE RULES
It is recommended to indicate unique reference to unambiguously identify the message.

EXAMPLES
:20C::SEME//INST1425

**1.8.7. Field 20C Reference**

**FORMAT**

<table>
<thead>
<tr>
<th>Option C</th>
<th>4!c/16x</th>
<th>(Qualifier) (Reference)</th>
</tr>
</thead>
</table>

where

- Qualifier 4!c
- Linked message Reference/Corporate Action Reference 16x

**PRESENCE**
Mandatory in an optional sequence

**QUALIFIER**
It is recommended to use the following qualifiers in settlements and Corporate Action messages:

<table>
<thead>
<tr>
<th>COAF</th>
<th>Official Corporate Action Event Reference</th>
<th>Official and unique reference assigned by the official central body/ entity within each market at the beginning of a corporate action event.</th>
</tr>
</thead>
<tbody>
<tr>
<td>CORP</td>
<td>Corporate Action Reference</td>
<td>Reference assigned by the account servicer to unambiguously identify a corporate action event. Should remain unchanged in all correspondence between the sender of the message and its recipient</td>
</tr>
<tr>
<td>PREV</td>
<td>Previous Message</td>
<td>Message reference of the linked message</td>
</tr>
</tbody>
</table>

Moscow, September 2012
DEFINITION

This field may contain the reference of the message linked with the current instruction, reference of the message being canceled, a reference of the corporate action notification or corporate action reference (the reference assigned by custody or Official Corporate Action Event Reference assigned by official body on the market).

NETWORK VALIDATED RULES

Reference must not start or end with a slash «/» and must not contain two consecutive slashes «//».

USAGE RULES

To cancel a previously sent message, Function is CANC. Reference (field 20C) in the linkage sequence must contain the Sender's reference of the message to be cancelled. In a cancellation request message a copy of at least the mandatory fields of the message to be cancelled must be present.

EXAMPLES

:20C::RELA//INST1425

1.8.8. Field 22a Indicator

FORMAT

Option F :4!c/[8c]/4!c  (Qualifier) (Data Source Scheme) (Indicator)
Option H :4!c//4!c  (Qualifier) (Indicator)

where

- Qualifier  4!c
- Data Source Scheme  [8c]
- Indicator  4!c

PRESENCE

Presence of the fields (mandatory or optional) and a list of valid qualifiers are indicated in Format Specifications of a particular message, depending on the sequence /subsequence and the type of indicator.

QUALIFIER

It is recommended to use the following qualifiers in the settlement and Corporate Action messages:

- BENE Beneficial Ownership Indicator  Specifies whether there is change of beneficial ownership.
- BLOC Block Trade Indicator  Specifies whether the settlement instruction is
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAEP</td>
<td>Corporate Action Event Processing</td>
<td>Type of processing involved by a Corporate Action.</td>
</tr>
<tr>
<td>CAEV</td>
<td>Corporate Action Event Indicator</td>
<td>Specifies the type of corporate event.</td>
</tr>
<tr>
<td>CAMV</td>
<td>Mandatory/ Voluntary Indicator</td>
<td>Specifies whether the event is mandatory, mandatory with options or Voluntary and if the instruction is required.</td>
</tr>
<tr>
<td>CASY</td>
<td>Cash Settlement System Indicator</td>
<td>Specifies what cash settlement system is instructed to be used.</td>
</tr>
<tr>
<td>CCPT</td>
<td>CCP Eligibility Indicator</td>
<td>Specifies whether the settlement transaction is CCP (Central Counterparty) eligible.</td>
</tr>
<tr>
<td>CODE</td>
<td>Complete/Updates Indicator</td>
<td>Specifies whether the statement is complete or contains changes only.</td>
</tr>
<tr>
<td>CONV</td>
<td>Conversion Type Indicator</td>
<td>Specifies the conversion type instrument (used in corporate action messages)</td>
</tr>
<tr>
<td>CRDB</td>
<td>Credit/Debit Indicator</td>
<td>Specifies whether the value is a debit or credit.</td>
</tr>
<tr>
<td>DISF</td>
<td>Disposition of Fractions Indicator</td>
<td>Specifies how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.</td>
</tr>
<tr>
<td>ESTA</td>
<td>Corporate Action Event Stage</td>
<td>Stage in the corporate action event life cycle.</td>
</tr>
<tr>
<td>MICO</td>
<td>Method of Interest Computation Indicator</td>
<td>Specifies the computation method of (accrued) interest of the financial instrument.</td>
</tr>
<tr>
<td>NETT</td>
<td>Netting Eligibility Indicator</td>
<td>Specifies whether the settlement transaction is eligible for netting.</td>
</tr>
<tr>
<td>PAYM</td>
<td>Payment Indicator</td>
<td>Specifies whether the instruction is free or against payment.</td>
</tr>
<tr>
<td>REDE</td>
<td>Receive/Deliver Indicator</td>
<td>Specifies whether the transaction is a receipt or delivery of financial instruments.</td>
</tr>
<tr>
<td>REGT</td>
<td>Registration Indicator</td>
<td>Specifies whether registration should occur upon receipt.</td>
</tr>
<tr>
<td>REPT</td>
<td>Repurchase Type Indicator</td>
<td>Specifies the type of repurchase transaction.</td>
</tr>
<tr>
<td>REST</td>
<td>Restrictions</td>
<td>Specifies the regulatory restrictions applicable to a financial instrument.</td>
</tr>
<tr>
<td>RTGS</td>
<td>Securities Real-Time Gross Settlement Indicator</td>
<td>Specifies whether the settlement transaction is to be settled through an RTGS or a non RTGS system.</td>
</tr>
<tr>
<td>SETR</td>
<td>Type of Settlement Transaction Indicator</td>
<td>Specifies underlying information regarding the type of settlement transaction (REPO transaction, issuance, depositary receipts issuance, etc.).</td>
</tr>
<tr>
<td>SETS</td>
<td>Settlement System/ Method Indicator</td>
<td>Specifies whether the settlement instruction is to be settled through the default or the alternate settlement system.</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
<td>Details</td>
</tr>
<tr>
<td>------</td>
<td>-------------</td>
<td>---------</td>
</tr>
<tr>
<td>SFRE</td>
<td>Statement Frequency Indicator</td>
<td>Specifies frequency of a statement (used in the statement to specify frequency of a statement: daily, monthly, etc.)</td>
</tr>
<tr>
<td>STAM</td>
<td>Stamp Duty Indicator</td>
<td>Specifies the stamp duty type or exemption reason applicable to the settlement instruction.</td>
</tr>
<tr>
<td>STBA</td>
<td>Statement Basis</td>
<td>Specifies the type of balances on which the statement is prepared. (Used in statements - to specify the type of balances on which the statement is prepared - by trade date, by contractual date, or by effective settlement date.)</td>
</tr>
<tr>
<td>STCO</td>
<td>Settlement Transaction Condition Indicator</td>
<td>Specifies the conditions under which the order/trade is to be settled. (Used to specify additional special conditions.)</td>
</tr>
<tr>
<td>STTY</td>
<td>Statement Type</td>
<td>Specifies the usage purpose of the statement of holding. (Used in statements - to specify if the statement is custody or it contains market valuation of securities portfolio.)</td>
</tr>
<tr>
<td>STST</td>
<td>Statement Structure Type Indicator</td>
<td>Specifies whether the statement is sorted by status or transaction.</td>
</tr>
<tr>
<td>TCPI</td>
<td>Tax Capacity Party Indicator</td>
<td>Specifies the tax role capacity of the instructing party.</td>
</tr>
</tbody>
</table>

**DEFINITION**

This field contains additional indicator, e.g., type of securities, settlement conditions, type of settlement instruction etc.

**USAGE RULES**

In SETDET sequence this field specifies the type of settlement transaction. Code SETR/TRAD is recommended to be used as default for all transaction types. Standard codes (OWNI, OWNE) may also be used if bilaterally agreed by the parties.

**EXAMPLES**

:22F::CAMV//VOLU

:22F::CAEV//DVCA

### 1.8.9. Field 23G Function of the Message

**FORMAT**

```
Option G  4!c/[4!c]  (Function) (Subfunction)
```

where

- Function of the message 4!c
- Subfunction of the message [4!c]

**PRESENCE**

Mandatory
DEFINITION
This field identifies the function of the message.

CODES
“Function” field may contain one of the following codes depending on the message type:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>CANC</td>
<td>Cancellation Request</td>
<td>Message requesting the cancellation of a previously sent message.</td>
</tr>
<tr>
<td>PREA</td>
<td>Preadvice</td>
<td>Relates to a pre-advice, that is for matching purposes only. It can be used for matching but is not binding prior to the corresponding instructions from the account owner.</td>
</tr>
<tr>
<td>ADDB</td>
<td>Additional Business Process</td>
<td>Message sent to notify an additional business process to a corporate action.</td>
</tr>
<tr>
<td>CANC</td>
<td>Cancellation Advice</td>
<td>Message to cancel a corporate action event previously announced by the account servicer or a previously sent Preliminary Advice of Payment message (:22F::ADDB//CAPA in sequence D).</td>
</tr>
<tr>
<td>NEWM</td>
<td>New</td>
<td>New message.</td>
</tr>
<tr>
<td>REPE</td>
<td>Eligible Balance Notification</td>
<td>Message reporting an eligible balance that may or may not include an entitlement calculation or a revised entitlement calculation. It may (optional) include calculation of payable receivables or changes in calculation of payable receivables (used in the Corporate Action messages).</td>
</tr>
<tr>
<td>REPL</td>
<td>Replacement</td>
<td>Message replacing a previously sent message (used in Corporate Action messages).</td>
</tr>
<tr>
<td>RMDR</td>
<td>Reminder</td>
<td>Message sent as a reminder of an event taking place. (used in the Corporate Action messages to remind of necessity to send instructions on voluntary corporate action or with the right of choice).</td>
</tr>
<tr>
<td>WITH</td>
<td>Withdrawal</td>
<td>Message sent to void a previously sent notification due to the withdrawal of the event or offer by the issuer.</td>
</tr>
<tr>
<td>CAST</td>
<td>Cancellation Request Status</td>
<td>Message reporting on a cancellation request status.</td>
</tr>
<tr>
<td>EVST</td>
<td>Event Status</td>
<td>Message reporting on a corporate action event status.</td>
</tr>
<tr>
<td>INST</td>
<td>Instruction Status</td>
<td>Message reporting on an instruction status.</td>
</tr>
<tr>
<td>CODU</td>
<td>Copy Duplicate</td>
<td>Message is a copy to a party other than the account owner/account servicer.</td>
</tr>
</tbody>
</table>
COPY Copy

Message is a copy to a party other than the account owner/account servicer, for information purposes.

DUPL Duplicate

Message is for information/confirmation purposes. It is a duplicate of a message previously sent.

USAGE RULES

A message with the Function CANC is used:

- To request the cancellation of a previously sent messages MT540-MT543
- As a cancellation of previously sent messages MT544-MT547, MT535-MT537.

If the message is a cancellation, that is, Function of the Message (field 23G) is CANC, then subsequence Linkages must be present and contain the Sender’s reference of the message to be cancelled. In case of cancellation at least mandatory fields of the message must be present.

EXAMPLES

:23G:NEWM

1.8.10. Field 24B Reason

FORMAT

Option G :4!c/[8c]/4!c (Qualifier) (Data Source Scheme) (Reason code)

where

- Qualifier 4!c
- Reason code 4!c

PRESENCE

Mandatory in optional sequence

QUALIFIER

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:

- **CAND** Cancellation Reason
  - Specifies the reason why the instruction is cancelled.
- **CANP** Pending Cancellation Reason
  - Specifies the reason why a cancellation request sent for the related instruction is pending.
- **PACK** Acknowledgement Reason
  - Specifies additional information about the processed instruction.
- **PEND** Pending Reason
  - Specifies the reason why the instruction has a pending status.
- **REJT** Rejection Reason
  - Specifies the reason why the instruction/request has a rejected status.
- **NMAT** Unmatched Reason
  - Specifies the reason why the instruction has an
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>PENF</td>
<td>Pending/Failing Reason</td>
<td>Specifies the reason why the instruction has a failing settlement status.</td>
</tr>
<tr>
<td>PPRC</td>
<td>Pending Processing Reason</td>
<td>Specifies the reason why the instruction has a pending processing status.</td>
</tr>
</tbody>
</table>

**DEFINITION**

The field specifies the cancellation reason, not matched reason, pending or pending failing reason of the previously received instructions.

**USAGE RULES**

The set of qualifiers and status codes permitted for this field must be bilaterally agreed between the parties.

**EXAMPLES**

:24B::PEND//CLAC pending reason – insufficient number of securities of the counterparty

:24B::NMAT//CMIS unmatched reason – the instruction is not matched as the counterparty’s instruction is missing.

### 1.8.11. Field 25D Status

**FORMAT**

```
Option D   :4!c/[8c]/4!c (Qualifier) (Data Source Scheme) (Status code)
```

**where**

- Qualifier 4!c
- Status code 4!c

**PRESENCE**

Mandatory in optional sequence

**QUALIFIER**

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>CPRC</td>
<td>Cancellation Processing Status</td>
<td>Provides the status of a cancellation request.</td>
</tr>
<tr>
<td>EPRC</td>
<td>Corporate Action Event Processing Status</td>
<td>Provides the status of a corporate action or the status of a payment.</td>
</tr>
<tr>
<td>ESTA</td>
<td>Corporate Action Event Stage</td>
<td>Stage in the corporate action event life cycle.</td>
</tr>
<tr>
<td>INMH</td>
<td>Inferred Matching Status</td>
<td>Provides the matching status of an instruction as per the account servicer based on an allegement. At this time no matching took place on the market (at the CSD/ICSD).</td>
</tr>
</tbody>
</table>
IPRC Instruction Processing Status Provides the status of an instruction.

MTCH Matching Status Provides the matching status of the instruction.

SETT Settlement Status Provides the status of settlement of an instruction/financial instrument movement.

SPRC Request for Statement/Status Advice Status Provides the status of an MT 549 - Request for Statement/Status Advice.

TPRC Processing Change Command Status Provides the status of an MT 530 - Processing Change Command.

DEFINITION
The field specifies the instruction processing, matching or settlement status of the instructions previously received by the Sender and related to delivery/receipt of the securities, request status on cancellation of the previously sent instructions, and in the corporate action messages may be given the status of the corporate action or status of the instruction for participation in the corporate action.

USAGE RULES
The set of qualifiers and status codes permitted for this field must be bilaterally agreed by the parties.

EXAMPLES
:25D::SETT//PEND status of instruction - pending settlement
:25D::MTCH//NMAT status of instruction – unmatched
:25D::CANC//CAND status of the cancellation request – instruction is cancelled

1.8.12. Field 28E Page number/Continuation Indicator

FORMAT

Option E 5n/4!c (Page Tumber) (Continuation Indicator)

where

- Page Number 5n
- Continuation Indicator 4!c

PRESENCE
Mandatory

DEFINITION
This field specifies the page number and indicates whether the page is the sole or the last one, either in the report, there are additional pages.

QUALIFIER
The following codes are recommended to be present in “Continuation Indicator” subfield:
1.8.13. Field 35B Identification of the Financial Instrument

FORMAT

Option B [ISIN1!e12!c] (Identification of Security)
  [4*35x] (Description of Security)

where

- ISIN – identification of Security through ISIN1!e12!c
- Description of Security 4*35x

PRESENCE

In the message specification for each field and the set of qualifiers it is specified are they mandatory or optional and this depends on the sequence/subsequence.

DEFINITION

This field identifies the financial instrument and consists of two subfields: subfield for ISO ISIN and subfield for other identifiers of the security and its text description.

USAGE RULES

The following order of securities identification within financial messages is recommended:

When available, ISIN must be used.

When an ISIN identifier is not used it is strongly recommended that the financial instrument should be identified through national state registration number. In this case ISIN subfield is not present, and the identifier is indicated in the first line of the subfield for text information formatted as follows:

- /RU/ <national state registration number>

Indication of national state registration number is mandatory, if securities are delivered to or transferred through accounts open in a registrar. In the corporate action messages it is recommended additionally to ISIN to identify state registration number.

If the national state registration number does not allow to identify unambiguously a financial instrument, corporate identifier is recommended to be used with mandatory
indication of financial institution which has assigned this identifier. The conditions of using such corporate identifier should be bilaterally agreed between the parties. Corporate identifier is indicated in the first line of the subfield for text information formatted as follows:

- /XX/CORP/4!c/<corporate identifier>, where
  4!c – ISO BIC-4 of the financial institution which has assigned this identifier.

EXAMPLES

Financial Instrument Identifier assigned by a financial institution with ISO BIC BANKRUMM is formatted as follows:
:35B:/XX/CORP/BANK/1240987SH

If national state registration number and/or corporate identifier are not available financial instrument details can be provided in narrative form. The information included in the text subfield is bilaterally agreed and may contain the issuer’s name, financial instrument type, series, issue number etc. Financial Instrument Identifier ISIN or Proprietary code is considered as priority while the narrative description of a security may be ignored by the Depositary if bilaterally not agreed otherwise.

For User's convenience additional information may be indicated in addition to ISIN, national state registration number or corporate identifier.

### 1.8.14. Field 36B Quantity

**FORMAT**

<table>
<thead>
<tr>
<th>Option B</th>
<th>Format</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>:4!c//4!c/15d</td>
<td>(Qualifier) (Quantity Type Code) (Quantity)</td>
<td></td>
</tr>
<tr>
<td>Option C</td>
<td>:4!c//4!c</td>
<td>(Qualifier) (Quantity Code)</td>
</tr>
<tr>
<td>Option E</td>
<td>:4!c//4!c/[N]15d</td>
<td>(Qualifier) (Quantity Type Code) (Sign) (Quantity)</td>
</tr>
</tbody>
</table>

where

- Qualifier 4!c
- Quantity Type Code 4!c
- Sign [N]
- Quantity of Financial Instrument 15d
- Quantity Code 4!c

**PRESENCE**

In the message specification for each field and the set of qualifiers it is specified are they mandatory or optional and this depends on the sequence/subsequence.

**QUALIFIER**

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:
### DEFINITION
This field specifies the quantity of securities, which move in the operation of corporate action messages – quantity of accrued securities, quantity of securities which include instruction on the corporate action e.t.c. Quantity type is identified by qualifier.

### USAGE RULES
Quantity of securities is expressed in units, Quantity Type Code – UNIT. In certain cases quantity may be expressed as the face amount of the principal of a debt instrument, Quantity Type Code – FAMT (for instructions related to transactions with international securities in international Depository).

If the quantity contains decimals, fractional part must be preceded by decimal comma «,», any other punctuation marks or blanks, are not permitted within the integer part or decimal part (for millions, thousands etc. The number of places following the decimal comma may not exceed the maximum field length (15 characters including separator).

The same restrictions are applied for the subfield «Quantity» and for the subfield «Amount».

The following options are valid:

\[
123,123,0,123,123456, 123,000123,
\]

The following options are not valid:

\[
123,123, .123, ,123, 123456, 123.456, 123,456,
\]

If the quantity of financial instrument has to be indicated in simple fraction (eg, settlements related to corporate action), the following scheme is recommended:

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>ENTL</td>
<td>Entitled Quantity</td>
<td>Quantity of securities based on the terms of the corporate action event and balance of underlying securities entitled to the account owner. (This quantity can be positive or negative).</td>
</tr>
<tr>
<td>ESTT</td>
<td>Quantity of Financial Instrument Settled</td>
<td>Quantity of financial instrument effectively settled.</td>
</tr>
<tr>
<td>OWND</td>
<td>Quantity of Securities Owned</td>
<td>Quantity of securities belonging to the beneficial owner specified.</td>
</tr>
<tr>
<td>PSTA</td>
<td>Posting Quantity</td>
<td>Quantity of securities that have been posted (credit or debit) to safekeeping account.</td>
</tr>
<tr>
<td>PSTT</td>
<td>Quantity of Financial Instrument Previously Settled</td>
<td>Quantity of financial instrument previously settled.</td>
</tr>
<tr>
<td>QINS</td>
<td>Quantity of Securities Instructed</td>
<td>Quantity of underlying securities to which this instruction applies.</td>
</tr>
<tr>
<td>QREC</td>
<td>Quantity to Receive</td>
<td>Quantity of the benefits that the account owner wants to receive, for example, as a result of dividend reinvestment.</td>
</tr>
<tr>
<td>RSTT</td>
<td>Quantity of Financial Instrument Remaining to be Settled</td>
<td>Quantity of financial instrument remaining to be settled.</td>
</tr>
</tbody>
</table>
In MT540-547.
The integer part of the amount is indicated in the field :36B: in standard format.
The fractional part of the amount is indicated in the text field :70E::FIAN in
subsequence FIA with code word FRAC; numerator and denominator should be
separated by slash “/”.

EXAMPLES
:36B::SETT//UNIT/10000, quantity of financial instrument to be credited or
debited,
:36B::ESTT//UNIT/5000, quantity of financial instrument, which has been
effectively credited or debited.

Quantity of financial instrument - 100 2/3 - is indicated as follows:
:36B::SETT//UNIT/100,
:70E::FIAN//FRAC/2/3

The corporate actions instructions in option C in subfield “Quantity Type Code” may be
specified the code identifying that the Instruction applies to the entire eligible balance of
underlying securities, which will be on the account at the time of the corporate action:

QALL All Securities Instruction applies to the entire eligible balance of underlying securities.

EXAMPLES
:36B::ENTL//UNIT/10000, quantity of financial instrument which are
entitled to the owner of the account.
:36B::PSTA//UNIT/1600, quantity of financial instrument, which has been booked
(debited or credited) on the safekeeping account.
:36B::QINS//UNIT/500, quantity of underlying securities, to which the corporate action
instruction on corporate action applies.
:36B::QINS//QALL, Instructions are applicable to the entire eligible balance of the
underlying securities.

1.8.15. Field 69a Period

FORMAT

Option A :4!c/8!n/8!n (Qualifier) (Date) (Date)
Option B :4!c/8!n6!n/8!n6!n (Qualifier) (Date) (Time) (Date) (Time)
Option C :4!c/8!n/4!c (Qualifier) (Date) (Date Code)
Option D :4!c/8!n6!n/4!c (Qualifier) (Date) (Time) (Date Code)
Option E :4!c/4!c/8!n (Qualifier) (Date Code) (Date)
Option F :4!c/4!c/8!n6!n (Qualifier) (Date code) (Date) (Time)
Option J :4!c/4!c (Qualifier) (Date Code)
where

- **Qualifier**  4!c
- **Period format** YYYYMMDD/YYYYYMMDD 8!n/8!n
- **Period format** YYYYMDDHHMMCC/ YYYYMMDDHHMMCC 8!n6!n/8!n6!n
- **Date Code**  4!c

**PRESENCE**

In the message specification for each field and the set of qualifiers it is specified are they mandatory or optional and this depends on the sequence/subsequence.

**QUALIFIER**

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>BLOK</td>
<td>Blocking Period</td>
<td>Period during which the security is blocked. (used in Corporate Action messages)</td>
</tr>
<tr>
<td>BOCL</td>
<td>Book Closure Period</td>
<td>Period defining the last date on which shareholder registration will be accepted by the issuer and the date on which shareholder registration will resume. (used in Corporate Action messages)</td>
</tr>
<tr>
<td>CLCP</td>
<td>Claim Period</td>
<td>Period assigned by the court in a class action. It determines the client's eligible transactions that will be included in the class action and used to determine the resulting entitlement. (used in Corporate Action messages)</td>
</tr>
<tr>
<td>CSPD</td>
<td>Compulsory Purchase Period</td>
<td>Period during a take-over where any outstanding equity must be purchased by the take-over company.</td>
</tr>
<tr>
<td>INPE</td>
<td>Interest Period</td>
<td>Period during which the interest rate has been applied.</td>
</tr>
<tr>
<td>PRIC</td>
<td>Price Calculation Period</td>
<td>Period during which the price of a security is determined.</td>
</tr>
<tr>
<td>PWAL</td>
<td>Period of Action</td>
<td>Period during which the specified option, or all options of the event, remains valid, for example, offer period.</td>
</tr>
<tr>
<td>REVO</td>
<td>Revocability Period</td>
<td>Period during which the shareholder can revoke, change or withdraw its instruction. (used in Corporate Action messages)</td>
</tr>
<tr>
<td>STAT</td>
<td>Statement Period</td>
<td>Period on which the statement is reporting.</td>
</tr>
<tr>
<td>SUSP</td>
<td>Suspension of Privilege</td>
<td>Period during which the privilege is not available, for example, this can happen whenever a meeting takes place or whenever a coupon payment is due.</td>
</tr>
<tr>
<td>TRDP</td>
<td>Trading Period</td>
<td>Period during which intermediate or outturn securities are tradable in a secondary market.</td>
</tr>
</tbody>
</table>
DEFINITION

This field specifies the accounting period in the statement (STAT).

In corporate actions messages in the field may be specified period of applying of the offer /PWAL/period of applying specified interest rate/INPE/, blocking period /BLOK/ e.t.c.

USAGE RULES

Date must be a valid date expressed by eight digits, and date and time must be expressed by fourteen digits according to one of the appropriate ISO formats: YYYYMMDD or YYYYMMDDHHMMCC, where Y is year, M is month, D is date. Eg, 20060406 means the 6th of April 2006.

In C option subfield “Date code” may specify the following codes: /OBGO/, if the date is identified during the process, /UKWN/, if the date is unknown, /OPEN/, if the date is not specified.

EXAMPLES

:69A::STAT//20110406/20110406 - report is provided for transactions made on the 6th of April 2011

:69B::STAT//20110404000000/20110406235959 - report is provided for transactions made from the 4th to the 6th of April 2011

:69A::PWAL//20111223/20120208 - period of corporate action event

:69A::INPE//20110910/20120310 - period of applying specified interest rate

:69C::BLOK//20120621/ONGO - financial instruments are blocked starting from June 21, 2012

1.8.16. Field 70a Narrative

FORMAT

Option C :4!c//4*35x (Qualifier) (Narrative)

Option D :4!c//86*35x (Qualifier) (Narrative)

Option E :4!c//10*35x (Qualifier) (Narrative)

PRESENCE

Optional

QUALIFIER

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:

DECL Declaration Details Provides declaration details narrative relative to the party.

FIAN Financial Instrument Attribute Narrative Provides additional information about the financial instrument in narrative form.
PACO  Party Narrative  Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

reas  Reason Narrative  Provides additional reason information.

regi  Registration Details  Provides information required for the registration.

SPRO  Settlement Instruction Processing Narrative  Provides additional settlement processing information which can not be included within the structured fields of the message.

TRDE  Transaction Details Narrative  Provides additional details on the transaction which can not be included within the structured fields of the message.

DEFINITION

The field contains qualifier and narrative subfield. The field may contain additional information related to securities, trade details, party, transaction basis and other data, that is not associated with appropriate predefined fields in a message.

USAGE RULES

If it is necessary to specify text information in Corporate Actions messages, the possibility of a foreign language and/or transliteration should be determined by mutual agreement of the parties. In order to indicate the contact person, telephone number, e-mail address in all messages on corporate actions (MT564, MT565, MT566) it is recommended to use field 70E with qualifier PACO.

EXAMPLES

:70E::PACO//CUSTODY DEPT
PETROV IVAN
TEL 8 499 245 75 68
EMAIL PETROV (AT) DEPO.RU

If in Corporate Action messages MT564 the field 70E contain narrative description of the information which is included in the message’s structured fields and automated processing of this information is not required it is recommended to use qualifier /TXNR/.

In order to ensure straight through processing (STP) this field is recommended to be structured. For the moment there are the following codes:

- Contract types,
- Registration details, if the Place of Settlement is the Registrar,
- Account type of the registered person of the Delivering/Receiving Agent of the securities, if the Place of Settlement is the Registrar.

This information is recommended to be specified in narrative fields 70 in SETPRTY sequence with the qualifier DEAG/REAG with single slash “/” as separator between the code word and the data after it.
Details of documents – reason of transactions.

FORMAT

:70E::DECL//TYPE/document’s code/[NAME/document’s name]/NUMB/ document’s number/DATE/ document’s date

If the document’s name is different from the codes listed below, it should be explained in the subfield after the code /NAME/. In this case the code subfield should contain the code /OTHR/.

The document’s date must be entered in the form YYYYMMDD.

In the absence of the document’s number the code /DATE/ and the document’s date should be entered immediately after the code word /NUMB/. The following indicators are NOT recommended to be used: “w/n”, “without number”.

CODES

The following codes are recommended to be used for definition of the document’s type:

• BYSA contract of purchase and sale
• EXGA contract of exchange
• NOMA agreement of nominal holding
• INDA intra-depository agreement
• DEPA depository agreement
• NCBO client’s instruction (used for instructions of securities’ delivery/receipt when no transfer of property right occurs)
• PLGA pledge contract
• DSTA contract of deposit/storage (deposit agreement)
• TRSA trustee management contract
• ORDA agency contract
• GIFA gift agreement
• COLA contract of lending (credit agreement)
• COMC contract of commission
• AGTC agent contract
• OTHR narrative description of a different basis of transaction

One and the same field :70E: may contain several bases of transaction.

EXAMPLES

:70E::DECL//TYPE/OTHR/NAME/’REQENIE ARBITRAJNOG O SUDA’/NUMB/25/DATE/20040914/TYPE/
BYSA/NUMB//123-MD/DATE/20041014

Registration details.

FORMAT

:70D::REGI//TYPE/code/[NAME/name]/NUMB/[document’s number]/DATE/document’s date/REGA/name of the authority or institution that issued the document

In registration details in compliance with regulating documents the following information should be specified: registration information (for juridical person) and information about the document confirming the person’s identity (for individual person).
If the document’s name is different from the codes listed below, it should be explained in the subfield after the code /NAME/. In this case the code subfield should contain the code /OTHR/.

In the absence of the document’s number the code /DATE/ and the document’s date should be entered immediately after the code word /NUMB/. The following indicators are NOT recommended to be used: “w/n”, “without number”. If the document’s series is present it should be separated from the number by double slash.

One and the same field :70D: may contain data related to several documents.

CODES
The following details can be specified:
- NUMB document’s number
- DATE date of issuance, YYYYMMDD
- REGA institution’s name
- TYPE 4!c document’s type, where
- NAME narrative description of the document (for OTHR type)

The following codes are recommended to be used for definition of the document’s type:

For individual persons:
- CCPT passport
- BIRT birth-certificate
- FCCP foreign passport
- OTHR other documents issued by the Ministry of Internal Affairs

For juridical persons:
- BKLC license of the Bank of Russia
- LICS licenses
- STIC registration certificate
- OGRN certificate of registration in the the Uniform State Register of Legal Entities of Russian Federation
- OTHR other

One and the same field :70D: may contain several bases of transaction.

Passport details of an individual should be provided in compliance with the following recommendations:

- only subfields after the codes /DATE/ and /REGA/ should be used;
- if several registration documents of an individual are present, passport details should be indicated first in the field :70D::REGI;
- for this document the subfield /NAME/ is not permitted to be present;
- passport series and number should be specified in the field :95S::ALTE (section 0).
EXAMPLE 1
Indication of a registration certificate of a legal entity (before the 1st of July 2002) and a certificate of registration in the the Uniform State Register of Legal Entities of Russian Federation:

:70D::REGI//TYPE/STIC/NUMB/123.456/DATE/2001101
1/REGA/'MRP'/TYPE/OGRN/NUMB/1025501
341252/DATE/20030511/REGA/'MEJRAiON
NAa INSPEKCIa MNS

EXAMPLE 2
Indication of details of a foreign passport of an individual person:

:70D::REGI//TYPE/FCCP/NUMB/99//1234567/
DATE/20040127/REGA/'UVD 653

EXAMPLE 3
Indication of details of a passport of an individual:

:70D::REGI//TYPE/CCPT/NUMB//DATE/20030612/REGA/
'OVD ZuZINO G.MOSKVY

The document’s series and number are specified in the field :95S::ALTE (Example 1 section 0).

Account type for transactions where the place of settlements is the Registrar.

FORMAT

:70C::PACO//OWNT/4!c, where
4!c – account type code.

CODES

- OWNE owner account
- TRUS trustee manager account
- NOMI nominee account
- DEPO deposit account
- ISSR issuer (issuer account)
- OTHR other accounts set by the federal law – with possibility to specify the name of the account
- PLED pledgeholder account
- NDCD nominee account of the central depository

The field is recommended to use for the transactions which are processed through registrar.

EXAMPLE

:70C::PACO//OWNT/OWNE
:70C::PACO//OWNT/NOMI
1.8.17. **Field 90a Price**

**FORMAT**

<table>
<thead>
<tr>
<th>Option</th>
<th>Format</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Option A</td>
<td>:4!c//4!c/15d</td>
<td>(Qualifier) (Percentage Type Code) (Price)</td>
</tr>
<tr>
<td>Option B</td>
<td>:4!c//4!c/3!a15d</td>
<td>(Qualifier) (Amount Type Code) (Currency code) (Price)</td>
</tr>
<tr>
<td>Option E</td>
<td>:4!c//4!c</td>
<td>(Qualifier) (Price Code)</td>
</tr>
<tr>
<td>Option F</td>
<td>:4!c//4!c/3!a15d/4!c/15d</td>
<td>(Qualifier) (Amount Type Code) (Currency code) (Price) (Quantity Type Code) (Quantity)</td>
</tr>
<tr>
<td>Option J</td>
<td>:4!c//4!c/3!a15d/3!a15d</td>
<td>(Qualifier) (Amount Type Code) (Currency Code) (Amount) (Currency Code) (Amount)</td>
</tr>
<tr>
<td>Option K</td>
<td>:4!c//15d</td>
<td>(Qualifier) (Index Points)</td>
</tr>
</tbody>
</table>

where

- Qualifier: 4!c
- Percentage Type Code: 4!c
- Price: 15d
- Amount Type Code: 4!c
- ISO – Currency Code: 3!a
- Price Code: 4!c
- Amount: 15d
- Quantity Type Code: 4!c
- Quantity: 15d
- Index Points: 15d

**PRESENCE**

Optional

**QUALIFIER**

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:

- **DEAL** Deal Price: Price of the traded financial instrument.
- **INDC** Indicative Price: Estimated price, for example, for valuation purposes.
- **MRKT** Market Price: Last reported/known price of a financial instrument in a market.

**CODES**

In option A subfield “Percentage Type Code” must contain one of the following codes:
**DISC**  Discount  Price expressed as the number of percentage points below par, for example, a discount price of 2.0% equals a price of 98 when par is 100.

**PRCT**  Percentage  Price expressed as a percentage of par.

**PREM**  Premium  Price expressed as the number of percentage points above par, for example, a premium price of 2.0% equals a price of 102 when par is 100.

**YIEL**  Yield  Price expressed as a yield.

In option B subfield “Amount Type Code” must contain one of the following codes:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTU</td>
<td>Actual Amount</td>
<td>Price expressed as an amount of currency per unit or per share.</td>
</tr>
<tr>
<td>DISC</td>
<td>Discount</td>
<td>Price expressed as a discount amount.</td>
</tr>
<tr>
<td>PLOT</td>
<td>Lot</td>
<td>Price expressed as an amount of money per lot.</td>
</tr>
<tr>
<td>PREM</td>
<td>Premium</td>
<td>Price expressed as a premium.</td>
</tr>
</tbody>
</table>

In option F subfield “Quantity Type Code” must contain one of the following codes:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>AMOR</td>
<td>Amortised Value</td>
<td>Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.</td>
</tr>
<tr>
<td>FAMT</td>
<td>Face Amount</td>
<td>Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.</td>
</tr>
<tr>
<td>UNIT</td>
<td>Unit Number</td>
<td>Quantity expressed as a number, for example, a number of shares.</td>
</tr>
</tbody>
</table>

In option F subfield “Price code” must contain the following code:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>UKWN</td>
<td>Unknown Price</td>
<td>Price is unknown by the sender or has not been established.</td>
</tr>
</tbody>
</table>

**DEFINITION**

The field may contain information on market value of the financial instrument, price of execution /EXER/, price per product /OFFR/ etc. Used in the messages on the corporate actions.

**USAGE RULES**

Currency code should me current ISO code (validated by the network).

**EXAMPLES**

<table>
<thead>
<tr>
<th>Code</th>
<th>Example</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>:90A::OFFR//PRCT/77,441745578</td>
<td>bid price as a percentage of par value</td>
<td></td>
</tr>
<tr>
<td>:90B::OFFR//ACTU/RUB0,0284</td>
<td>actual price of the offer</td>
<td></td>
</tr>
<tr>
<td>:90B::PRPP//ACTU/RUB0,5</td>
<td>price of reinvestment</td>
<td></td>
</tr>
<tr>
<td>:90E::OFFR//UKWN</td>
<td>bid price is unknown</td>
<td></td>
</tr>
<tr>
<td>:90F::OFFR//PLOT/USD100,/FAMT/1000</td>
<td>bid price per lot</td>
<td></td>
</tr>
</tbody>
</table>
1.8.18. **Field 92a Rate**

**FORMAT**

Option A: :4!c/][N]15d  (Qualifier) (Sign) (Rate)
Option B: :4!c/][3!a/3!a/15d  (Qualifier) (First Currency Code) (Second Currency Code) (Rate)
Option C: :4!c/][8c]/24x  (Qualifier) (Data Source Scheme) (Rate Name)
Option D: :4!c/][15d/15d  (Qualifier) (Quantity) (Quantity)
Option E: :4!c/][4!c/][N]15d[4!c]  (Qualifier) (Rate type code) (Sign) (Rate) (Rate status)
Option F: :4!c/][3!a15d  (Qualifier) (Currency Code) (Amount)
Option J: :4!c/][8c]/4!c/3!a15d/[4!c]  (Qualifier) (Data Source Scheme) (Rate Type Code) (Currency Code) (Amount) (Rate Status) (Qualifier) (Rate Type Code)
Option K: :4!c/][4!c  (Qualifier) (Rate Type Code)
Option L: :4!c/][3!a15d/3!a15d  (Qualifier) (First Currency Code) (Amount) (Second Currency Code) (Amount)
Option M: :4!c/][3!a15d/15d  (Qualifier) (Currency Code) (Amount) (Quantity)
Option N: :4!c/][15d/3!a15d  (Qualifier) (Quantity) (Currency Code) (Amount)

where

- Qualifier 4!c
- Sign [N]
- Rate 15d
- ISO – Currency Code 3!a
- Rate Name 24x
- Quantity 15d
- Amount 15d
- Rate Type Code 4!c
- Rate Status 4!c

**PRESENCE**

Optional Qualifier

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADEX</td>
<td>Additional for Existing Securities</td>
<td>Quantity of additional securities for a given quantity of underlying securities where underlying securities are not exchanged or debited, for example, 1 for 1: 1 new equity credited for every 1 underlying equity = 2 resulting equities.</td>
</tr>
<tr>
<td>ADSR</td>
<td>Additional for Subscribed Resultant Securities</td>
<td>Quantity of additional intermediate securities/new equities awarded for a given quantity of securities derived from subscription.</td>
</tr>
<tr>
<td>EXCH</td>
<td>Exchange Rate</td>
<td>Exchange rate between the amount and the resulting amount.</td>
</tr>
<tr>
<td>NEWO</td>
<td>New to Old</td>
<td>Quantity of new securities for a given quantity of underlying securities, where the underlying securities will be exchanged or debited, for example, 2 for 1: 2 new equities credited for every 1 underlying equity debited = 2 resulting equities.</td>
</tr>
<tr>
<td>INTR</td>
<td>Interest Rate</td>
<td>Annual rate of a financial instrument.</td>
</tr>
<tr>
<td>NWFC</td>
<td>Next Factor</td>
<td>Rate expressed as a decimal between 0 and 1 that will be applicable as of the next factor date and defines the outstanding principal of the financial instrument (for factored securities).</td>
</tr>
<tr>
<td>NXRT</td>
<td>Next Interest Rate</td>
<td>Interest rate applicable to the next interest payment period in relation to variable rate instruments.</td>
</tr>
<tr>
<td>PRFC</td>
<td>Previous Factor</td>
<td>Rate expressed as a decimal between 0 and 1 that was applicable before the current factor and defines the outstanding principal of the financial instrument (for factored securities).</td>
</tr>
<tr>
<td>PRIC</td>
<td>Pricing Rate</td>
<td>Interest rate to be paid on the transaction amount, as agreed between the counterparties.</td>
</tr>
<tr>
<td>REPO</td>
<td>Repurchase Rate</td>
<td>Repurchase rate used to calculate the repurchase amount.</td>
</tr>
<tr>
<td>RSPR</td>
<td>Spread Rate</td>
<td>Margin over or under an index that determines the repurchase rate.</td>
</tr>
</tbody>
</table>

In option J if qualifier is “INTP” subfield “Rate Type Code” must contain one of the following codes:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>SCHD</td>
<td>Scheduled</td>
<td>Rate of the scheduled payment.</td>
</tr>
<tr>
<td>USCD</td>
<td>Unscheduled</td>
<td>Rate of the unscheduled payment.</td>
</tr>
</tbody>
</table>

In option J if qualifier is “NETT” subfield “Rate Type Code” must contain one of the following codes:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>INCO</td>
<td>Income Portion</td>
<td>Rate relating to the underlying security for which income is distributed.</td>
</tr>
</tbody>
</table>
INTR  Interest  Rate relating to the underlying security for which interest is paid.
SOIC  Sundry/Other Income  Rate relating to the underlying security for which other income is paid.
TXBL  Taxable Portion  Rate relating to the underlying security for which tax is charged.
TXDF  Tax Deferred  Rate relating to the underlying security for which tax is deferred.
TXFR  Tax Free  Rate relating to the underlying security which is not taxable.
UNFR  Unfranked  Unfranked

In option K if qualifier is other than “GRSS” or “INTP” and “Data Source Scheme” is not present, subfield “Rate Type Code” must contain the following code:

UKWN  Unknown Rate  Rate is unknown by the sender or has not been established.

The rate is specified on the basis of reference or basic rate which are identified in option C in subfield “Rate Name” (for example, EONIA, EURIBOR, LIBOR, FEFUND, EURREPO) etc.

DEFINITION

The field may contain information on annual interest rate, rate applicable to the corporate action, rate of exchanging new securities to the existing, exchange rate etc.

USAGE RULES

Currency code should be valid ISO code (validated by the network).
If the value is negative the subfield “Sign” should be used.
Subfield “Rate Status” is “ACTU” by default.
Unless otherwise indicated in the definition, the rate should be expressed as a percentage but not decimals.

EXAMPLES

:92A::INTR//11  annual interest rate
:92A::NWFC//0,1234567  next value of the factor which is used to calculate the unpaid principal amount of the financial instrument
:92B::EXCH//RUB/USD//0,03216406244  exchange rate
:92D::NEWO//3\,1, underlying equity debited
:92F::INTP//USD55, interest rate for the payment
:92J::GRSS/TXBL/EUR0,7 taxable underlying securities rate
:92K::RATE//UKWN unknown rate
:92K::RATE//OPEN unknown rate
:92L::NEWO//RUB100000,/RUB100000, assimilation rate (CAEV//PARI)
1.8.19. **Field 93a Balance**

**FORMAT**

<table>
<thead>
<tr>
<th>Option A</th>
<th>:4!c/[8c]//4!c (Qualifier) (Data Source Scheme) (Balance Type Code)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Option B</td>
<td>:4!c//8c//4!c/[N]15d (Qualifier) (Data Source Scheme) (Quantity type code) (Sign) (Balance)</td>
</tr>
<tr>
<td>Option C</td>
<td>:4!c//4!c//4!c/[N]15d (Qualifier) (Quantity type code) (Balance type code) (Sign) (Balance)</td>
</tr>
</tbody>
</table>

where
- Qualifier 4!c
- Quantity type code 4!c
- Balance type code 4!c
- Negative Balance Sign [N]
- Balance 15d

**PRESENCE**

Mandatory in optional sequence

**QUALIFIER**

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BLOK</td>
<td>Blocked Balance of financial instruments that are blocked.</td>
</tr>
<tr>
<td>ELIG</td>
<td>Total Eligible for Corporate Action Balance Total balance of securities eligible for this corporate action event. The entitlement calculation is based on this balance.</td>
</tr>
<tr>
<td>PEND</td>
<td>Pending Delivery Balance of financial instruments that are pending delivery.</td>
</tr>
<tr>
<td>PENR</td>
<td>Pending Receipt Balance of financial instruments that are pending receipt.</td>
</tr>
<tr>
<td>REGO</td>
<td>Out for Registration Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee).</td>
</tr>
<tr>
<td>SETT</td>
<td>Settlement Position Balance Balance of securities representing only settled transactions; pending transactions not included.</td>
</tr>
<tr>
<td>SPOS</td>
<td>Street Position Balance Balance of financial instruments that remain registered in the name of the prior beneficial owner.</td>
</tr>
<tr>
<td>TRAD</td>
<td>Trade Date Position Balance Balance of securities based on trade date, for example, includes all pending transactions in addition to the balance of settled transactions.</td>
</tr>
</tbody>
</table>
TRAN  In Transshipment  Balance of physical securities that are in the process of being transferred from one depository/agent to another.

UNAF  Unaffected Balance  Balance that has not been affected by the process run through the corporate event.

**DEFINITION**

The field specifies the overall securities balance for the safekeeping account, the securities balance for sub-accounts and the availability of operations.

**USAGE RULES**

Option B is used to specify the aggregate balance, i.e., overall quantity of securities for the sub-account. In this case the qualifier AGGR should be indicated in the first subfield.

Option C is used to segregate the sub-account’s balance by status and availability for operations. The usage of permitted qualifiers should be bilaterally agreed between the parties.

**Quantity Type Code for the field must be UNIT.**

Balance Type Code AVAI is used if the financial instrument is available for any purpose, and NAVL is used, if the securities are unavailable for settlement.

The integer part of the Balance subfield must contain at least one digit. A decimal comma “,” is mandatory and is included in the maximum length.

**EXAMPLES**

:93B::AGGR//UNIT/5000, securities aggregate balance in the indicated account

:93C::PEND//UNIT/NAVL/N1000, balance of financial instruments with pending delivery status

:93C::PENR//UNIT/NAVL/250, balance of financial instruments with pending receipt status

:93C::REGO//UNIT/NAVL/250, balance of securities that are out for re-registration

:93C::BLOK//UNIT/NAVL/1500, Balance of financial instruments that are blocked or unavailable for delivery

:93C::TAVI//UNIT/AVAI/2000, total balance of all available securities

:93B::ELIG//UNIT/100000,00 balance of securities which fall within the scope of corporate action

:93B::CONB//UNIT/100000,00 confirmed securities balance

---

**1.8.20. Field 94a Place**

**FORMAT**

Option B  :4!c/[8c]/4!c/[30x] (Qualifier) (Data Source Scheme) (Place code) (Narrative)

Option C  :4!c//2!a (Qualifier) (Country code)

Option D  :4!c//[2!a]/35x (Qualifier) (Country code) (Place)

Option F  :4!c//4!c /4!a2!a2!c[3!c] (Qualifier) (Place code) (Identifier Code)
Option G: 4!c/2*35x (Qualifier) (Address)
Option H: 4!c/4!a2!a2!c[3!c] (Qualifier) (Identifier Code)

where
- Qualifier: 4!c
- Data Source Scheme: [8c]
- ISO-Country Code: 2!a
- Text (address): 2*35x
- Place Type Code: 4!c
- Text (name): 35x
- Address: 2*35x

PRESENCE
Optional QUALIFIER

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CLEA</td>
<td>Place of Clearing</td>
</tr>
<tr>
<td>SAFE</td>
<td>Place of Safekeeping</td>
</tr>
<tr>
<td>TRAD</td>
<td>Place of Trade</td>
</tr>
</tbody>
</table>

In option G in Corporate Action messages this field may contain place of meeting or new place of listing of the company:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>MEET</td>
<td>Meeting Place</td>
</tr>
<tr>
<td>MET2</td>
<td>Meeting Place 2</td>
</tr>
<tr>
<td>MET3</td>
<td>Meeting Place 3</td>
</tr>
<tr>
<td>NPLI</td>
<td>New Place of Incorporation</td>
</tr>
</tbody>
</table>

DEFINITION

The field specifies safekeeping data, listing, place of living, place of meeting e.t.c.

**Place of safekeeping** - Location where the financial instruments or global certificate are/will be safekept. Place of safekeeping may be depository or registrar. Used in Corporate Action messages.

**Place of listing** - Determines the market where financial instrument is listed. Used in the messages for corporate actions.

**Place of domicile** - Place of domicile (qualifier /DOMI/) or non-domicile (qualifier /NDOM/) the owner of the securities. Used in
Corporate Action messages.

USAGE RULES

Country Code must be a valid ISO code (network validated).

Place of listing is to be identified by corresponding Market Identifier Code, MIC).

In option F Place Code can be specified:

- CUST Local Custodian
- NCSD National Central Securities Depository
- ICSD International Central Securities Depository
- SHHE Shares held Elsewhere e.t.c.

EXAMPLES

- :94F::SAFE//CUST/CITIGB2LMAG
- :94F::SAFE//NCSD/DAKVDEFFXXX

To indicate that the securities are kept in registrar option B is to be used with REGISTRAR code:

- :94B::SAFE//SHHE/REGISTRAR
- :94C::DOMI//RU country of domicile of the securities owner
- :94C::NDOM//DE owner is not domiciled in the states country
- :94B::PLIS//EXCH/XMOS place of listing
- :94G::MEET//5 Bank of America Center Auditorium
  123 North College place of meeting

1.8.21. Field 95a Party

FORMAT

Option C :4!c//2!a (Qualifier) (Country Code)
Option P :4!c//4!a2!a2!c[3!c] (Qualifier) (Identifier Code)
Option Q :4!c//4*35x (Qualifier) (Name and Address)
Option R :4!c//8!c /34x (Qualifier) (Data Source Scheme) (Proprietary Code)
Option S :4!c//[8c]/4c/2!a/30x (Qualifier) (Data Source Scheme) (Type of ID) (Country code) (Alternate ID)

where

- Qualifier 4!c
- BIC/BEI 4!a2!a2!c[3!c]
- Name of the party 4*35x
- Data Source Scheme 8c
- Proprietary Code 34x
- Type of identifier 4!c
- Country Code ISO 2!a
- Alternate ID 30x

Party identification options have the following meaning:

- Option P - ISO Bank Identifier Code (BIC) published in BIC Directory
- Option Q – Name and Address
- Option R – Proprietary Code of financial institution
- Option S – Alternate ID

In all cases the usage of any option is to be bilaterally agreed between the parties.

**PRESENCE**

Mandatory

**QUALIFIER**

It is recommended to use the following qualifiers in the messages for settlements and corporate actions:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACOW</td>
<td>Account Owner</td>
<td>Party that owns the account.</td>
</tr>
<tr>
<td>BUYR</td>
<td>Buyer</td>
<td>Party that receives the financial instrument.</td>
</tr>
<tr>
<td>DEAG</td>
<td>Delivering Agent</td>
<td>Delivering party that interacts with the place of settlement.</td>
</tr>
<tr>
<td>DECU</td>
<td>Deliverer's Custodian</td>
<td>Party that interacts with the delivering agent unless intermediaries exist.</td>
</tr>
<tr>
<td>DEI1</td>
<td>Deliverer's Intermediary 1</td>
<td>Party that interacts with the delivering agent.</td>
</tr>
<tr>
<td>DEI2</td>
<td>Deliverer's Intermediary 2</td>
<td>Party that interacts with the delivering agent.</td>
</tr>
<tr>
<td>PSET</td>
<td>Place of Settlement</td>
<td>Place of Settlement</td>
</tr>
<tr>
<td>REAG</td>
<td>Receiving Agent</td>
<td>Receiving party that interacts with the place of settlement.</td>
</tr>
<tr>
<td>RECU</td>
<td>Receiver's Custodian</td>
<td>Party that interacts with the receiving agent unless intermediaries exist.</td>
</tr>
<tr>
<td>REI1</td>
<td>Receiver's Intermediary 1</td>
<td>Party that interacts with the receiving agent.</td>
</tr>
<tr>
<td>REI2</td>
<td>Receiver's Intermediary 2</td>
<td>Party that interacts with the receiving agent.</td>
</tr>
<tr>
<td>SELL</td>
<td>Seller</td>
<td>Party that delivers the financial instrument.</td>
</tr>
<tr>
<td>ACCW</td>
<td>Account With Institution</td>
<td>Financial institution that services the cash account of the beneficiary customer, if other that the Receiver.</td>
</tr>
</tbody>
</table>
ALTE  Alternate ID  Alternate identification for a party.
BENM  Beneficiary of Money  Ultimate party to be credited with the money.
DEBT  Debtor  Paying agent ordering customer or debtor.
PAYE  Paying Institution  Party from whose account the payment needs to be done, if different from the Sender's account.

Also in Corporate Action messages:

ISAG  Issuer Agent  Party appointed to administer the event on behalf of the issuer company/offor. The party may be contacted for more information about the event.
PAYA  Paying Agent  Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offor.
PSAG  Physical Securities Agent  A trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.
REGR  Registrar  Party or Agent responsible for securities register maintenance and services.
RESA  Reselling Agent  A broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.
SOLA  Solicitation Agent  A trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

DEFINITION
The field contains identifier or text description of party involved in transaction. Qualifiers identifying the parties are used to specify their position in settlement chain and their relations with other parties involved in delivery and/or settlements.

Option P: ISO Bank Identifier Code (BIC)

FORMAT
:95P::4!c//4!a2!a2!c[3!c], where
- Qualifier – 4!c
- BIC/BEI 4!a2!a2!c[3!c]

USAGE RULES
Option P is used to identify financial institutions with assigned SWIFT code.
NB! SWIFT validates BIC

The subfield “BIC” contains ISO Bank Identifier Code (BIC).

It is recommended to identify Russian financial institutions with Option P in case if both the Sender and the Receiver of the message support the Directory of correspondence between ISO BICs and the names of settlement participants in the Russian Federation and should be bilaterally agreed between the parties.
Option P is recommended to be used:

- To identify the counterparty when financial instruments are to be transferred between safekeeping accounts opened at the same financial institution (operation type – “book transfer”);
- To identify the Place of Settlement (qualifier PSET);
- To identify parties when settlement is effected through international Depositories.

**EXAMPLE**

:95P::PSET//DEPORUMM – Place of Settlement, i.e., financial institution where securities are transferred between accounts.

Option Q: Name and address of the financial institution

**FORMAT**

:95Q::4!c//4*35x, where

- Qualifier 4!c
- Name and Address 4*35x

**USAGE**

Option Q can be used if it’s not possible to use Option P or if there’s a bilateral agreement between the parties permitting its use.

In case of internal transfers it is recommended to specify in this field the identifier assigned by settlement Depository, in case of inter depository transfers – the identifier assigned by correspondent Depository. In case if the Place of Settlement for the transaction is the Registrar, code REGISTRAR can be indicated instead of the name and address of the concrete Registrar.

**EXAMPLE**

:95Q::REAG/"ZAO ''RAScoTNO-DEPOZITARNa KOMPANIa’’

:95Q::PSET//REGISTRAR

Option R – Proprietary Code of financial institution

**FORMAT**

:95R::4!c/8c/34x, where

- Qualifier 4!c
- Data Source Scheme 8c
- Proprietary Code 34x

The subfield “Proprietary Code” specifies the local national code or market segment code to identify the party.

The subfield “Data Source Scheme” specifies the code permitted to be used on S.W.I.F.T. network.

This option may be used to identify the institution with a proprietary code, assigned by the market operator or depository. Data Source Scheme should be registered in SWIFT as applicable system for the given field. Currently Russian CSD code is registered as Data Source Scheme – NSDR.

Option S – Alternate ID
FORMAT
:95S::4!c/[8c]/4c/2!a/30x
- Qualifier 4!c
- Data Source Scheme 8c
- Type of ID 4c
- Country Code 2!a
- Alternate ID 30x

The subfield “Alternate ID” contains the alternate identification of the party specified in the same sequence.

The subfield “Data Source Scheme” specifies the code permitted to be used on S.W.I.F.T. network.

The subfield “Type of ID” specifies the alternate ID’s type which can be used to identify the party, e.g., non-resident’s registration number, passport number, tax-payer’s identification number, corporate identifier.

The subfield “Country Code” specifies the country where the applied party’s alternate ID is valid. This must be a valid ISO country code.

The subfield “Alternate ID” specifies the party’s alternate identification.

In the current standards release the field with this option is recommended to be used to specify passport number:
:95S::/ALTE//CCPT/RU/passport number

The passport series (if present) should be separated from the passport number by double slash.

EXAMPLE1:
:95S::ALTE//CCPT/RU/4505//123456

Field with this option can also specify the tax-payer’s identification number:
:95S::ALTE//TXID/RU/tax-payer’s identification number

EXAMPLE2:
:95S::ALTE//TXID/RU/1234567890

1.8.22. Field 97a Account

FORMAT
This field specifies the type and the account number of the party involved in the transaction.

Option A :4!c//35x (Qualifier) (Account Number)
Option B :4!c/[8c]/4!c/35x (Qualifier) (Data Source Scheme) (Account Type Code) (Account Number)
Option C :4!c//4!c (Qualifier) (Account Type Code)
Option E: 4!c//34x  
(Qualifier) (International Bank Account Number -IBAN)

where

- Qualifier 4!c
- Data Source Scheme 8c
- Account Type Code 4!c
- Account Number 35x

PRESENCE
Optional

QUALIFIER

It is recommended to use the following qualifiers in settlements and Corporate Action messages:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASH</td>
<td>Cash Account Account in which cash is maintained.</td>
</tr>
<tr>
<td>SAFE</td>
<td>Safekeeping Account Account where financial instruments are maintained.</td>
</tr>
<tr>
<td>REGI</td>
<td>Registrar Account Account at the registrar where financial instruments are registered.</td>
</tr>
</tbody>
</table>

It is recommended to use the following qualifiers in the messages for corporate actions in option C subfield “Account Type Code”:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GENR</td>
<td>General Announcement applies to all safekeeping accounts that own underlying financial instrument. (Used for general or preliminary announcements).</td>
</tr>
</tbody>
</table>

DEFINITION

The account provided is the account of the party specified in this sequence.

USAGE RULES

Option B is not used in the current standards version.

The field may contain qualifier SAFE for safekeeping account and CASH for cash account.

If a financial instrument is transferred between accounts within a financial institution or through a correspondent institution the presence of account number is mandatory.

For cash account following procedure is recommended if the field contains the qualifier CASH:

- field specified in the sequence FIAC, if the safekeeping account and cash account are serviced by the same financial institution
- field specified in subsequence CSHPRTY, if the safekeeping account and cash account are serviced by different financial institutions.

If qualifier PSET is present in subsequence SETPRTY then field 97a::SAFE is not allowed in the same subsequence.
In corporate action messages in option C GENR code can be used - to show that announcement applies to all safekeeping accounts that own underlying financial instrument.

**EXAMPLES**

:97A::SAFE//MS12345678  safekeeping account
:97A::CASH//500345321   cash account.
:97C::SAFE//GENR  all accounts with securities balances

For internal transfers between sections (sub-accounts) of safekeeping accounts it is recommended to specify the sections as follows:

Safekeeping account should be specified in Field :97a:.

If the section (sub-account) code is present, it is recommended to specify it in the same field after the account number with the code word /KRZD/. Section code may be specified after two consecutive slashes without code word KRZD.

There’s no restriction on the number of characters in the account number and the section (sub-account) code, but the overall quantity of [Sign]s in the field including the code /KRZD/ must not exceed 35.

**EXAMPLES**

:97A::SAFE//MS9801147521/KRZD/31MC0009900000F00
:97A::SAFE//MS9801147521//31MC0009900000F00

### 1.8.23. Field 98a Date/Time

**FORMAT**

<table>
<thead>
<tr>
<th>Option</th>
<th>Format</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Option A</td>
<td>:4!c//8!n</td>
<td>(Qualifier) (Date)</td>
</tr>
<tr>
<td>Option B</td>
<td>:4!c/[8c]/4!c</td>
<td>(Qualifier) (Data Source Scheme) (Date Code)</td>
</tr>
<tr>
<td>Option C</td>
<td>:4!c//8!n6!n</td>
<td>(Qualifier) (Date) (Time)</td>
</tr>
<tr>
<td>Option E</td>
<td>:4!c//8!n6!n[.3n][/[N]2!n[2!n]]</td>
<td>(Qualifier) (Date) (Time) (Decimals) (UTC Indicator)</td>
</tr>
<tr>
<td>Option F</td>
<td>:4!c/[8c]/4!c6!n</td>
<td>(Qualifier) (Data Source Scheme) (Date Code) (Time)</td>
</tr>
</tbody>
</table>

where

- **Qualifier** 4!c
- **Date format** YYYYMMDD 8!n
- **Date format** MMDD 4!n
- **Date and Time format** YYYYMMDDHHMMCC 8!n6!n
- **Date Code** 4!n
- **Decimals** [.3n]
- **UTC Indicator** //[N]2!n[2!n]
PRESENCE
Mandatory/optional depending on the type of the date

QUALIFIER
In the messages for settlements and corporate actions usage of the following qualifiers is recommended:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ESET</td>
<td>Effective Settlement Date/Time - Date/time at which a transaction effectively settled.</td>
</tr>
<tr>
<td>SETT</td>
<td>Settlement Date/Time - Date/time at which the financial instruments are to be delivered or received.</td>
</tr>
<tr>
<td>TRAD</td>
<td>Trade Date/Time - Date/time at which the deal (rights) was agreed</td>
</tr>
<tr>
<td>PREP</td>
<td>Preparation Date - Date on which message was prepared.</td>
</tr>
</tbody>
</table>

In corporate actions messages the following qualifiers can be specified:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANOU</td>
<td>Announcement Date/Time - Date/time at which the issuer announced that a corporate action event will occur.</td>
</tr>
<tr>
<td>EFFD</td>
<td>Effective Date/Time - Date/time at which an event is officially effective from the issuer's perspective.</td>
</tr>
<tr>
<td>EXPI</td>
<td>Expiry Date - Date/time at which an order expires or on which a privilege or offer terminates.</td>
</tr>
<tr>
<td>EXRQ</td>
<td>Execution Requested Date/Time - Date/time at which the instructing party requests the instruction to be executed.</td>
</tr>
<tr>
<td>MEET</td>
<td>Meeting Date/Time - Date/time at which the bondholders' or shareholders' meeting will take place.</td>
</tr>
<tr>
<td>MKDT</td>
<td>Market Deadline Date/Time - Issuer or issuer's agent deadline to respond, with an election instruction, to an outstanding offer or privilege.</td>
</tr>
<tr>
<td>PAYD</td>
<td>Payment Date/Time - Date/time at which the movement is due to take place (cash and/or securities).</td>
</tr>
<tr>
<td>POST</td>
<td>Posting Date/Time - Date of the posting (credit or debit) to the account.</td>
</tr>
<tr>
<td>RDDT</td>
<td>Response Deadline Date/Time - Date/time at which the account servicer has set as the deadline to respond, with instructions, to an outstanding event. This time is dependent on the reference time zone of the account servicer as specified in an SLA.</td>
</tr>
<tr>
<td>RDTE</td>
<td>Record Date/Time - Date/time at which positions are struck at the end of the day to note which parties will receive the relevant amount of entitlement, due to be distributed on payment date.</td>
</tr>
</tbody>
</table>

In Corporate Action messages on Russian securities ex-dividend date is not applicable (for shares it is equal to the record date) as well as the qualifier:

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>XDTE</td>
<td>Ex-Dividend or Distribution Date/Time - Date/time as from which trading (including exchange and OTC trading) occurs on the underlying security without the benefit.</td>
</tr>
</tbody>
</table>
DEFINITION

This field may specify the date on which message was prepared, the date on which the transaction was done, the date on which the trade was agreed, the date on which the message was processed in the Settlement institution or Depository etc.

- Date/time at which an order expires or on which a privilege or offer terminates /EXPI/,
- Date/time at which an event is officially effective from the issuer's perspective /EFFD/ etc.

In option B if “Data Source Scheme” subfield is not present, the subfield “Date Code” must contain one of the following codes:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ONGO</td>
<td>Ongoing Basis</td>
</tr>
<tr>
<td>UKWN</td>
<td>Unknown Date</td>
</tr>
</tbody>
</table>

Usage of Date Code:

- Ongoing Basis: Date is determined by "on going basis" process, for example "au fil de l'eau".
- Unknown Date: Date is unknown by the sender or has not been established.

USAGE RULES

Date must be a valid date expressed by four or eight digits, and date and time must be expressed by fourteen digits according to one of the appropriate ISO formats: MMDD, YYYYMMDD or YYYYMMDDHHMMCC, where Y is year, M is month, D is date. Eg, 20040305 means the 5th of March 2004.

The information type is specified by the Qualifier.

Option A should be used to specify the settlement date and the trade date and option C – to specify the date on which the instruction was prepared/processed.

EXAMPLES

:98A::SETT//20040310  expected settlement date indicated in the instruction
:98A::ESET//20040310  date/time at which a transaction effectively settled in the institution indicated as the Place of Settlement
:98A::TRAD//20040305  date at which the deal was agreed
:98C::PROC//20040305124500  date and time on which the instruction was processed
:98E::PREP//20120206075642,600  date and time on which the message was prepared
:98A::RDTE//20120309  holder of record date (in Corporate Action messages)
:98A::MATU//20180310  maturity date (in Corporate Action messages)
:98A::EXPI//20120301  date/time at which an order expires (in Corporate Action messages)
:98A::FRNR//20120309  Date on which the interest rate of an interest bearing financial instrument will be/was calculated (in Corporate Action messages)
:98C::RDDT//20120301160000  date/time at which the account servicer has set as the deadline to respond (in Corporate Action messages)
:98A::POST//20120214  date of the posting (credit or debit) to the account (in Corporate Action messages)
:98A::PAYD//UKWN  date/time at which the movement is due to take place (cash and/or securities) is unknown (in Corporate Action messages)
1.8.24. Field 99a Number

FORMAT
Option A :4!c//[N]3!n (Qualifier) (Sign) (Number)

where

• Qualifier 4!c
• Sign [N]
• Number [3!a]

PRESENCE
Optional

DEFINITION
This field may specify number of days used for calculating the accrued interest amount. (qualifier DAAC). Used in Corporate Action messages.

USAGE RULES
With negative value subfield “Sign” should be used.

EXAMPLES
:99A::DAAC//031
2. FORMATS OF SETTLEMENT INSTRUCTIONS

2.1 MT540 RECEIVE FREE

This message is sent by an account owner to an account servicer (account servicing institution). This message is used to:

- instruct the receipt of financial instruments free of payment, physically or by book-entry, from a specified party (the function of the message is NEWM)
- request the cancellation of a receive free of payment instruction previously sent by the account owner (the function of the message is CANC)
- pre-advise the account servicer of a forthcoming receive free of payment instruction (the function of the message is PREA).

2.1.1. Format Specifications

<table>
<thead>
<tr>
<th>Status</th>
<th>Tag</th>
<th>Detaild Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
<th>№ RUS</th>
<th>№ SWIFT User Handbook</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>:16R:</td>
<td>Start of Block</td>
<td>GENL</td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>:20C:</td>
<td>Sender's Message Reference</td>
<td>:4!c//16x</td>
<td>SEME</td>
<td>1.8.6</td>
<td>2</td>
</tr>
<tr>
<td>M</td>
<td>:23G:</td>
<td>Function of the Message</td>
<td>4!c[4!c]</td>
<td></td>
<td>1.8.9</td>
<td>3</td>
</tr>
<tr>
<td>O</td>
<td>:98a:</td>
<td>Preparation Date/Time</td>
<td>A,C or E</td>
<td>PREP</td>
<td>1.8.23</td>
<td>4</td>
</tr>
</tbody>
</table>

Optional Repetitive Subsequence A1 Linkages

<table>
<thead>
<tr>
<th>Status</th>
<th>Tag</th>
<th>Detaild Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
<th>№ RUS</th>
<th>№ SWIFT User Handbook</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>:16R:</td>
<td>Start of Block</td>
<td>LINK</td>
<td></td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>:20C:</td>
<td>Linked Message Reference</td>
<td>:4!c//16x</td>
<td>:4!c</td>
<td>1.8.7</td>
<td>9</td>
</tr>
<tr>
<td>M</td>
<td>:16S:</td>
<td>End of Block</td>
<td>LINK</td>
<td></td>
<td>11</td>
<td></td>
</tr>
</tbody>
</table>

End of Subsequence A1 Linkages

<table>
<thead>
<tr>
<th>Status</th>
<th>Tag</th>
<th>Detaild Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
<th>№ RUS</th>
<th>№ SWIFT User Handbook</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>:16S:</td>
<td>End of Block</td>
<td>GENL</td>
<td></td>
<td>12</td>
<td></td>
</tr>
</tbody>
</table>

End of Sequence A General Information

Mandatory Sequence B Trade Details

<table>
<thead>
<tr>
<th>Status</th>
<th>Tag</th>
<th>Detaild Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
<th>№ RUS</th>
<th>№ SWIFT User Handbook</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>:16R:</td>
<td>Start of Block</td>
<td>TRADDET</td>
<td></td>
<td>13</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>:98a:</td>
<td>Settlement Date/Time</td>
<td>A,B or C</td>
<td>SETT</td>
<td>1.8.23</td>
<td>16</td>
</tr>
<tr>
<td>O</td>
<td>:98a:</td>
<td>Trade Date/Time</td>
<td>A,B or C</td>
<td>TRAD</td>
<td>1.8.23</td>
<td>16</td>
</tr>
</tbody>
</table>
2.1.2 Example of an instruction to receive securities as a result of internal movement within a Depository/Custodian

Example 1.

This is an example of an instruction to receive securities into an account with a Depository/Custodian from another account with the same Depository/Custodian.
Instruction number – KL00412/A-861.

Requested Settlement date when the securities are to be moved – the 23rd of September 2004.

Trade date – the 16th of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0008959655
- Narrative description of RAO EeS securities (Russia) with transliteration indicator – ‘RAOEeS.

The rules of financial instrument’s indication are defined in section 1.8.13 of this document.

Quantity of financial instrument to be settled – 1500 units.

Account number for money transaction - 1111

Type of Settlement Transaction – settlement of a trade, indicator SETR/TRAD.

Name of the owner of the nominal holder’s safekeeping account from which the securities should be delivered – ABC Broker, (BIC BROKRUMM, account number 2222).

Transaction basis is the contract of purchase and sale №45HPI-1 dated the 16th of September 2004 and signed by the Seller and the Buyer. Russian letters in the contract number should be transliterated. Place of Settlement is a depository (BIC DEPORUMM) that services the accounts of the sender of the message OAO CB “Telecom” (account number 1111) and its agent ABC Broker (account number 2222, BIC BROKRUMM)

**Message flow.**
Message structure.

:16R:GENL
:20C::SEME//KL00412/A-861
:23G:NEWM
:16S:GENL
:16R:TRADDDET
:98A::SETT//20040923
:98A::TRAD//20040916
:35B:ISIN RU0008959655
'RAO EeS
:16S:TRADDDET
:16R:FIAC
:36B::SETT//UNIT/1500,
:97A::SAFE//1111NM
:16S:FIAC
:16R:SETDET
:22F::SETR//TRAD
:16R:SETPTY
:95P::PSET//DEPORUMM
:16S:SETPTY
:16R:SETPTY
:95P::DEAG//BROKRUMM
:97A::SAFE//2222
:70E::DECL//TYPE/BYSA/NUMB/45’NP-1’/DATE/20040916
:16S:SETPTY
:16S:SETDET

2.1.3. Examples of instructions to receive securities from an account serviced by an external party

Example 1.

This is an example of an instruction to receive securities into an account with Depository/Custodian from an account in the Registrar.

Instruction number – ANF-34/DF.

Settlement date when the securities are to be credited – the 23rd of September 2004.

Trade date – the 21st of September 2004.

Financial Instrument is defined by the following details:

- National state registration number 2-07-03-00345-A
- Corporate identifier 54327RT assigned by the Depository that services the Client’s account

Quantity of financial instrument to be settled – 8000 units.
Safekeeping account to be credited – 1111NM, account of the nominal holder OAO CB “Telecom”.

Type of Settlement Transaction – securities movement with Change of Beneficial Ownership, indicator SETR/TRAD.

Place of Settlement is the institution which is keeping the Register, Place of Settlement code - REGISTRAR.

Name of the owner of the account in the registrar from which the securities are moved – ZAO Company “Alliance”, its account number is not indicated in this example.

Type of the account with the Registrar to be debited – nominal holder’s account.

Transaction basis is the depository contract №25 dated the 14th of September 2004 and the contract of purchase and sale №RT12345 dated the 21st of May 2004.

Message flow.

Place of Settlement is the registrar where the nominal holder ZAO Company “Alliance” has an account. OAO CB “Telecom” instructs the Depository (BIC DEPORUMM) that services its nominal holder’s account №1111NM to receive securities from the account of ZAO Company “Alliance” in the registrar.

Sender of MT540 TELERUMM
Receiver of MT540 DEPORUMM

Message structure.

:16R:GENL
:20C::SEME//ANF-34/DF
:23G:NEWM
:16S:GENL
:16R:TRADDET
:98A::SETT://20040923
:98A::TRAD://20040921
:35B://XX/CORP/DEPO/54327RT/RU/2-07-03-00345-A
Example 2.

This is an example of an instruction to receive securities to an account with a Depository/Custodian without Change of Beneficial Ownership. The securities are debited from an account in the Registrar.

Instruction number – RT12345GAZ.

Settlement date when the securities are to be moved – the 19th of May 2004.

Trade date – the 21st of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0009034268
- National state registration number 1-01-00029-A.

Narrative description of securities is not used in the current example.

The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

Quantity of financial instrument to be settled – 3000 units.

Safekeeping account to be credited – 1111NM.

Type of Settlement Transaction – securities movement without Change of Beneficial Ownership, indicator SETR//OWNE.

Place of Settlement is the institution which is the Registrar Holder, Place of Settlement code - REGISTRAR.

Name of the owner of the account in the registry from which the securities are moved – OAO “Telestar”, its account number is not indicated in this example.

Type of the account with the Registrar to be debited – owner’s account.

Transaction basis is the depository contract № 134 dated the 1st of February 2002.
Message flow.

Place of Settlement is the Registrar where the owner OAO “Telestar” has an account. The bank OAO CB “Telecom” (BIC TELERUMM) instructs the Depository (BIC DEPORUMM) that services its nominal holder’s account №1111NM to receive securities from the account of OAO “Telestar” in the registrar.

Sender of MT540  TELERUMM
Receiver of MT540  DEPORUMM

Message structure.

:16R:GENL
:20C::SEME//RT12345GAZ
:23G:NEWM
:16S:GENL
:16R:TRADDET
:98A::SETT//20040519
:35B:ISIN RU0009034268
:RU/1-01-00029-A
:16S:TRADDET
:16R:FIAC
:36B::SETT//UNIT/3000,
:97A::SAFE//1111NM
:16S:FIAC
:16R:SETDET
:22F::SETR//OWNE
:16R:SETPRTY
:95Q::PSET//REGISTRAR
:16S:SETPRTY
:16R:SETPRTY
:95Q::DEAG//’OAO “TELESTAR”’
:70E::DECL//TYPE/DEPA/NUMB/134/DATE/20020201
Example 3.

This is an example of an instruction which is used to receive securities into an account with national Depository from an account with another national Depository (“bridge”). There are appropriate bilateral agreements between two Depositories.

Instruction number – AL/123.

Settlement date when the securities are to be moved – the 18th of March 2004.

Trade date – the 15th of March 2004.

Financial Instrument is defined by the following details:

- ISIN RU0008959655
- Narrative description of RAO EeS securities (Russia) with transliteration indicator – ‘RAOEeS.

Quantity of financial instrument to be settled – 12378 units.

Safekeeping account to be credited – 2222.

Type of Settlement Transaction – settlement of a trade, indicator SETR/TRAD.

Place of Settlement is the correspondent Depository that services the account from which the securities are moved, BIC CUSTRMUM.

Name of the institution that owns the account at the correspondent Depository - OAO “United Funds”; according to bilateral agreement between the Depository and the account owner the account owner is identified using BIC - FONDRUMM.

Institution’s account number to be debited – MS1238ND, code of the safekeeping account’s section (sub-safekeeping account) - 30MC0009900010A00.

Transaction basis is the depository contract without number dated the 12th of May 2002 and intra-depository contract №543FD dated the 12th of February 2002.
Message flow.

Place of Settlement is the correspondent Depository CUSTRUMM that services the account MS1238ND of OAO “United Funds”.

The investment manager ABC Broker (BIC BROKRUMM) instructs the Depository (BIC DEPORUMM) that services its nominal holder’s account 2222 to receive securities from the account of OAO “United Funds” (BIC FONDRUMM) at the correspondent Depository.

Sender of MT540 BROKRUMM
Receiver of MT540 DEPORUMM

Message structure.

:16R:GENL
:20C::SEME//AL/123
:23G:NEWM
:16S:GENL
:16R:TRADDET
:98A::SETT//20040318
:98A::TRAD//20040315
:35B:ISIN RU0008959655
:RAO EeS
:16S:TRADDET
:16R:FIAC
:36B::SETT//UNIT/12378,
:97A::SAFE//2222
:16S:FIAC
:16R:SETDET
:22F::SETR//TRAD

Moscow, September 2012
Description and message flow related to turnaround (back-to-back) instruction MT542 Deliver Free sent to the correspondent Depository CUSTRUMM are provided in Example 3 section 2.3.2 of the current Guide.
2.2 MT541 RECEIVE AGAINST PAYMENT

This message is sent by an account owner to an account servicer (account servicing institution). This message is used to:

- instruct the receipt of financial instruments against payment, physically or by book-entry, from a specified party (the function of the message is NEWM)
- request the cancellation of a receive against payment instruction previously sent by the account owner (the function of the message is CANC)
- pre-advice the account servicer of a forthcoming receive against payment instruction (the function of the message is PREA).

2.2.1. Format Specifications

<table>
<thead>
<tr>
<th>Status</th>
<th>Tag</th>
<th>Detaild Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
<th>№ RUS</th>
<th>№ SWIFT User Handboook</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Mandatory Sequence A General Information</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>M :16R: Start of Block</td>
<td>GENL</td>
<td></td>
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End of Sequence B Settlement Transaction Details

M :16R: Start of Block FIAC 38
M :36B: Quantity of 4!c//4!c/15d SETT 1.8.14 39

Mandatory Repetitive Sequence C Financial Instrument/Account

O :95a: Party/Account P or R ACOW 1.8.21 42
M :97a: Safekeeping Account A or B SAFE 1.8.22 43
O :97a: Account A or E CASH 1.8.22 43
M :16S: End of Block FIAC 52

End of Sequence C Financial Instrument/Account

Optional Sequence D Two Leg Transaction Details (not considered)

Mandatory Sequence E Settlement Details

M :16R: Start of Block SETDET 62
M :22F: Indicator :4!c/[8c]/4!c SETR 1.8.8 63

Mandatory Repetitive Subsequence E1 Settlement Parties

M :16R: Start of Block SETPRTY 64
M :95a: Place of Settlement C, P or Q PSET 1.8.21 65
M :95a: Delivering Agent P, Q or R DEAG 1.8.21 65
O :95a: Party/Seller P, Q or R SELL 1.8.21 65
O :95a: Party/Buyer P, Q or R BUYR 1.8.21 65
O :97a: Safekeeping Account A or B SAFE 1.8.22 66
O :70a: Narrative C, D or E :4!c 1.8.16 69
M :16S: End of Block SETPRTY 70

End of Subsequence E1 Settlement Parties

Optional Repetitive Subsequence E2 Cash Parties

M :16R: Start of Block CSHPRTY 71
M :95a: Party P, Q or R :4!c 1.8.21 72
O :97a: Account A or E CASH 1.8.22 73
M :16S: End of Block CSHPRTY 74

End of Subsequence E2 Cash Parties

Mandatory Repetitive Subsequence E3 Amount (not considered)

M :16R: Start of Block AMT 76
M :19A: Amount :4!c//[N]3!a15 SETT 1.8.5 78
O :98a: Value A or C VALU 1.8.23 80
O :98a: Date/Time d
M :16S: End of Block AMT 81

End of Subsequence E3 Amount

M :16S: End of Block SETDET 82

End of Sequence E Settlement Details

Optional Repetitive Sequence F Other Parties (not considered)
2.2.2. Example of an instruction to receive securities against payment within a Depository

This is an example of an instruction which can be used to receive securities as a result of internal transfer between accounts with a Depository/Custodian, while cash accounts are serviced by a settlement bank and there are appropriate bilateral agreements between the bank and the Depository.

This scheme can be used by a Depository not licensed for banking transactions.

Instruction number – TEN004-346A.

Settlement date when the securities are to be moved – the 23rd of September 2004.

Trade date – the 16th of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0009024277
- Narrative description of NK Lukoil securities with transliteration indicator – ‘NK LUKOiL.

The rules of financial instrument’s indication are defined in section 1.8.13 of this document.

Quantity of financial instrument to be settled – 4000 units.

The Receiver of the securities is OAO CB “Telecom” (BIC TELERUMM); safekeeping account number to which the securities are to be credited – 1111NM, cash account number with the settlement bank to be debited – 001USB.

Type of Settlement Transaction – settlement of a trade, indicator SETR/TRAD.

Place of Settlement is the institution, that services the safekeeping accounts to which the securities are to be moved, BIC DEPORUMM.

Name of the owner of the account from which the securities are moved – ABC Broker, account number 2222, BIC BROKRUMM. This institution is also the Receiver of the cash amount.

Transaction basis is the contract of purchase and sale №675/003 dated the 16th of September 2004.

Bank servicing the account of the Receiver of the cash amount is USBank, BIC BANKRUMM.

Receiver’s account number with this bank – 002USB.

Total cash amount to be paid for the securities – 100000 US dollars.
Message flow.

Place of Settlement is the Depository (BIC DEPORUMM) that services the accounts of the message’s Sender (OAO CB “Telecom”, account number 1111NM) and its counterparty (ABC Broker, account number 2222, BIC BROKRUMM).

Sender of MT541  TELERUMM
Receiver of MT541  DEPORUMM

Message structure.
:16R:GENL
:20C::SEME//TEN004-346A
:23G:NEWM
:16S:GENL
:16R:TRADDET
:98A::SETT//20040923
:98A::TRAD//20040916
:35B:ISIN RU0009024277
  'NK LUKoil
:16S:TRADDET
:16R:FIAC
:36B::SETT//UNIT/4000,
:97A::SAFE//1111NM
:97A::CASH//001USB
:16S:FIAC
:16R:SETDET
:22F::SETR//TRAD
:16R:SETPRTY
:95P::PSET//DEPORUMM
:16S:SETPRTY
:16R:SETPRTY
:95P::DEAG//BROKRUMM
Example 1.

This is an example of an instruction which can be used to receive securities as a result of internal transfer between accounts with a Depository/Custodian, while cash accounts are serviced by the same financial institution.

This scheme can be used by a Depository-Bank.

Instruction number – AMT1234/541.

Settlement date when the securities are to be moved – the 13th of September 2004.

Trade date – the 6th of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0009034268
- National state registration number 1-01-00029-A
- Narrative description of OAO ‘GAZ’ securities with transliteration indicator – ‘OAO ‘GAZ’.

The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

Quantity of financial instrument to be settled – 5000 units.

Type of Settlement Transaction – settlement of a trade, indicator SETR//TRAD.

Place of Settlement is the USBank’s depository, BIC BANKRUMM, that services:

Seller’s and Buyer’s accounts to be credited/debited with securities;

Seller’s and Buyer’s cash accounts.

The Receiver of the securities is OAO CB “Telecom” (BIC TELERUMM); safekeeping account number with which the securities are to be received – 54321, cash account number to be debited – 001USB.
Name of the owner of the account from which the securities are moved – ABC Broker, safekeeping account number - 98765, BIC BROKRUMM. This institution is the Receiver of the cash amount, account number to be credited – 002USB.

Transaction basis is the contract of purchase and sale № 123/003 dated the 6th of September 2004.

Total cash amount to be paid for the securities – 52000 US dollars 48 cents.

Message flow.

Place of Settlement is the Depository USBank (BIC BANKRUMM) that services the accounts of the message’s Sender (OAO CB “Telecom”, BIC TELERUMM) and its counterparty (ABC Broker, BIC BROKRUMM).

Sender of MT541 TELERUMM
Receiver of MT541 BANKRUMM

Message structure.

:16R:GENL
:20C::SEME//AMT1234/541
:23G:NEWM
:16S:GENL
:16R:TRADDET
:98A::SETT//20040913
:98A::TRAD//20040906
:35B:ISIN RU00009034268
/RU/1-01-00029-A
’OAO ‘GAZ’’
:16S:TRADDET
:16R:FIAC
:36B::SETT//UNIT/5000,
:97A::SAFE//54321
:97A::CASH//001USB
:16S:FIAC
2.3 MT542 DELIVER FREE

This message is sent by an account owner to an account servicer (account servicing institution). This message is used to:

- instruct the delivery of financial instruments free of payment, physically or by book-entry, from a specified party (the function of the message is NEWM)
- request the cancellation of a deliver free of payment instruction previously sent by the account owner (the function of the message is CANC).

2.3.1. Format Specifications

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<th>№ SWIFT User Handbok</th>
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Optional Subsequence B1 Financial Instrument Attributes (not considered)

M:16S: End of Block

End of Sequence B Settlement Transaction Details

Mandatory Sequence C Financial Instrument/Account

M:16R: Start of Block

M:38B: Quantity of the financial instrument:4!c/4!c/15d SETT 1.8.14 39

O:95a: Party/Account Owner P or R ACO W 1.8.12 42

M:97a: Safekeeping Account A, B or E SAFE 1.8.22 43

M:16S: End of Block

End of Sequence C Financial Instrument/Account

Optional Sequence D Two Leg Transaction Details (not considered)

Mandatory Sequence E Settlement Details

M:16R: Start of Block

M:22F: Indicator :4!c/[8c]/4!c SE TR 1.8.8 63

Mandatory Repetitive Subsequence E1 Settlement Parties

M:16R: Start of Block

M:95a: Place of Settlement C, P or Q PSET 1.8.21 65

M:95a: Delivering Agent P, Q or R RE A G 1.8.21 65

O:95a: Party/Seller P, Q or R SELL 1.8.21 65

O:95a: Party/Buyer P, Q or R BUYR 1.8.21 65

O:97a: Safekeeping Account A or B SAFE 1.8.22 66

O:70a: Narrative C, D or E :4!c 1.8.16 60

M:16S: End of Block

End of Subsequence E1 Settlement Parties

Optional Repetitive Subsequence E2 Cash Parties (not considered)

Mandatory Repetitive Subsequence E3 Amount

M:16R: Start of Block

M:19A: Amount :4!c/[N]3!a15d SETT 1.8.5 77

M:16S: End of Block

End of Subsequence E3 Amount

M:16S: End of Block

End of Sequence E Settlement Details

Optional Repetitive Sequence F Other Parties (not considered)
2.3.2. Example of an instruction to deliver securities within a Depository/Custodian

This is an example of an instruction which can be used to deliver securities from an account with a Depository/Custodian, while the account to be credited with the securities is serviced by the same Depository/Custodian.

Instruction number – 234521/45NP-1.

Settlement date when the securities are to be moved – the 23rd of September 2004.

Trade date – the 16th of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0008959655
- Narrative description of RAO EeS securities (Russia) with transliteration indicator – 'RAO EeS.

Quantity of financial instrument to be settled – 1500 units.

Safekeeping account to be debited – 2222.

Type of Settlement Transaction – settlement of a trade, indicator SETR/TRAD.

Place of Settlement is the institution that services the safekeeping accounts to be debited/credited with the securities, BIC DEPORUMM.

Name of the owner of the account to be credited with the securities - OAO CB “Telecom”, account number – 1111, BIC TELERUMM.

Transaction basis is the contract of purchase and sale №45НП-1 dated the 16th of September 2004. Russian letters in the contract number should be transliterated.

Place of Settlement is the Depository (BIC DEPORUMM) that services the accounts of the Sender of the message (ABC Broker, account number 2222, BIC BROKRUMM) and its counterparty (OAO CB “Telecom”, account number 1111, BIC TELERUMM).

Message flow.
Sender of MT542  BROKRUMM  
Receiver of MT542  DEPORUMM  

Message structure.

:16R:GENL  
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:23G:NEWM  
:16S:GENL  
:16R:TRADDDET  
:98A::SETT//20040423  
:98A::TRAD//20040416  
:35B:ISIN RU0098959655  
'RAO EeS  
:16S:TRADDDET  
:16R:FIAC  
:36B::SETT//UNIT/1500,  
:97A::SAFE//2222  
:16S:FIAC  
:16R:SETDET  
:22F::SETR//TRAD  
:16R:SETPRTY  
:95P::PSET//DEPORUMM  
:16S:SETPRTY  
:16R:SETPRTY  
:95P::REAG//TELERUMM  
:97A::SAFE//1111  
:70E::DECL//TYPE/BYSA/NUMB/45'NP-1'/DATE/20040916  
:16S:SETPRTY  
:16S:SETDET  

2.3.3. Examples of instructions to deliver securities into an account serviced by a third party

Example 1.

This is an example of an instruction which can be used for moving portfolio and for changing the nominal holder in the Registrar - for moving securities from an account with a Depository/Custodian to an account in a registry.

Instruction number – SAMP542/NOM.

Settlement date when the securities are to be moved – the 23rd of September 2004.

Trade date is not indicated.

Financial Instrument is defined by the following details:

• National state registration number 1-03-00161-A
• Corporate identifier 54327RT
• Narrative description of ordinary shares of the third issue OAO “Tatneft” with transliteration indicator – ‘OAO “TATNEFTX” AO3.'
The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

Quantity of financial instrument to be settled – 8000 units.

Safekeeping account to be debited – 1111NM.

Type of Settlement Transaction – securities movement without Change of Beneficial Ownership, indicator SETR//OWNE.

Place of Settlement is the institution which is the Registrar keeping the registry, Place of Settlement code - REGISTRAR.

Name of the owner of the account in the registrar to which the securities are moved – ZAO Company “Alliance”, its account number is not indicated in this example.

Type of the account with the Registrar to be credited – nominal holder’s account.

Transaction basis is the depository contract №10 dated the 12th of March 2004.

Details of the party, in the name of which the securities are re-registered:

Number of the registration document /NUMB/- 1025501341252

Date of registration document’s issuance /DATE/- the 11th of May 2003

Institution that issued the registration document /REGA/- Intra-district inspection of the Ministry of Internal Affaires of Russia № 25 for Moscow

Registration document code /TYPE/OGRN - certificate of making an entry in the Unified National Registrar of Juridical Persons.

Place of Settlement is the Registrar where the nominal holder ZAO Company “Alliance” has an account. OAO CB “Telecom”, which is the nominal holder of securities of OAO “Telestar”, instructs the Depository (BIC DEPORUMM) that services its nominal holder’s account №1111NM to move the securities to the account of ZAO Company “Alliance” in the registrar.

Message flow.
Example 2.

This is an example of an instruction to deliver securities from an account with a Depository/Custodian involving Change of Beneficial Ownership. Securities are credited to an account at the Registrar.

Instruction number – SAMP542/OWN.

Settlement date when the securities are to be moved – the 19th of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0009034268
- National state registration number 1-01-00029-A
- Narrative description of OAO “GAZ” securities with transliteration indicator – ‘OAO “GAZ”’.

The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

Quantity of financial instrument to be settled – 3000 units.
Safekeeping account with the Depository/Custodian to be debited – 1111NM.
Type of Settlement Transaction – securities movement with Change of Beneficial Ownership, indicator - SETR/TRAD.

Place of Settlement is the institution which is the Register Holder, Place of Settlement code - REGISTRAR.

Name of the owner of the account in the registry to which the securities are moved – OAO “Telestar”, its account number is not indicated in this example.
Type of the account at the Registrar to be credited – owner’s account.
Amount to be paid for the securities – 10000 US dollars.
Transaction basis is:
the depository contract №134 dated the 1st of February 2002;
the contract of purchase and sale № RT12345 dated the 11th of September 2004.
Details of the party, in the name of which the securities are re-registered:
Number of the registration document /NUMB/ - 011.208
Date of registration document’s issuance /DATE/ - the 29th of October 1999
Institution that issued the registration document /REGA/ - Registration Chamber of Moscow
Registration document code /TYPE/STIC – registration certificate.

Message flow.

Place of Settlement is the Registrar where the owner OAO “Telestar” has an account. The bank OAO CB “Telecom” (BIC TELERUMM) instructs the Depository (BIC DEPORUMM) that services its nominal holder’s account №1111NM to move the securities to the account of the owner OAO “Telestar” in the registry.
Message structure.

Sender of MT542  TELEUMM
Receiver of MT542  DEPORMM

Example 3.

This is an example of an instruction to deliver securities from an account with a national Depository to an account with another national Depository ("bridge"). There are appropriate bilateral agreements between the two Depositories.

Instruction number – AL/123.

Settlement date when the securities are to be moved – the 18th of March 2004.

Trade date – the 15th of March 2004.

Financial Instrument is defined by the following details:

- ISIN RU0008959655
- Narrative description of RAO EeS securities (Russia) with transliteration indicator – ‘RAOEeS.

Quantity of financial instrument to be settled – 12378 units.
Safekeeping account to be debited – MS1238ND.

Type of Settlement Transaction – settlement of a trade, indicator SETR/TRAD.

Place of Settlement is the correspondent Depository that services the account to which the securities are moved, BIC DEPORUMM.

Name of the institution which is the owner of the account in the correspondent Depository - ABC Broker, account number to be credited – 2222.

Transaction basis is the depository contract without number dated the 12th of May 2002 and intra-depository contract №543FD dated the 12th of February 2002.

Message flow.

Place of Settlement is the correspondent Depository DEPORUMM that services the account 2222 of ABC Broker.

OAO “United Funds” (BIC FONDRUMM) instructs the Depository (BIC CUSTRUMM) to deliver securities from the account MS1238ND to the account 2222 of ABC Broker with the correspondent Depository.

Sender of MT542 BROKRUMM
Receiver of MT542 CUSTRUMM

Message structure.

:16R:GENL
:20C::SEME//AL/123
:23G:NEWM
Description and message flow related to matching instruction MT540 Receive Free sent to the correspondent Depository DEPORUMM are provided in Example 3 section 2.1.3 of the current Guide.

Example 4

This is an example of an instruction to deliver securities from an account with a Depository/Custodian involving Change of Beneficial Ownership.

Securities are credited into an account at the Registrar.

Depository-custodian has an account at the Registrar. At the same time it has an account in other depositories (CENDRUMM), which in turn has an account at the Registrar.

Delivery of securities in this case can be made using as an Agent - Depository CENDRUMM. To specify a complete delivery chain and the need of using as an agent of the depositary CENDRUMM in the depository notification in addition to as an Agent for the delivery will be listed depositary CENDRUMM.

Instruction number – SAMP542/OWN.

Settlement date when the securities are to be moved – the 19th of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0009034268
- National state registration number 1-01-00029-A
- Narrative description of OAO “GAZ” securities with transliteration indicator – ‘OAO ‘“GAZ’’.
The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

Quantity of financial instrument to be settled – 3000 units.

Safekeeping account with the Depository/Custodian to be debited – 1111NM.

Type of Settlement Transaction – securities movement with Change of Beneficial Ownership, indicator - SETR/TRAD.

Place of Settlement is the institution which is the Register Holder, Place of Settlement code - REGISTRAR.

Name of the owner of the account in the registry to which the securities are moved – OAO “Telestar”, its account number is not indicated in this example.

Type of the account at the Registrar to be credited – owner’s account.

Amount to be paid for the securities – 10000 US dollars.

Transaction basis are:

- the depository contract №134 dated the 1st of February 2002;
- the contract of purchase and sale № RT12345 dated the 11th of September 2004.
- Details of the party, in the name of which the securities are re-registered:
  - Number of the registration document /NUMB/ - 011.208, date of registration document’s issuance /DATE/ - the 29th of October 1999, institution that issued the registration document /REGA/ - Registration Chamber of Moscow
  - Registration document in USRLE (Unified State Register of Legal Entities), code /TYPE/OGRN/ – registration certificate, number of the registration document /NUMB/ - 1234505432152, date of issuance /DATE/- the 30th of September 2001, institution that issued the registration document /REGA/ - Interdistrict Tax Inspectorate MTA № 26, Moscow
Message flow.

Place of Settlement is the Registrar.

The bank OAO CB “Telecom” (BIC TELERUMM) instructs the Depository (BIC DEPORUMM) that services its nominal holder’s account №1111NM to move the securities to the account of the owner OAO “Telestar” in the registry.

In the depo instruction CENDRUMM Depository is specified as the delivery Agent (withdrawal of securities in the registrar will be executed from the CENDRUMM account).

Sender of MT542 TELERUMM
Receiver of MT542 DEPORUMM

Message structure.

:16R:GENL
:20C::SEME//SAMP542/OWN
:23G:NEWM
:16S:GENL
:16R:TRADDET
:98A::SETT//20040919
:98A::TRAD//20040911
:35B:ISIN RU0009034268
/RU/1-01-00029-A
2.4. MT543 DELIVER AGAINST PAYMENT

This message is sent by an account owner to an account servicer (account servicing institution). This message is used to:

- instruct the delivery of financial instruments against payment, physically or by book-entry, from a specified party (the function of the message is NEWM)
- request the cancellation of a deliver against payment instruction previously sent by the account owner (the function of the message is CANC).

2.4.1. Format Specification

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End of Sequence A General Information

Mandatory Repetitive Sequence B Trade Details

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Optional Subsequence B1 Financial Instrument Attributes (not considered)

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End of Sequence B Settlement Transaction Details

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**End of Sequence C Financial Instrument/Account**

**Optional Sequence D Two Leg Transaction Details (not considered)**

**Mandatory Sequence E Settlement Details**

| M | :16R: | Start of Block | SETDET | 62 |
| M | :22F: | Indicator | :4!c/[8c]/4!c | SETR | 1.8.8 | 63 |

**Mandatory Repetitive Subsequence E1 Settlement Parties**

| M | :16R: | Start of Block | SETPRTY | 64 |
| M | :95a: | Party/Place of Settlement C, P or Q | PSET | 1.8.21 | 65 |
| M | :95a: | Party/Receiving agent P, Q or R | REAG | 1.8.21 | 65 |
| O | :95a: | Party/Seller P, Q or R | SELL | 1.8.21 | 65 |
| O | :95a: | Party/Buyer P, Q or R | BUYR | 1.8.21 | 65 |
| O | :97a: | Safekeeping Account A or B | SAFE | 1.8.22 | 66 |
| O | :70a: | Narrative C, D or E | 1.8.16 | 69 |
| M | :16S: | End of Block | SETPRTY | 70 |

**End of Subsequence E1 Settlement Parties**

**Optional Repetitive Subsequence E2 Cash Parties**

| M | :16R: | Start of Block | CSHPRTY | 71 |
| M | :95a: | Party P, Q or R | 1.8.21 | 72 |
| O | :97a: | Account/Cash account A or E | CASH | 1.8.22 | 73 |
| M | :16S: | End of Block | CSHPRTY | 74 |

**End of Subsequence E2 Cash Parties**

**Mandatory Repetitive Subsequence E3 Amount**

| M | :16R: | Start of Block | AMT | 76 |
| M | :19A: | Amount :4!c/[N]3!a1 5d | SETT | 1.8.5 | 78 |
| O | :98a: | Value A or C | VALU | 1.8.23 | 80 |
| M | :16S: | End of Block | AMT | 81 |

**End of Subsequence E3 Amount**

**End of Sequence E Settlement Details**

**Optional Repetitive Sequence F Other Parties (not considered)**

---

### 2.4.2. Example of an instruction to deliver securities within a Depository/Custodian

This is an example of an instruction which can be used to deliver securities from an account with a Depository/Custodian, while the account to be credited with the securities is serviced by the same Depository/Custodian.
Instruction number – DVP040602/543.
Settlement date when the securities are to be moved – the 23rd of September 2004.
Trade date – the 16th of September 2004.
Financial Instrument is defined by the following details:

- ISIN RU0009024277
- Narrative description of NK Lukoil securities with transliteration indicator – ‘NK LUKOiL.

The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

Quantity of financial instrument to be settled – 4000 units.
Safekeeping account to be debited – 2222.
Type of Settlement Transaction – settlement of a trade, indicator SETR//TRAD.
Place of Settlement is the institution that services the safekeeping accounts to be debited/credited with the securities, BIC DEPORUMM.
Name of the owner of the account to be credited with the securities – OAO CB “Telecom”, account number – 1111NM, BIC TELERUMM.
Transaction basis is the contract of purchase and sale №675/003 dated the 16th of September 2004.
Receiving party – ANC Broker, BIC BROKRUMM
Bank servicing the account of the Receiver of the cash amount is USBank, BIC BANKRUMM.
Receiver’s cash account number with this bank – 002USB.
Total cash amount to be paid for the securities – 100000 US dollars.

**Message flow.**
Place of Settlement is the Depository (BIC DEPORUMM) that services the accounts of the Sender of the message (ABC Broker, BIC BROKRUMM, account number 2222) and its counterparty (OAO CB “Telecom”, BIC TELERUMM, account number 1111NM).

Sender of MT543  BROKRUMM
Receiver of MT543  DEPORUMM

Message structure.

:16R:GENL
:20C::SEME//DVP040602/543
:23G:NEWM
:16S:GENL
:16R:TRADDET
:98A::SETT//20040923
:98A::TRAD//20040916
:35B:ISIN RU0009024277
'NK LUKOIL
:16S:TRADDET
:16R:FIAC
:36B::SETT//UNIT/4000,
:97A::SAFE//2222
:97A::CASH//002USB
:16S:FIAC
:16R:SETDET
:22F::SETR//TRAD
:16R:SETPRTY
:95P::PSET//DEPORUMM
:16S:SETPRTY
:16R:SETPRTY
:95P::REAG//TELERUMM
:97A::SAFE//1111NM
:70E::DECL//TYPE/BYSA/NUMB/675/003/DATE/20040916
:16S:SETPRTY
:16R:CSHPRTY
:95P::ACCW//BANKRUMM
:16S:CSHPRTY
:16R:AMT
:19A::SETT//USD100000,
:16S:AMT
:16S:SETDET
3. FORMATS OF CONFIRMATIONS OF EXECUTION, STATEMENTS AND ADVICES RELATED TO SETTLEMENT INSTRUCTIONS’ STATUS

3.1. MT544 RECEIVE FREE CONFIRMATION

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. This message is used to:

- confirm the receipt of financial instruments free of payment, physically or by book-entry, from a specified party (the function of the message is NEWM)
- cancel a confirmation of a receipt free of payment previously sent by the account servicer (the function of the message is CANC)
- reverse a confirmation of a receipt free of payment previously sent by the account servicer (the function of the message is RVSL).

The message is also used to pre-confirm settlement or to confirm a partial settlement of a receipt of financial instruments free of payment.

3.1.1. Format Specifications

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A,B or C ESET 1.8.23 14
O :98a: Settlement Date/Time
A,B or C SETT 1.8.23 14
O :98a: Trade Date/Time
A,B or C TRAD 1.8.23 14
M :35B: Identification of the Financial Instrument
[ISIN1!e12!c][4*35x] 1.8.13 17

Optional Subsequence B1 Financial Instrument Attributes (not considered)
M :16S: End of Block TRADDET 34

End of Sequence B Settlement Transaction Details
Mandatory Repetitive Sequence C Financial Instrument/Account
M :16R: Start of Block FIAC 35
M :36B: Quantity of the financial instrument :4!c//4!c/15d SETT 1.8.14 36
O :95a: Party/Account Owner P or R ACOW 1.8.21 40
M :97a: Safekeeping Account A or B SAFE 1.8.22 41
M :16S: End of Block FIAC 50

End of Sequence C Financial Instrument/Account
Optional Sequence D Two Leg Transaction Details (not considered)
Mandatory Sequence E Settlement Details
M :16R: Start of Block SETDET 60
M :22F: Indicator :4!c/[8c]/4!c SETR 1.8.8 61

Mandatory Repetitive Subsequence E1 Settlement Parties
M :16R: Start of Block SETPRTY 62
M :95a: Party/Place of Settlement C, P or Q PSET 1.8.21 63
M :95a: Party/Delivering agent P, Q or R DEAG 1.8.21 63
O :95a: Party/Seller P, Q or R SELL 1.8.21 63
O :95a: Party/Buyer P, Q or R BUYR 1.8.21 63
O :97a: Safekeeping Account A or B SAFE 1.8.22 64
O :70a: Narrative C, D or E :4!c 1.8.16 67
M :16S: End of Block SETPRTY 68

End of Subsequence E1 Settlement Parties
Optional Repetitive Subsequence E2 Cash Parties (not considered)
End of Subsequence E2 Cash Parties (not considered)
Mandatory Repetitive Subsequence E3 Amount (not considered)
M :16S: End of Block SETDET 81

End of Sequence E Settlement Details
Optional Repetitive Sequence F Other Parties (not considered)
3.1.2. Example of a Receive Free Confirmation of internal transfer within a Depository/Custodian

This is an example of a Receive Free Confirmation as a result of internal transfer into an account with a Depository/Custodian from another account with the same Depository/Custodian (the instruction is described in Example 1 section 2.1.2).

Confirmation number – 040730/CONF544-1.
Number of the instruction to be confirmed – KL00412/A-861.
Effective settlement date – the 23rd of September 2004.
Trade date – the 16th of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0008959655
- Narrative description of RAO EeS securities (Russia) with transliteration indicator – ‘RAOEeS.

Quantity of settled financial instrument – 1500 units.
Safekeeping account that was credited – 1111.
Type of Settlement Transaction – settlement of a trade, indicator SETR//TRAD.
Place of Settlement is the institution that services the accounts to which the securities have been credited/debited, BIC DEPORUMM.

Name of the owner of the account from which the securities have been moved – ABC Broker, account number 2222, BIC BROKRUMM.

Transaction basis is the contract of purchase and sale №45НП-1 dated the 16th of September 2004. Russian letters in the contract number should be transliterated.

Message flow.
Message structure.

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:20C::RELA//KL00412/A-861
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:16S:GENL
:16R:TRADDDET
:98A::ESET//20040923
:98A::TRAD//20040916
:35B:ISIN RU0008959655
:RAO EeS
:16S:TRADDDET
:16R:FIAC
:36B:ESTT//UNIT/1500,
:97A::SAFE//1111
:16S:FIAC
:16R:SETDET
:22F::SETR//TRAD
:16R:SETPRTY
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:16S:SETPRTY
:16R:SETPRTY
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:16S:SETPRTY
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3.1.3. Example of a Receive Free Confirmation from an account serviced by a third party

This is an example of a Receive Free Confirmation of into an account with a Depository/Custodian from an account in the Registrar (the instruction is described in Example 1 section 2.1.3).

Confirmation number – 040730/CONF544-2.
Number of the instruction to be confirmed – ANF-34/DF.
Posting Date of an entry in the registry (effective settlement date) – the 22nd of September 2004.
Settlement Date indicated in the Client’s instruction – the 23rd of September 2004.
Financial Instrument is defined by the following details:
National state registration number 2-07-03-00345-A
Corporate identifier 54327RT assigned by the Depository that services the Client’s account


Quantity of settled financial instrument – 8000 units.

Safekeeping account to which the securities have been credited – 1111NM, account of OAO CB “Telecom”.

Type of Settlement Transaction – securities movement without Change of Beneficial Ownership, indicator SETR//OWN.

Place of Settlement is the institution which is the Register Holder, Place of Settlement code - REGISTRAR.

Name of the owner of the account in the registry from which the securities are moved – ZAO Company “Alliance”, its account number is not indicated in this example.

Type of the account with the Registrar to be debited – nominal holder’s account.

Transaction basis is the depository contract №25 dated the 14th of September 2004.

Message flow.

Sender of MT544 DEPORUMM
Receiver of MT544 TELERUMM

Message structure.

:16R:GENL
:20C::SEME//040730/CONF544-2
:23G:NEWM
:16R:LINK
### 3.2. MT545 RECEIVE AGAINST PAYMENT CONFIRMATION

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. This message is used to:

- confirm the receipt of financial instruments against payment, physically or by book-entry, from a specified party (the function of the message is NEWM)
- cancel a confirmation of a receipt against payment previously sent by the account servicer (the function of the message is CANC)
- reverse a confirmation of a receipt against payment previously sent by the account servicer (the function of the message is RVSL).

The message is also used to pre-confirm settlement or to confirm a partial settlement of a receipt of financial instruments against payment.

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<td>A,B or C</td>
<td>SETT</td>
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O :98a: Trade Date/Time A,B or C TRAD 1.8.23 14
M :35B: Identification of the Financial Instrument [ISIN1!e12!c][4*35x] 1.8.13 17

Optional Subsequence B1 Financial Instrument Attributes (not considered)
M :16S: End of Block TRADDET 34

End of Sequence B Settlement Transaction Details
Mandatory Repetitive Sequence C Financial Instrument/Account
M :16R: Start of Block FIAC 35
M :36B: Quantity of the financial instrument :4!c//4!c/15d ESTT 1.8.14 36
O :95a: Party/Account Owner P or R ACOW 1.8.21 39
M :97a: Safekeeping Account A or B SAFE 1.8.22 40
M :16S: End of Block FIAC 42

End of Sequence C Financial Instrument/Account
Optional Sequence D Two Leg Transaction Details (not considered)
Mandatory Sequence E Settlement Details
M :16R: Start of Block SETDET 60
M :22F: Indicator :4!c/[8c]/4!c SETR 1.8.8 61

Mandatory Repetitive Subsequence E1 Settlement Parties
M :16R: Start of Block SETPRTY 62
M :95a: Party/Place of Settlement C, P or Q PSET 1.8.21 63
M :95a: Party/Delivering agent P, Q or R DEAG 1.8.21 63
O :95a: Party/Seller P, Q or R SELL 1.8.21 63
O :95a: Party/Buyer P, Q or R BUYR 1.8.21 63
O :97a: Safekeeping Account A or B SAFE 1.8.22 64
O :70a: Narrative C, D or E :4!c 1.8.16 67
M :16S: End of Block SETPRTY 68

End of Subsequence E1 Settlement Parties
Optional Repetitive Subsequence E2 Cash Parties
M :16R: Start of Block CSHPRTY 69
M :95a: Party P, Q or R :4!c 1.8.21 70
O :97a: Account/Cash account A or E CASH 1.8.22 71
M :16S: End of Block CSHPRTY 74

End of Subsequence E2 Cash Parties
Mandatory Repetitive Subsequence E3 Amount
M :16R: Start of Block AMT 75
3.2.2. **Example of a Receive Against Payment Confirmation within a Depository/Custodian**

This is an example of a Receive Against Payment Confirmation as a result of internal transfer into an account at a Depository/Custodian from another account at the same Depository/Custodian (the instruction is described in section 2.2.2).

Confirmation number – 040730/CONF545-1.

Number of the instruction to be confirmed – TEN004-346A.

Effective settlement date – the 23rd of September 2004.

Trade date – the 16th of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0009024277
- Narrative description of NK Lukoil securities with transliteration indicator – ‘NK LUKOIL.

The rules of financial instrument’s indication are defined in section 1.8.13 of this document.

Quantity of settled financial instrument - 4000 units.

Safekeeping account to which the securities have been credited – 1111NM, cash account number that has been debited – 001USB.

Type of Settlement Transaction – settlement of a trade, indicator SETR//TRAD.

Place of Settlement is the institution that services the safekeeping accounts, BIC DEPORUMM.

Name of the owner of the account from which the securities are moved – ABC Broker, account number - 2222, BIC BROKRUMM.

Transaction basis is the contract of purchase and sale №675/003 dated the 16th of September 2004.

Bank servicing the account of the Receiver of the cash amount is USBank, BIC BANKRUMM.

Receiver’s cash account number with this bank – 002USB.

Total cash amount paid for the securities – 100000 US dollars.
Message flow.

Sender of MT545  DEPORUMM
Receiver of MT545  TELERUMM

Message structure.
:16R:GENL
:20C::SEME//040730/CONF545-1
:23G:NEWM
:16R:LINK
:20C::RELA//TEN004-346A
:16S:LINK
:16S:GENL
:16R:TRADDET
:98A::ESET//20040923
:98A::TRAD//20040916
:35B:ISIN RU0009024277
:NK LUKoil
:16S:TRADDET
:16R:FIAC
:36B::ESTT//UNIT/4000,
:97A::SAFE//1111NM
:97A::CASH//001USB
:16S:FIAC
:16R:SETDET
:22F::SETR//TRAD
:16R:SETPRTY
:95P::PSET//DEPORUMM
:16S:SETPRTY
:16R:SETPRTY
:95P::DEAG//BROKRUMM
3.3. **MT546 DELIVER FREE CONFIRMATION**

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. This message is used to:

- confirm the delivery of financial instruments free of payment, physically or by book-entry, from a specified party (the function of the message is NEWM)
- cancel a confirmation of a delivery free of payment previously sent by the account servicer (the function of the message is CANC)
- reverse a confirmation of a delivery free of payment previously sent by the account servicer (the function of the message is RVSL).

The message is also used to pre-confirm settlement or to confirm a partial settlement of a delivery of financial instruments free of payment.

### 3.3.1. Format Specifications

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<th>Detailed Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
<th>№ RUS</th>
<th>№ SWIFT User Handbook</th>
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<td><strong>Mandatory Sequence A General Information</strong></td>
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<td>RELA</td>
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<td>9</td>
</tr>
<tr>
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</tr>
<tr>
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<td>:16R:</td>
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<td>TRADDET</td>
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<td>12</td>
<td></td>
</tr>
<tr>
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<td>A,B or C</td>
<td>ESET</td>
<td>1.8.23</td>
<td>14</td>
</tr>
<tr>
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<td>Settlement Date/Time</td>
<td>A,B or C</td>
<td>SETT</td>
<td>1.8.23</td>
<td>14</td>
</tr>
<tr>
<td>O</td>
<td>:98a:</td>
<td>Trade Date/Time</td>
<td>A,B or C</td>
<td>TRAD</td>
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Optional Subsequence B1 Financial Instrument Attributes (not considered)

M:16S: End of Block TRADDET

End of Sequence B Settlement Transaction Details

Mandatory Repetitive Sequence C Financial Instrument/Account

M:16R: Start of Block FIAC

M:36B: Quantity of the financial instrument :4!c//4!c/15d ESTT 1.8.14 36

O:95a: Party/Account Owner P or R ACOW 1.8.21 39

M:97a: Safekeeping Account A or B SAFE 1.8.22 40

M:16S: End of Block FIAC

End of Sequence C Financial Instrument/Account

Optional Sequence D Two Leg Transaction Details (not considered)

Mandatory Sequence E Settlement Details

M:16R: Start of Block SETDET

M:22F: Indicator :4!c/[8c]/4!c SETr 1.8.8 61

Mandatory Repetitive Subsequence E1 Settlement Parties

M:16R: Start of Block SETPRTY

M:96a: Party/Place of Settlement C, P or Q PSET 1.8.21 63

M:95a: Party/Receiving Agent P, Q or R REAG 1.8.21 63

:95a: Party/Seller P, Q or R SELL 1.8.21 63

:95a: Party/Buyer P, Q or R BUYR 1.8.21 63

O:97a: Safekeeping Account A or B SAFE 1.8.22 64

O:70a: Narrative E,C or D 1.8.16 67

M:16S: End of Block SETPRTY

End of Subsequence E1 Settlement Parties

Optional Repetitive Subsequence E2 Cash Parties (not considered)

Mandatory Repetitive Subsequence E3 Amount (not considered)

M:16S: End of Block SETDET

End of Sequence E Settlement Details

Optional Repetitive Sequence F Other Parties (not considered)

3.3.2. Example of a Deliver Free Confirmation of transfer from account with a Depository/Custodian

This is an example of a Deliver Free Confirmation as a result of transfer from an account with a Depository/Custodian, while the account to which the securities are credited is serviced by the same Depository/Custodian (the instruction is described in section 2.3.2).
Confirmation number – 040730/CONF546-1.
Number of the instruction to be confirmed – 234521/45NP-1.
Effective settlement date – the 23rd of September 2004.
Trade date – the 16th of September 2004.
Financial Instrument is defined by the following details:

- ISIN RU0008959655
- Narrative description of RAO EeS securities (Russia) with transliteration indicator – ‘RAO EeS.

Quantity of settled financial instrument – 1500 units.
Safekeeping account from which the securities have been debited – 2222.
Type of Settlement Transaction – settlement of a trade, indicator SETR/TRAD.
Place of Settlement is the institution that services the safekeeping accounts to be debited/credited with the securities, BIC DEPORUMM.

Name of the owner of the account to which the securities have been credited – OAO CB “Telecom”, account number – 1111, BIC TELERUMM.

Transaction basis is the contract of purchase and sale №45НП-1 dated the 16th of September 2004. Russian letters in the contract number should be transliterated.

**Message flow.**

**Message structure.**

:16R:GENL
3.3.3. Example of a Deliver Free Confirmation of transfer to an account serviced by an external party

This is an example of a Deliver Free Confirmation of transfer from an account with a Depository/Custodian involving Change of Beneficial Ownership. Securities are delivered to an institution’s account opened at the Registrar (the instruction is described in Example 2 section 2.3.3).

Confirmation number – 040730/CONF546-2.

Number of the instruction to be confirmed – SAMP542/OWN.

Date of making an entry in the registry (effective settlement date) – the 20th of September 2004.

Date of book-entry in the Depository/Custodian – the 23rd of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0009034268
- National state registration number 1-01-00029-A
- Narrative description of OAO “GAZ” securities with transliteration indicator – ‘OAO “GAZ”’.

Quantity of settled financial instrument – 3000 units.

Safekeeping account with the Depository/Custodian which has been debited – 1111NM.
Type of Settlement Transaction – securities movement with Change of Beneficial Ownership, indicator SETR//TRAD.

Place of Settlement is the institution which is the Register Holder, Place of Settlement code - REGISTRAR.

Name of the owner of the account in the registry to which the securities have been delivered – OAO “Telestar”, its account number is not indicated in this example.

Transaction basis is:
the depository contract №134 dated the 1st of February 2002
the contract of purchase and sale №RT12345 dated the 11th of September 2004.
The confirmation does not contain any details of the party to the name of which the securities are re-registered.
Type of the account with the Registrar to be credited – owner’s account.

Message flow.

Sender of MT546  DEPORUMM
Receiver of MT546  TELERUMM

Message structure.
:16R:GENL
:20C::SEME//040730/CONF546-2
:23G:NEWM
:16R:LINK
:20C::RELA//SAMP542/OWN
:16S:LINK
:16S:GENL
:16R:TRADDET
:98A::ESET//20040920
3.4. MT547 DELIVER AGAINST PAYMENT CONFIRMATION

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. This message is used to:

- confirm the delivery of financial instruments against payment, physically or by book-entry, from a specified party (the function of the message is NEWM)
- cancel a confirmation of a delivery against payment previously sent by the account servicer (the function of the message is CANC)
- reverse a confirmation of a delivery against payment previously sent by the account servicer (the function of the message is RVSL).

The message is also used to pre-confirm settlement or to confirm a partial settlement of a delivery of financial instruments against payment.

3.4.1. Format Specifications

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<th>№ SWIFT User Handbook</th>
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End of Sequence A General Information

Mandatory Sequence B Trade Details

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<th>Qualifier</th>
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<td>A,B or C</td>
<td>ESET</td>
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<td>A,B or C</td>
<td>SETT</td>
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**Optional Subsequence B1 Financial Instrument Attributes (not considered)**

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**End of Sequence B Settlement Transaction Details**

**Mandatory Repetitive Sequence C Financial Instrument/Account**

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<td>Party/Account Owner</td>
<td>P or R ACOW 1.8.21 39</td>
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**End of Sequence C Financial Instrument/Account**

**Optional Sequence D Two Leg Transaction Details (not considered)**

**Mandatory Sequence E Settlement Details**

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**Mandatory Repetitive Subsequence E1 Settlement Parties**

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<tr>
<td>Party/Place of Settlement</td>
<td>C, P or Q PSET 1.8.21 63</td>
</tr>
<tr>
<td>Party/Receiving agent</td>
<td>P, Q or R REAG 1.8.21 63</td>
</tr>
<tr>
<td>Party/Seller</td>
<td>P, Q or R SELL 1.8.21 63</td>
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<tr>
<td>Party/Buyer</td>
<td>P, Q or R BUYR 1.8.21 63</td>
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<tr>
<td>Safekeeping Account</td>
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**End of Subsequence E1 Settlement Parties**

**Optional Repetitive Subsequence E2 Cash Parties**

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</table>
3.4.2. Example of a Deliver Against Payment Confirmation of transfer from account within a Depository/Custodian

This is an example of a Deliver Against Payment Confirmation of transfer from an account with a Depository/Custodian, while the account to which the securities are credited is serviced by the same Depository/Custodian (the instruction is described in section 2.4.2).

Confirmation number – 040730/CONF547-1.
Number of the instruction to be confirmed – DVP040602/543.
Effective settlement date – the 23rd of September 2004.
Trade date – the 16th of September 2004.

Financial Instrument is defined by the following details:

- ISIN RU0009024277
- Narrative description of NK Lukoil securities with transliteration indicator – ‘NK LUKOiL.

The rules of financial instrument’s indication are defined in section 1.8.13 of this document.

Quantity of settled financial instrument – 4000 units.
Safekeeping account from which the securities have been debited – 2222.
Type of Settlement Transaction – settlement of a trade, indicator SETR//TRAD.
Place of Settlement is the institution that services the safekeeping accounts to be debited/credited with the securities, BIC DEPORUMM.

Name of the owner of the account which has been credited with the securities – OAO CB “Telecom”, account number – 1111NM, BIC TELERUMM.

Transaction basis is the contract of purchase and sale №675/003 dated the 16th of September 2004.
Bank servicing the account of the Receiver of the cash amount is USBank, BIC BANKRUMM.
Receiver’s cash account number with this bank – 002USB.
Total cash amount received for the securities – 100000 US dollars.

Message flow.

Sender of MT547  DEPORUMM
Receiver of MT547  BROKRUM

Message structure.
:16R:GENL
:20C::SEME//040730/CONF547-1
:23G:NEWM
:16R:LINK
:20C::RELA//DVP040602/543
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:16S:GENL
:16R:TRADDDET
:98A::ESET//20040923
:98A::TRAD//20040916
:35B:ISIN RU0009024277
'NK LUKOiL
:16S:TRADDDET
:16R:FIAC
:36B::ESTT//UNIT/4000,
:97A::SAFE//2222
:16S:FIAC
:16R:SETDET
:22F::SETR//TRAD
:16R:SETPRTY
:95P::PSET//DEPORUMM
:16S:SETPRTY
:16R:SETPRTY
Moscow, September 2012

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:95P::REAG//TELERUMM
:97A::SAFE//1111NM
:70E::DECL//TYPE/BYSA/NUMB/675/003/DAT...
### 3.5. MT548 SETTLEMENT STATUS AND PROCESSING ADVICE

This message is sent by an account servicer (account servicing institution) to an account owner. This message can be used to:

- to confirm the acceptance of an instruction for further processing by the Depository/Custodian or to advise the rejection of the instruction
- to advise the current status of a settlement instruction in the account servicing institution (matching status, settlement status) or to advice the pending/failing of matching, settlement, cancellation etc. with indication of reason if possible.

#### 3.5.1. Format Specifications

<table>
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<th>Status</th>
<th>Tag</th>
<th>Detailed Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
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<th>№ SWIFT User Handbook</th>
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End of Subsequence A2 Status
End of Sequence A General Information
Mandatory Sequence B Trade Details

M:16S:  End of Block  GENL

End of Sequence B Settlement Transaction Details
Optional Sequence C Additional Information (not considered)
3.5.2. Example of MT548 - advice (receipt) of an instruction acceptance for further processing

Example 1.

This is an example of an advice sent by the Depository/Custodian to the account owner institution (OAO CB “Telecom”, BIC TELENUMM) with confirmation of acceptance of its previously sent instruction for further processing in the Depository/Custodian (the instruction is described in Example 1 section 2.1.2).

Number of the instruction to which the advice is related – KL00412/A-861.

Preparation date and time of the advice – the 23rd of September 2004, 12:06:17.

Instruction processing status IPRC – PACK, acknowledged/accepted for further processing.

This advice contains the main details of the settlement instruction: type, safekeeping account number, quantity of securities, expected settlement date, account number and name of the counterparty.

Sender of MT548 DEPORUMM
Receiver of MT548 TELENUMM

Message structure:

:16R:GENL
:20C::SEME//040923/548-00012
:23G:INST
:98C::PREP//20040923120617
:16R:LINK
:13A::LINK//540
:20C::REL//KL00412/A-861
:16S:LINK
:16R:STAT
:25D::IPRC//PACK
:16S:STAT
:16S:GENL
:16R:SETTRAN
:35B::ISIN RU0008959655
"RAO EeS"
:36B::SETT//UNIT/1500,
:97A::SAFE//1111
:22H::REDE//RECE
:22H::PAYM//FREE
:22F::SETR//TRAD
:98A::SETT//20040923
:16R:SETPRTY
:95P::PSET//DEPORUMM
:16S:SETPRTY
:16R:SETPRTY
:95P::DEAG//BROKRUMM
:97A::SAFE//2222
:16S:SETPRTY
:16S:SETTRAN
3.5.3. Example of MT548 – rejection of an instruction for further processing

Example 1.
This is an example of an advice sent by the Depository/Custodian to the account owner institution (ABC Broker, BIC BROKRUMM) informing that its previously sent instruction has been rejected by the Depository/Custodian (the instruction is described in section 2.3.2).

Rejection reason – unrecognized securities identification.
The Depository/Custodian may indicate additional text description of the rejection reason if there is an appropriate bilateral agreement.

Number of the instruction to which the advice is related – 234521/45NP-1.
Preparation date and time of the advice – the 23rd of September 2004, 11:56:34.
Instruction processing status IPRC – REJT, rejected for further processing.
Rejection reason code – DSEC, unrecognized or invalid financial instrument identification (the instruction contains incorrect ISIN).

This advice contains the main details of the settlement instruction: type, safekeeping account number, quantity of securities, expected settlement date, account number and name of the counterparty.

Sender of MT548 DEPORUMM
Receiver of MT548 BROKRUMM

Message structure:
:16R:GENL
:20C::SEME//040423/548-0004
:23G:INST
:98C::PREP//20040923115634
:16R:LINK
:13A::LINK//542
:20C::RELA//234521/45NP-1
:16S:LINK
:16R:STAT
:25D::IPRC//REJT
:16R:REAS
:24B::REJT//DSEC
:70D::REAS//Unrecognized or invalid financial instrument identification
:16S:REAS
:16S:STAT
:16S:GENL
:16R:SETTRAN
:35B:ISIN RU0098959655'
'RAO EeS
:36B::SETT//UNIT/1500,
:97A::SAFE//2222
:22H:REDE//DELI
:22H:PAYM//FREE
:22F::SETR//TRAD

Moscow, September 2012
3.5.4. **Examples of advices of the current matching/ settlement status of an instruction in the Depository/Custodian**

**Example 1.**

This is an example of an advice sent by the Depository/Custodian to the account owner institution (OAO CB “Telecom”, BIC TELERUMM) informing that its previously sent instruction has been matched (the instruction is described in Example 1 section 2.1.2).

Number of the instruction to which the advice is related – KL00412/A-861.

Preparation date and time of the advice – the 23rd of September 2004, 14:01:13.

Matching status MTCH – MACH, the instruction has been matched.

This advice contains the main details of the settlement instruction: type, safekeeping account number, quantity of securities, expected settlement date, account number and name of the counterparty.

Sender of MT548 DEPORUMM

Receiver of MT548 TELERUMM

**Message structure:**

:16R:GENL
:20C::SEME//040923/548-00089
:23G:INST
:98C::PREP//20040923140113
:16R:LINK
:13A::LINK//540
:20C::RELA//KL00412/A-861
:16S:LINK
:16R:STAT
:25D::MTCH//MACH
:16S:STAT
:16S:GENL
:16R:SETTRAN
:35B:ISIN RU0008959655
:RAO EeS
:36B::SETT//UNIT/1500,
:97A::SAFE//1111
:22H::REDE//RECE
:22H::PAYM//FREE
:22F::SETR//TRAD
Example 2.

This is an example of an advice sent by the Depository/Custodian to the account owner institution (OAO CB “Telecom”, BIC TELERUMM) informing that its previously sent instruction has not been matched (the instruction is described in section 2.2.2).

Number of the instruction to which the advice is related – TEN004-346A.

Preparation date and time of the advice – the 23rd of September 2004, 15:05:32.

Matching status MTCH – NMAT, the instruction has not been matched.

Reason code – DQUA, quantity of the securities does not match with the quantity in the counterparty’s instruction.

This advice contains the main details of the settlement instruction: type, safekeeping account number, quantity of securities, settlement amount, expected settlement date, account number and name of the counterparty.

Sender of MT548 DEPORUMM
Receiver of MT548 TELERUMM

Message structure:

:16R:GENL
:20C::SEME//040923/548-00150
:23G:INST
:98C::PREP//20040923150532
:16R:LINK
:13A::LINK//541
:20C::RELA//TEN004-346A
:16S:LINK
:16R:STAT
:25D::MTCH//NMAT
:16R:REAS
:24B::NMAT//DQUA
:16S:REAS
:16S:STAT
:16S:GENL
:16R:SETTRAN
:35B::ISIN RU0009024277
:NK LUKOIL
:36B::SETT//UNIT/4000,
:19A::SETT//USD100000,
:97A::SAFE//1111NM
Example 3.
This is an example of an advice sent by the Depository/Custodian to the account owner institution (ABC Broker, BIC BROKRUMM) informing that settlement of its previously sent instruction is pending. The instruction is described in section 2.4.2.

Number of the instruction to which the advice is related – DVP040602/543.
Preparation date and time of the advice – the 23rd of September 2004, 16:10:54.
Settlement status SETT – PEND, the instruction settlement is pending.
Reason code – LACK, insufficient deliverable securities in the account.
This advice contains the main details of the settlement instruction: type, safekeeping account number, quantity of securities, settlement amount, expected settlement date, account number and name of the counterparty.

Sender of MT548 DEPORUMM
Receiver of MT548 BROKRUMM

Message structure:

:16R:GENL
:20C::SEME//040923/548-01237
:23G:INST
:98C::PREP//20040923161054
:16R:LINK
:13A::LINK//543
:20C::RELA//DVP040602/543
:16S:LINK
:16R:STAT
:25D::SETT//PEND
:16R:REAS
:24B::PEND//LACK
:16S:REAS
:16S:STAT
:16S:GENL
:16R:SETTRAN
:35B:ISIN RU0009024277
'NK LUKOIL
3.6.MT549 REQUEST FOR STATEMENT/STATUS ADVICE

This message is sent by an account owner to an account servicer (account servicing institution). This message can be used to:

- to request statement of holdings in the account serviced by the Depository/Custodian
- to request current intra-system processing status advice of an instruction (or several instructions) in the Depository/Custodian.

3.6.1. Format Specifications

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<th>Tag</th>
<th>Detailed Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
<th>№ RUS</th>
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<td>STBA</td>
<td>1.8.11</td>
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</table>
3.6.2. Request for Statement

Example 1.

This is an example of a Request for Statement sent by the account owner (ABC Broker, BIC BROKRUMM) to the Depository/Custodian to request the statement of holdings (MT535) for the account 2222.

Date on which the statement is requested – the 9th of July 2004.

Sender of MT549 - BROKRUMM
Receiver of MT549 – DEPORUMM

Message structure:

:16R:GENL
:20C::SEME//12345/000123
:98A::STAT//20040709
:13A::REQU//535

Moscow, September 2012
Example 2.
This is an example of a Request for Statement sent by the account owner (OAO CB “Telecom”, BIC TELERUMM) to the Depository/Custodian to request the statement of transactions (MT536) for the period from the 14th till the 16th of June 2004 for the account 1111.

Sender of MT549 - TELERUMM
Receiver of MT549 – DEPORUMM

Message structure:
:16R:GENL
:20C::SEME//123
:97A::STAT//20040614/20040616
:13A::REQU//536
:97A::SAFE//1111
:16S:GENL

Example 3.
This is an example of a Request for Statement sent by the account owner (OAO CB “Telecom”, BIC TELERUMM) to the Depository/Custodian to request the statement of holdings (MT535) for the safekeeping account.
The statement is requested for two financial instruments:
RAO EeS (Russia) and NK Lukoil.
Date on which the statement is requested – the 15th of June 2004.

Sender of MT549 - TELERUMM
Receiver of MT549 – DEPORUMM

Message structure:
:16R:GENL
:20C::SEME//123
:98A::STAT//20040615
:13A::REQU//535
:97A::SAFE//1111
:16S:GENL
:16R:BYSTAREA
:35B:ISIN RU0008959655
'RAO EeS
:35B:ISIN RU0009024277
'NK LUKoil
:16S:BYSTAREA

Example 4.
This is an example of a Request for Statement sent by the account owner (ABC Broker, BIC BROKRUMM) to the Depository/Custodian to request the statement of pending transactions for the account 2222.
The statement is requested for operations with pending settlement status. 

Date on which the statement is requested – the 23rd of September 2004.

Sender of MT549 - BROKRUMM 
Receiver of MT549 – DEPORUMM 

**Message structure:**

:16R:GENL
:20C::SEME//12345/000123 
:98A::STAT//20040923 
:13A::REQU//537 
:97A::SAFE//2222 
:16S:GENL 
:16R:BYSTAREA 
:25D::SETT//PEND 
:16S:BYSTAREA

---

### 3.6.3. Request for Status Advice of an instruction in the Depository/Custodian

**Example 1.**

This is an example of a Request for Status Advice sent by the account owner (ABC Broker, BIC BROKRUMM) to the Depository/Custodian to request status advice of MT548 instruction.

The instruction was sent to the Depository/Custodian on the 23rd of September 2004 (section 2.4.2), instruction number – DVP040602/543.

Safekeeping account number – 2222.

Sender of MT549 - BROKRUMM 
Receiver of MT549 – DEPORUMM 

**Message structure:**

:16R:GENL 
:20C::SEME//0001QWER-12 
:98A::STAT//20040923 
:13A::REQU//548 
:97A::SAFE//2222 
:16S:GENL 
:16R:REF 
:20C::PREV//DVP040602/543 
:16S:REF
Example 1.

This is an example of a cancellation of a Request for Status Advice sent by the account owner (ABC Broker, BIC BROKRUMM) to the Depository/Custodian to request cancellation of previously sent Request for Status Advice of an instruction (MT548).

The instruction was sent to the Depository/Custodian on the 23rd of September 2004 (section 2.4.2), instruction number – DVP040602/543.

Number of the Request of Status Advice to be cancelled – 0001 QWER-12 (described in section 3.6.3).

Safekeeping account number – 2222.

Sender of MT549 - BROKRUMM
Receiver of MT549 - DEPORUMM

Message structure:

:16R:GENL
:20C::SEME//0001QWER-12
:23G:CANC
:13A::REQU//548
:97A::SAFE//2222
:16R:LINK
:13A::LINK//549
:20C::PREV//0001QWER-12
:16S:LINK
:16S:GENL
:16R:REF
:20C::PREV//DVP040602/543
:16S:REF
3.7. MT535 STATEMENT OF HOLDINGS

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent.

This message is used to report, at a specified moment of time, the quantity and identification of financial instruments which the account servicer holds for the account owner.

The statement is used to reconcile the books of the account owner and the account servicer for the specified safekeeping account or sub-safekeeping account.

This message may also be used to respond to a request for statement/status advice, i.e., the MT 549 Request for Statement/Status Advice and to report that there are no holdings in the account.

3.7.1. Format Specifications

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<th>Status</th>
<th>Tag</th>
<th>Detailed Field Name</th>
<th>Content/Options</th>
<th>Qualifier</th>
<th>№ RUS</th>
<th>№ SWIFT User Handboo k</th>
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<td>A or C</td>
<td>STAT</td>
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Optional Repetitive Subsequence A1 Linkages (not considered)

O:95a: Party/ Account Owner P or R ACOW
M:97a: Account/ Safekeeping account A or B SAFE
M:17B: Flag/Activity flag :4!c//1!a ACTI
M:17B: Flag/Sub-safekeeping Statement :4!c//1!a CONS
M:16S: End of Block GENL

End of Sequence A General Information

Optional Repetitive Sequence B Sub-safekeeping account

M:16R: Start of Block SUBSAFE
O:95a: Party/ Account Owner P or R ACOW
M:97a: Account/ Safekeeping account A or B SAFE
M:17B: Flag/Activity flag :4!c//1!a ACTI

Optional Repetitive Subsequence B1 Financial Instrument

M:16R: Start of Block FIN
O:35B: Identification of the Financial Instrument [ISIN1!e12!c][4*35x]

Optional Subsequence B1a Financial Instrument Attributes

M:93B: Balance/Aggregated Balance :4!c/[8c]/4!c/[N]15d AGGR
O:93B: Available Balance :4!c/[8c]/4!c/[N]15d AVAI
O:93B: Not Available Balance :4!c/[8c]/4!c/[N]15d NAVL

Optional Repetitive Subsequence B1b Sub-Balance (not considered)

Optional Repetitive Subsequence B1b Quantity Breakdown (not considered)

M:16S: End of Block FIN

End of Subsequence B1 Financial Instrument

M:16S: End of Block SUBSAFE

End of Sequence B Sub-safekeeping account

Optional Repetitive Sequence C Additional Information (not considered)

3.7.2. Examples of MT535 Statement of Holdings

Example 1.

This is an example of a Statement of Holdings sent by the Depository (BIC DEPORUMM) to the account owner (OAO CB “Telecom”, BIC TELERUMM) to report on the securities held in the account 1111NM on the reported date – the 23rd of September 2004.
Statement number – REP5351111NM2309.

Preparation date and time of the statement – the 24th of September 2004, 06:00.

The statement reports holdings reflecting situation at the end of operation day (the 23rd of September 2004).

The statement is daily (indicator DAIL), it gives complete information on the quantity and status of securities held in the safekeeping account based on the end of operation day status (indicator COMP); it is a depository statement (indicator CUST).

The statement in this example is reporting on three securities held in the safekeeping account:

- OAO Tatneft, ordinary shares of the third issue (total quantity of the securities in the safekeeping account – 88000, total quantity available for operations – 8000, blocked in the process of settlement – 80000);
- NK Lukoil (total quantity of the securities in the safekeeping account – 100000, total quantity available for operations – 100000);
- OAO ‘GAZ’ (total quantity of the securities in the safekeeping account – 175000, quantity of securities awaiting re-registration – 75000, total quantity available for operations – 100000).

Sender of MT535 – DEPORUMM
Receiver of MT535 – TELERUMM

Message structure:

:16R:GENL
:28E:1/ONLY
:20C::SEME//REP5351111NM2309
:23G:NEWM
:98C::PREP//20040924060000
:98A::STAT//20040923
:22F::SFRE//DAIL
:22F::CODE//COMP
:22F::STTY//CUST
:97A::SAFE//1111NM
:17B::ACTI/Y
:17B::CONS//Y
:16S:GENL
:16R:SUBSAFE
:97A::SAFE//1111NM
:17B::ACTI/Y
:16R:FIN
:35B:ISIN RU0009033591
/XX CORP/DEPO/54327RT
/RU/1-03-00161-A
'OAO"TATNEFTX" AO3
:93B::AGGR//UNIT/88000,
:16R:SUBBAL
:93C::BLOC//UNIT/NAVL/80000,
:16S:SUBBAL
:16R:SUBBAL
Example 2.

This is an example of a Statement of Holdings sent by the Depository (BIC DEPORUMM) to the account owner (ABC Broker, BIC BROKRUMM) to report on the securities held in the account 2222 on the reported date – the 6th of June 2004.

The statement is reporting only on the total quantity of the securities held in the Client’s account. The statement does not contain information on the current status of these securities.

Statement number – REP53522220606.

Preparation date and time of the statement – the 7th of June 2004, 06:05.

The statement reports holdings reflecting situation at the end of operation day (the 6th of June 2004).

The statement is daily (indicator DAIL), it gives complete information on the quantity of securities held in the safekeeping account based on the end of operation day status (indicator COMP); it is a depository statement (indicator CUST).

The statement in this example is reporting on three securities held in two sections (subaccounts) of the safekeeping account 2222 - 222AC and 2222AB:

- OAO “X-neft”, ordinary shares of the third issue (total quantity of the securities in the safekeeping account – 55000);
- RAO EeS, ordinary shares (total quantity of the securities in the safekeeping account – 4000);

OAO ‘GAZ’ are held on 2222AB subaccount, total quantity of the securities in the safekeeping account – 37400.

Sender of MT535 – DEPORUMM
Receiver of MT535 – BROKRUMM

Message structure:

:16R:GENL
:28E:1/ONLY
:20C::SEME// REP53522220606
:23G:NEWM
:98C::PREP//200400607060500
:98A::STAT//20040606
:22F::SFRE//DAIL
:22F::CODE//COMP
:22F::STTY//CUST
:97A::SAFE//2222
:17B::ACTI//Y
:17B::CONS//Y
:16S:GENL
:16R:SUBSAFE
:97A::SAFE//2222
:17B::ACTI//Y
:16S:FIN
:16R:FIN
:35B:ISIN RU0006733556
/XX/CORP/DEPO/54327RT
/RU/2-07-03-00345-A
'OAO "IKS-NEFTX" AO3
:93B::AGGR//UNIT/55000,
:16S:FIN
:16R:FIN
:35B:ISIN RU0008959655
/XX/CORP/DEPO/65432ES
/RU/1-01-00034-A
'RAO EeS
:93B::AGGR//UNIT/4000,
:16S:FIN
:16R:FIN
:35B:ISIN RU0009034268
/XX/CORP/DEPO/56734GZ
/RU/1-01-00029-A
'OAO "GAZ"
:93B::AGGR//UNIT/37400,
:16S:FIN
:16S:SUBSAFE
3.8.1. Format Specifications

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Mandatory Repetitive Subsequence B1a Transaction

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End of Subsequence B1a1 Linkages

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Optional Repetitive Subsequence B1a2A Settlement Parties

Example 1.

This is an example of a Statement of Transactions sent by the Depository (BIC DEPORUMM) to the account owner (OAO CB “Telecom”, BIC TELERUMM) with details of the transactions for the Client’s account 111NM for the 23rd of September 2004.

The statement is reporting on three transactions:

Instruction to receive securities from an institution’s account opened at the Registrar (Example 1 section 2.1.3)

Receive against payment instruction (Example 1 section 2.2.2)

Instruction to deliver securities from an account with a Depository/Custodian to an institution’s account in the registry (Example 2 section 2.3.3).

Example 2.

Statement number – REP1111NM2309.

Preparation date and time of the statement – the 24th of September 2004, 07:00.

The statement reports transactions on 23rd of September 2004.
The statement is daily (indicator DAIL), it gives complete information on the transactions for the specified period (indicator COMP).

This statement contains the main details of the type of settlement transaction, instruction number, settlement transaction indicators, quantity of settled securities, settlement amount, effective settlement date, account number and name of the counterparty.

Sender of MT536   DEPORUMM
Receiver of MT536   TELERUMM

Message structure:
:16R:GENL
:28E:1/ONLY
:20C::SEME//REP1111NM2309
:23G:NEWM
:98C::PREP//20040924070000
:69A::STAT//20040923/20040923
:22F::SFRE//DAIL
:22F::CODE//COMP
:97A::SAFE//1111NM
:17B::ACTI/Y
:17B::CONS/Y
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:16R:SUBSAFE
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:17B::ACTI/Y
:16R:FIN
:35B:ISIN RU0006733556
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/RU//07-03-00345-A
/OAO "IKS-NEFTX" AO3
:16R:TRAN
:16R:LINK
:13A::LINK//540
:20C::RELA//ANF-34/DF
:16S:LINK
:16R:TRANSDET
:36B::PSTA//UNIT/8000,
:22F::TRAN//SETT
:22H::REDE//RECE
:22H::PAYM//FREE
:22F::SETR//OWNE
:98A::ESET//20040923
:16R:SETPRTY
:95Q::PSET//REGISTRAR
:16S:SETPRTY
:16R:SETPRTY
:95Q::DEAG//"ZAO KOMPANIa""Alliance"
:16S:SETPRTY
:16S:TRANSDET
:16S:TRAN
3.9. MT537 STATEMENT OF PENDING TRANSACTIONS

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. This message is used to provide, as at a specified time, the details of pending increases and decreases of holdings, for all or selected securities in a specified safekeeping account, for all or selected reasons why the transaction is pending.

The statement may also include future settlement or forward transactions which have become binding on the account owner.

This message may also be used to respond to a request for statement/status advice, that is, the MT 549 Request for Statement/Status Advice and to report that there are no pending transactions.

### 3.9.1. Format Specifications

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</table>

Moscow, September 2012
Moscow, September 2012

Flag/Activity flag:4!c//1!a ACTI 1.8.4 14

End of Block GENL 15

Optional Repetitive Sequence B Status
Start of Block STAT 16

Status :4!c/[8c]/4!c 1.8.11 17

Optional Repetitive Subsequence B1 Reason
Start of Block REAS 18

Reason :4!c/[8c]/4!c 1.8.10 19

Narrative/ Reason narrative :4!c//6*35x REAS 1.8.16 20

End of Subsequence B1 Reason
End of Block REAS 21

Mandatory Repetitive Subsequence B2 Transaction
Start of Block TRAN 22

Mandatory Repetitive Subsequence B2a Linkages
Start of Block LINK 23

Related Message Reference :4!c//16x RELA 1.8.7 25

End of Subsequence B2a Linkages
End of Block LINK 26

Optional Subsequence B2b Transaction Details
Start of Block TRANSDET 27

Identification of the Financial Instrument [ISIN!e12!c] [4*35x] 1.8.13 29

Posting Quantity :4!c//4!c/[N]15 PSTA 1.8.14 30

Posting Amount :4!c//[N]3!a15 PSTA 1.8.5 31

Transaction indicator :4!c/[8c]/4!c TRAN 1.8.8 32

Payment indicator :4!c//4!c PAYM 1.8.8 32

Delivery/Receipt indicator :4!c//4!c REDE 1.8.8 32

Type of Settlement Transaction Indicator :4!c/[8c]/4!c SETR 1.8.8 32

Settlement Date/Time A,B or C SETT 1.8.23 33

Transaction Details Narrative :4!c//10*35x TRDE 1.8.16 34

Optional Repetitive Subsequence B2b1 Settlement Parties
Start of Block SETPRTY 35
Optional Repetitive Sequence C Transactions

M :16R: Start of Block TRANS 43

Mandatory Repetitive Subsequence C1 Linkages

M :16R: Start of Block LINK 44
M :20C: Related :4!c//16x RELA 1.8.7 46

End of Subsequence C1 Linkages

Optional Subsequence C2 Transaction Details

M :16R: Start of Block TRANSDET 48
M :35B: Identification of the Financial Instrument [ISIN!e12!c] [4*35x] 1.8.13 50

M :36B: Posting Quantity :4!c//4!c/[N]15d PSTA 1.8.14 51
O :19A: Posting Amount :4!c//[N]3!a15d PSTA 1.8.5 52
M :22F: Transaction Indicator :4!c/[8c]/4!c TRAN 1.8.8 53
M :22H: Payment indicator :4!c//4!c PAYM 1.8.8 53
M :22H: Delivery/Receipt indicator :4!c//4!c REDE 1.8.8 53
M :22F: Type of Settlement Transaction Indicator :4!c/[8c]/4!c SETR 1.8.8 53

M :98a: Settlement Date/Time A,B or C SETT 1.8.23 54
O :70E: Transaction Details Narrative :4!c//10*35x TRDE 1.8.16 55

Optional Repetitive Subsequence C2a Settlement Parties

M :16R: Start of Block SETPRTY 56
M :95a: Party C.P.Q or R 1.8.21 57
O :97a: Account/Safeguarding account A or B SAFE 1.8.22 58
M :16S: End of Block SETPRTY 60
End of Subsequence C2a Settlement Parties
M  :16S:  End of Block TRANSDET 61

End of Subsequence C2 Transaction Details
Optional Repetitive Subsequence C3 Status
M  :16R  Start of Block STAT 62
M  :25D:  Status :4!c/[8c]/4!c 1.8.11 63

Optional Repetitive Subsequence C3a Reason
M  :16R: Start of Block REAS 64
M  :24B:  Reason :4!c/[8c]/4!c 1.8.10 65
M  :70D:  Reason :4!c//6*35x REAS 1.8.16 66
Narrative
M  :16S:  End of Block REAS 67

End of Subsequence C3a Reason
M  :16S:  End of Block STAT 68

End of Subsequence C3 Status
M  :16S:  End of Block TRANS 69

End of Sequence C Transactions
Optional Sequence D Additional Information (not considered)

3.9.2. Examples of Statement of Pending Transactions

Example 1.

This is an example of a Statement of Pending Transactions sent by the Depository (BIC DEPORUMM) to the account owner (ABC Broker, BIC BROKRUMM) to report on pending transactions for the account 2222.

The statement is prepared by the Depository as response to the Client’s request for statement MT549 (described in Example 4 section 3.6.2 of this document) and reports on the unsettled Client’s instruction (described in Example 3 section 3.5.4 of this document).

Statement number – REP53722222NM309.

Preparation date and time of the statement – the 23rd of September 2004, 17:00.

The statement reports pending transactions at the 23rd of September 2004.

The statement is being sent in response to a request of the Receiver (indicator ADHO), it gives complete information on the transactions for the specified period (indicator COMP).

The statement is reporting per statuses (indicator STAT) and contains details of the transactions with pending settlement status (status SETT//PEND), reason code – LACK, insufficient deliverable securities in the Client’s account (code PEND//LACK).

The statement contains the main details of the settlement instruction, safekeeping account number, quantity of securities, settlement amount, expected settlement date, account number and name of the counterparty.

Sender of MT537  DEPORUMM
Receiver of MT537  BROKRUMM

Message structure:
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:28E:1/ONLY
:20C::SEME//REP53722222NM2309
3.10. MT 578 SETTLEMENT ALLEGEMENT

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. This message is used to:

- advise the account owner that a counterparty has alleged an instruction against account owner's account at the account servicer and the account servicer could not find the corresponding instruction of the account owner (the function of the message is NEWM).
- request the cancellation of a previously sent allegation because of a mistake or because the alleging party cancelled instruction (the function of the message is CANC).
- Acknowledge that a previously sent allegation is on longer outstanding (the function of the message is REMO).

3.10.1. Format Specifications

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Mandatory Repetitive Sequence C Financial Instrument/Account

M:22H: Receipt/Delivery Indicator :4!c//4!c REDE 1.8.8 31
M:16S: End of Block TRADDET 32

End of Sequence B Settlement Transaction Details

Mandatory Repetitive Sequence C Financial Instrument/Account

M:16R: Start of Block FIAC 33
M:36B: Quantity of Financial Instrument :4!c//4!c/15d SETT 1.8.14 34
O:95a: Party/Account Owner P or R ACOW 1.8.21 36
M:97a: Account/Safekeeping account A or B SAFE 1.8.22 37
M:16S: End of Block FIAC 46

End of Sequence C Financial Instrument/Account

Optional Sequence D Two Leg Transaction Details (not considered)

Mandatory Sequence E Settlement Details

M:16R: Start of Block SETDET 56
M:22F: Indicator of the operation type :4!c/[8c]/4!c SETR 1.8.8 57

Mandatory Repetitive Subsequence E1 Settlement Parties

M:16R: Start of Block SETPRTY 58
M:95a: Place of Settlement C, P or Q PSET 1.8.21 59
M:95a: Party S, P, Q or R 1.8.21 59
O:97a: Safekeeping Account A or B SAFE 1.8.22 60
O:70a: Narrative C, D or E 1.8.16 63
M:16S: End of Block SETPRTY 64

End of Subsequence E1 Settlement Parties

Optional Repetitive Subsequence E2 Cash Parties (not considered)

M:16R: Start of Block CSHOPRTY 65
M:95a: Party S, P, Q or R 1.8.21 66
O:97a: Cash account :4!c//35x CASH 1.8.22 67
M:16S: End of Block CSHOPRTY 69

End of Subsequence E2 Cash Parties

Optional Repetitive Subsequence E3 Amount

M:16R: Start of Block AMT 70
M:19A: Amount :4!c//[N]3!a15 SET 1.8.5 71
M:16S: End of Block AMT 74

End of Subsequence E3 Amount

M:16S: End of Block SETDET 75

End of Sequence E Settlement Details

Optional Repetitive Sequence F Other Parties (not considered)
3.10.2. Examples of Settlement Allegement

Example 1.
This is an example of Settlement Allegement sent by the depository DEPORUMM to the owner of the account OAO CB “Telecom” (BIC TELERUMM) and contains information about Delivery Free of Payment instruction MT 542, received from ABC Broker (BIC BROKRUMM).

Instruction number – ALLEGM1111/2222.
Preparation date/time – the 22nd September 2004, 18:20:25.
Number of the settlement allegement – 234521/45NP-1.
Settlement date – the 23rd of September 2004.
Trade date – the 16th of September 2004.
Financial Instrument is defined by the following details:
ISIN RU0008959655

Narrative description of RAO EeS securities (Russia) with transliteration indicator – ‘RAOEeS
The rules of financial instrument’s indication are defined in section 1.8.5 of this document.
Quantity of financial instrument to be settled – 1500 units.
Account number for money transaction - 1111
Type of Settlement Transaction – settlement of a trade, indicator SETR//TRAD, delivery of the counterparty ABC Broker (REDI//DELI), without payment (PAYM//FREE).
Name of the owner of the nominee safekeeping account from which the securities should be delivered – ABC Broker, (BIC BROKRUMM, account number 2222).
Transaction basis is the contract of purchase and sale №45НП-1 dated the 16th of September 2004. Russian letters in the contract number should be transliterated.
Place of Settlement is a depository (BIC DEPORUMM) that services the accounts of the sender of the message OAO CB “Telecom” (account number 1111) and its agent ABC Broker (account number 2222, BIC BROKRUMM)
Message flow.

Sender of MT578  DEPORUMM
Receiver of MT578  TELERUMM

Message structure.
:16R:GENL
:20C::SEME//ALLEGE1111/2222
:23G::NEWM
:98C::PREP//20040922182025
:16R:LINK
:16R:GENL
:16R:TRADDET
:98A::SETT//20040923
:98A::TRAD//20040916
:35B:ISIN RU0008959655
:RAO EeS
:22H::REDE//DELI
:22H::PAYM//FREE
:16S:TRADDET
:16R:FIAC
:36B::SETT//UNIT/1500,
:97A::SAFE//1111
:16S:FIAC
:16R:SETDET
:22F::SETR//TRAD
:16R:SETPRTY
:95P::PSET//DEPORUMM
4. CORPORATE ACTION MESSAGES

4.1. MT 564 CORPORATE ACTION NOTIFICATION

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. This message is used to provide an account owner with the details of a corporate action event along with the possible elections or choices available to the account owner. It can be initially sent as a preliminary advice (function NEWM) and subsequently replaced by another MT 564 with complete or confirmed information (function REPL).

This message will also be used to provide the account owner with details of the impact a corporate action event will have on a safekeeping or cash account, for example, entitlement calculation.

This message may also be sent by an information provider, such as a market data provider or a stock exchange, to provide details of a corporate action event.

This message may also be used to:

- request the cancellation of a previously sent corporate action notification (function CANC)
- re-send a corporate action notification previously sent (function DUPL)
- as a reminder of the coming corporate action in case of necessity providing to the account owners the instruction (function RMDR)
- provide a third party with a copy of the message (function COPY)
- request the cancellation of a previously sent corporate action notification in case of cancellation of the corporate action itself (function WITH)
- carrying out additional actions on the corporate action (function ADDB)
- requesting list of the beneficial owners/depositors (type of corporate action DSCL), in this case in accordance with the Russian legislation identification of basis/reasons of the list request is mandatory (link to the corporate action – meeting, distribution and/or to the request of the issuer/designated agent/Registrar)

In addition this message may be used to notify about the procedure of automatic compensation by the international depositary for the transaction “delivery versus payment” settlements.

4.1.1. Format Specifications

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Mandatory Sequence A General Information

Moscow, September 2012
Optional Repetitive Subsequence A1 Linkages

M :16R: Start of Block LINK 8
O :22F: Indicator/Link age Type Indicator [4!c/8c]/4!c LINK 1.8.8 9
O :13a: Number Identification/ Linked message A or B LINK 1.8.3 10
M :20C: Linked Message Reference :4!c/16x 4!c 1.8.7 11

End of Subsequence A1 Linkages

M :16S: End of Block GENL 13

End of Sequence A General Information

Mandatory Sequence B Underlying Securities

M :16R: Start of Block USECU 14
M :35B: Identification of the Financial Instrument [ISIN1!e12!c][4*35x] 1.8.13 15

Optional Subsequence B1 Financial Instrument Attributes

M :16R: Start of Block FIA 16
O :94B: Place/Place of Listing B PLIS 1.8.20 17
O :22F: Indicator/Method of Interest Computation Indicator F MICO 1.8.8 18
O :12a: Type of Financial Instrument A, B or C 4!c 1.8.2 19
O :11A: Currency/Currency of Denomination A DENO 1.8.1 20
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### End of Subsequence B2 Account Information

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### End of Sequence B Underlying Securities

### Optional Sequence C Intermediate Securities (not applicable for the Russian securities)

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Optional Repetitive Subsequence E1 Securities Movement

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**End of Subsequence E1 Securities Movement**

**Optional Repetitive Subsequence E2 Cash Movement**

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---

Moscow, September 2012

156
Message flow.

depository

\[
\text{Depositor (client of depository)}
\]
4.2. **MT 565 CORPORATE ACTION INSTRUCTION**

This message is sent by an account owner to an account servicing organization. This message is sent to the account holder of the account servicing organization. Account holder can be a global custodian which has an account with a local agent (subcustodian), or investment company or broker / dealer that has an account at the custodian.

This message is used to provide the custodian with instructions on how the account owner wishes to proceed with a corporate action event. Instructions include investment decisions regarding the exercise of rights issues, the election of stock or cash when the option is available, and decisions on the conversion or tendering of securities.

This message may also be used to:

- request the cancellation of a previously sent corporate action instruction
- re-send corporate action instruction previously sent
- provide the third-party with a copy of the message.

### 4.2.1. Format Specifications

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End of Subsequence A1 Linkages
M:16S: End of Block GENL

End of Sequence A General Information
Mandatory Sequence B Underlying Securities
M:16R: Start of Block USECU
M:35B: Identification of the Financial Instrument
M:16S: End of Block USECU

Optional Subsequence B1 Financial Instrument Attributes
M:16R: Start of Block FIA
O:94B: Place/Place of Listing :4!c/[8c]/4!c/[30x]
O:22F: Indicator/Method of Interest Computation Indicator :4!c/[8c]/4!c
O:12a: Type of Financial Instrument A or C CLAS
O:11A: Currency/Currency of Denomination :4!c//3!a DENO
O:98A: Date/Time :4!c//8!n 4!c
O:92A: Rate :4!c//[N]15d 4!c
O:36B: Quantity of Financial Instrument :4!c//4!c/15d 4!c 01.8.14
M:16S: End of Block FIA

End of Subsequence B1 Financial Instrument Attributes
Mandatory Repetitive Subsequence B2 Account Information
M:16R: Start of Block ACCTINFO
O:95a: Party/Account Owner P or R ACOW 1.8.21
M:97a: Account/Safekeeping Account :4!c//35x SAFE 1.8.22
O:94a: Place/Place of Safekeeping B,C or F SAFE 1.8.20
O:93a: Balance B or C 4!c 1.8.19
M:16S: End of Block ACCTINFO

End of Subsequence B2 Account Information
M:16S: End of Block USECU

End of Sequence B Underlying Securities
Optional Sequence C Information about the owner
M:16R: Start of Block BENODET
M:95a: Party P, R, S or V 4!c
O:94C: Place :4!c//2!a 4!c

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Moscow, September 2012
End of Sequence C Information about the owner

Optional Sequence D Corporate Action Instruction

M :16R: Start of Block CAINST 37
M :13A: Number :4!c//3!c CAON 1.8.3 38
M :22a: Indicator H or F 4!c 1.8.8 39
O :11A: Currency :4!c//3!a 4!c 1.8.1 40
O :35B: Identification of the Financial instrument [ISIN!*e12!c][4 *35x] 4!c 1.8.13 41
M :36a: Quantity of Financial Instrument 4!c 1.8.14 42
O :98a: Date/Time/Execution Requested Date A or C EXRQ 1.8.23 43
O :92a: Rate A or F 4!c 1.8.18 44
O :90a: Price A or B 4!c 1.8.17 45
O :70E: Narrative :4!c//10*35x 4!c 1.8.16 46
M :16S: End of Block CAINST 47

End of Sequence D Corporate Action Instruction

Optional Repetitive Sequence E Additional information

M :16R: Start of Block ADDINFO 48
O :70E: Narrative :4!c//10*35x 4!c 1.8.16 49
O :95a: Party P, R or Q 4!c 1.8.21 50
M :16S: End of Block ADDINFO 51

End of Sequence E Additional Information
Message flow.

depository

DEPORUMM

MT564

depositor (client of depository)

BROKRUMM
ABC Broker
Account 123456
4.3. **MT 566 CORPORATE ACTION CONFIRMATION**

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. The account servicer may be a local agent (sub-custodian) acting on behalf of their global custodian customer, or a custodian acting on behalf of an investment management institution or a broker/dealer.

This message is used to confirm to the account owner that securities and/or cash have been credited/debited to an account as the result of a corporate action event.

This message may also be used to:

- re-send a corporate action confirmation previously sent (function DUPL)
- provide a third party with a copy of the message (function COPY)
- reverse a previously sent corporate action confirmation (function REVR)

In addition this message can be used to notify about the of automatic claim compensation by the international depositary for the transaction “delivery versus payment” settlements or to notify reversal of previously posted amounts of automatic claim compensation.

4.3.1. **Format Specifications**

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**Mandatory Sequence A General Information**

**Optional Repetitive Subsequence A1 Linkages**

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O :13a: Number identification/Linked message A or B LINK 1.8.3 8
M :20C: Linked Message Reference :4!c//16x 4!c 1.8.7 9
M :16S: End of Block LINK 10

End of Subsequence A1 Linkages
M :16S: End of Block GENL 11

End of Sequence A General Information
Mandatory Sequence B Underlying Securities
M :16R: Start of Block USECU 12
O :95a: Party/Account owner P or R ACOW 1.8.21 13
M :97a: Account/Safekeeping Account A or C SAFE 1.8.22 14
O :94a: Place/Place of Safekeeping B,C or F SAFE 1.8.20 15
M :35B: Identification of the Financial Instrument [ISIN1!e12!c][4 *35x] 1.8.13 16
O :93a: Balance B or C 4!c 1.8.19 26
M :16S: End of Block USECU 27

End of Sequence B Underlying Securities
Optional Sequence C Corporate Action Details
M :16R: Start of Block CADETL 28
O :98a: Date/Time A,B,C or E 4!c 1.8.23 29
O :69a: Period A,B,C,D,E,F or J 4!c 1.8.15 30
O :99A: Number of days accrued :4!c(/[N]3!n DAAC 1.8.24 31
M :92a: Rate A,F or K 4!c 1.8.18 32
O :90a: Price A or B 4!c 1.8.17 33
O :36a: Quantity of Financial Instrument B, C or E 4!c 1.8.14 34
End of Sequence C Corporate Action Details

Mandatory sequence D Corporate Action Confirmation

Optional Repetitive Subsequence D1 Securities Movement

Optional Subsequence D1a Financial Instrument Attributes
| O   | :11A: | Currency/ Currency of Denomination | :4!c//3!a | DENO | 1.8.1 | 56 |
| O   | :98A: | Date/Time | :4!c//8!n | 4!c | 1.8.23 | 57 |
| O   | :90a: | Price/Issue Price | A or B | ISSU | 1.8.17 | 58 |
| O   | :92a: | Rate | A or K | 4!c | 1.8.18 | 59 |
| O   | :36B: | Quantity of Financial instrument | :4!c//4!c/15d | 4!c | 1.8.14 | 60 |
| M   | :16S: | End of Block | FIA | | | 61 |

**End of Subsequence D1a Financial Instrument Attributes**

| O   | :94a: | Place/Place of Safekeeping | B,C or F | SAFE | 1.8.20 | 63 |
| O   | :22F: | Indicator/Disposition of Fractions | :4!c/8c/4!c | DISF | 1.8.8 | 64 |
| O   | :11A: | Currency/Currency Option | :4!c//3!a | OPTN | 1.8.1 | 65 |
| O   | :90a: | Price | A, B, F or J | 4!c | 1.8.17 | 66 |
| O   | :92a: | Rate | A, D, F, J, Lor N | 4!c | 1.8.18 | 67 |
| O   | :98a: | Date/Time | A,B,C or E | 4!c | 1.8.23 | 68 |

**Optional Repetitive Subsequence D1b Receiver/Deliverer**

| M   | :16R: | Start of Block | RECDEL | | 69 |
| O   | :95a: | Party | C,P,R,Q or S | 4!c | 1.8.21 | 70 |
| O   | :97A: | Account/Safekeeping Account | :4!c//35x | SAFE | 1.8.22 | 71 |
| M   | :20C: | Reference/Processing Reference | :4!c//16x | PROC | 1.8.7 | 72 |
| O   | :70E: | Narrative | :4!c//10*35x | PACO | 1.8.16 | 73 |
| M   | :16S: | End of Block | RECDEL | | 74 |

**End of Subsequence D1b Receiver/Deliverer**

| M   | :16S: | End of Block | SECMOVE | | 75 |
End of Subsequence D1 Securities Movement  
Optional Repetitive Subsequence D2 Cash Movement  
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End of Subsequence D2a Cash Parties  
| M | :19A | Amount | :4!c//[N]3!a15d | 4!c | 1.8.5 | 85 |
| O | :98a: | Date/Time | A, C or E | 4!c | 1.8.23 | 86 |
| O | :92B: | Exchange Rate | :4!c//3!a/3!a/15d | EXCH | 1.8.18 | 87 |
| O | :90a: | Price | A,B,F or J | OFFR | 1.8.17 | 88 |

Optional Subsequence D2b Tax Voucher Details – the subsequence is not applicable for Russian securities  
| M | :16R: | Start of Block | TAXVODET | 89 |
| M | :20C: | Tax Voucher Reference | :4!c//16x | TAVO | 1.8.7 | 90 |
| O | :98a: | Date/Time | A or C | 4!c | 1.8.23 | 91 |
| M | :16S: | End of Block | TAXVODET | 92 |

End of Subsequence D2b Tax Voucher Details  
End of Subsequence D2 Cash Movement  
| M | :16S: | End of Block | CACONF | 94 |

End of Sequence D Corporate Action Confirmation  
Optional Sequence E Additional Information  
| M | :16R: | Start of Block | ADDINFO | 95 |
| O | :70E: | Narrative | :4!c//10*35x | 4!c | 1.8.16 | 96 |
| O | :95a: | Party | P.R or Q | 4!c | 1.8.21 | 97 |
| M | :16S: | End of Block | ADDINFO | 98 |

End of Sequence E Additional Information
Message flow.

*depository*

DEPORUMM

MT564

*depositor (client of depository)*

BROKRUMM

ABC Broker

Account 123456
4.4. MT 567 CORPORATE ACTION STATUS AND PROCESSING ADVICE

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. The account servicer may be a local agent (sub-custodian) acting on behalf of their global custodian customer, or a custodian acting on behalf of an investment management institution or a broker/dealer.

This message is used to advice the status or a change in status of a corporate action-related transaction previously instructed or executed on behalf of the account owner.

This will include the acknowledgement/rejection of a corporate action instruction or the acknowledgement/rejection of a request to cancel an outstanding instruction. It also may also be used to provide a reason as to why a corporate action event has not been completed by the announced payment dates.

This message may also be used to:

- re-send a corporate action status previously sent
- provide a third party with a copy of the message

4.4.1. Format Specifications

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End of Subsequence A1 Linkages

Mandatory Subsequence A2 Status

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**Mandatory Subsequence A2a Reason**

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**End of Sequence A General information**

**Optional Sequence B Corporate Action Details**

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| O   | :22a: | CA Option Code Indicator | F or H | CAOP | 1.8.8 | 20 |
| O   | :95a: | Party/Account Owner | P or R | ACOW | 1.8.21 | 21 |
| O   | :97a: | Account | A or E | 4!c | 1.8.22 | 22 |
| O   | :94a: | Place/Place of Safekeeping | B, C or F | SAFE | 1.8.20 | 23 |
| O   | :35B: | Identification of the Financial instrument | [ISIN!e12!c][4*35x] | 4!c | 1.8.13 | 24 |


| O   | :19A: | Amount | :4!c//[N]3!a15d | 1.8.5 | 26 |
| O   | :93B: | Balance | :4!c//[8c]/4!c[N]15d | 1.8.19 | 27 |

| M   | :16S: | End of Block | CADETL | 28  |

**End of Sequence B Corporate Action Details**

**Optional sequence C Additional information**

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**End of Sequence C Additional Information**
Message flow.

depository

DEPORUMM

MT567

BROKRUMM
ABC Broker
Account 123456

depositor (client of depository)
4.5. MT 568 CORPORATE ACTION NARRATIVE

This message is sent by an account owner or his account servicer (account servicing institution).

The account owner may be a global custodian with an account at the local agent (subcustodian), or an investment company or a broker/dealer.

The account servicer may be a local agent (sub-custodian) acting on behalf of their global custodian customer, or a custodian acting on behalf of an investment management institution or a broker/dealer.

This message might be sent to both sides.

This message is used to send complex instructions or information in body text related to the corporate event.

This message may also be used to:

- cancel previously sent message on the corporate action in body text

This message may be sent to:

- resending of the previously sent message on the corporate action (function – DUPL)
- rendering the copy of the previously sent message on the corporate action to a third party (function – COPY)

4.5.1. Format Specifications

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Optional Repetitive Subsequence A1 Linkages

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M :20C: Linked Message Reference :4!c//16x 4!c 1.8.7 10
M :16S: End of Block LINK 11

End of Subsequence A1 Linkages
M :16S: End of Block GENL 12

End of Sequence A General Information
Mandatory Sequence B Underlying Securities
M :16R: Start of Block USECU 13
O :95a: Party/Account Owner P or R ACOW 1.8.21 14
M :97a: Account/Safekeeping Account A or C SAFE 1.8.22 15
O :94a: Place/Place of Safekeeping B,C or F SAFE 1.8.20 16
O :35B: Identification of the Financial Instrument [ISIN1!e12!c] [4*35x] 1.8.13 17

Optional Sub-Sequence B1 Financial Instrument Attributes
M :16R: Start of Block FIA 18
O :94B: Place/Place of Listing :4!c/[8c]/4!c[30x] PLIS 1.8.20 19
O :22F: Indicator/Method of interest Computation Indicator :4!c/[8c]/4!c MICO 1.8.8 20
O :12a: Type of Financial instrument A or C 4!c CLAS 1.8.2 21
O :11A: Currency/Currency of Denomination :4!c//3!a DENO 1.8.1 22
O :98A: Date/Time :4!c//8!n 4!c 1.8.23 23
O :90a: Price/issue price A or B ISSU 1.8.17 24
Message flow.

depository

DEPORUMM

MT568

depositor (client of depository)

BROKRUMM
ABC Broker
Account 123456
**5. CORPORATE ACTION MESSAGES EXAMPLES**

**5.1.1. Example 1 Corporate action event type - Repurchase of shares according to the articles 75-76 208-Federal Law (corporate action event indicator – BIDS)**

**Definition**
The offer of the issuer to its shareholders to repurchase its shares or other securities convertible into shares. The purpose of this proposal - reducing the number of shares outstanding.

In accordance with this recommendation the function is also used when a shareholder uses its right to demand redemption of their shares by virtue of Art. 75-76 Federal Law of 24.11.1995 № 208-FZ "On Joint Stock Companies".

**Initial terms:**
- Issuer – OAO “Fortum” (former OAO “TGK-10”)

**Details of issue:**
- common stock
- ISIN RU000A0F61T7
- State registration date May 14th 2009
- AGM date, which resulted in a claim of shares redemption from shareholders who voted against/did not take part at all per item of the AGM agenda "Approval of the Company's new version Charter" – 15.04.2009
- date as of which the list of persons entitled shares redemption – 06.03.2009

**Details of securities repurchase:**
- Price – 69,7106 rubles
- Period of filling application – 45 days – from 15.04.2009 to 01.06.2009
- Payment currency – Rubles
- Due date – 30 days – not late than 01.07.2009
- Date of transfer – within three working days of receiving a set of documents from issuer

**Restrictions:**
1) if the total amount of shares offered for redemption of OAO "TGC-10" will exceed 10% of net assets on the date taken the decision to approve the Company’s new edition Charter, the shares will be redeemed in proportion to the stated claims (determination period- 5 days after the receipt of applications)
2) blocking of securities on safekeeping account/separate account of the shareholder is obligatory

**Additional conditions:**
- Safekeeping account number: 123456
- Quantity of securities on the date of the listing of registered persons: 1,500
- Deadline for transferring client instructions: 15.05.2009 to depository

**Stages**
1. Informing the account owner on the outcome of the AGM where it was decided that the account owners may claim repurchase securities. Depository notifies its client by MT564/BIDS/NEWM/COMP

MT564/BIDS indicating the status of the corporate action COMP (full details)
Additional MT568 is sent to the account owner describing the details of the corporate action in the text format indicating the links to MT564 (IVANIV0904161458).

**MT564 – Corporate action notification**

Corporate action reference CATGK10160409
Sender’s reference – IVANIV0904161001

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

**Message structure:**

:16R:GENL
:20C::CORP//CATGK10160409
:20C::SEME//IVANIV0904161001
:23G:NEWM
:22F::CAEV//BIDS
:22F::CAMV//VOLU
:25D::PROC//COMP
:16R:LINK
:13A::LINK//568
:20C::PREV//IVANIV0904161459
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0F61T7 'TGK-10, AOI' or JSC TGK10 ORD SHS
:16R:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/1500,
:16S:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/1500,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98C::MEET//20090415000000
:98A::RDTE//20090306
:16S:CADETL
:16R:CAOPTN
:13A::CAON//001
:22F::CAOP//CASH
:17B::DFLT//N
:98C::MKDT//20090601170000
:98C::RDDT//20090515150000
:69A::PWAL//20090415/20090601
:90B::OFFR//ACTU/RUB69,7106
:16S:CAOPTN
:16R:CAOPTN
:13A::CAON//002
MT568 – Corporate action narrative

Corporate action reference CATGK10160409
Sender’s reference – IVANIV0904161459

Sender of MT568 DEPORUMM
Receiver of MT568 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//CATGK10160409
:20C::SEME//IVANIV0904161459
:23G:NEWM
:22F::CAEV//BIDS
:16R:LINK
:13A::LINK//564
:20C::PREV//IVANIV0904161001
:16S:LINK
:16S:GENL
:16R:USECU
:97A::SAFE//123456
:35B:ISIN RU000A0F61T7
'TGK-10, AOI or JSC TGK10 ORD SHS
:93B::ELIG//UNIT/1500,
:16S:USECU
:16R:ADDINFO
:70F::ADTX//NASTOaqIM SOOBqAEM, cTO 15 APRELa 2009 GODA OBqEE
SOBRANIE AKCIIONEROV OAO "TGK-10" (ISIN RU000A0F61T7)
UTVERDILNO NOVUu VERSIu USTAVA KOMPANII.
V SOOTVETSTVII SO ST. 75 FZ "OB AKCIIONERNYH OBqESTVAH"
VLADELXCY OBYKNOVENNYH AKCli TGK-10, KOTORYE GOLOSOVANII
PROTIV ILI NE PRINIMALI UcASTIa V GOLOSOVANII ILI NE
GOLOSOVALI PO PUNKTU POVESTKI OB UTVERJIDENII NOVOi VERSII
USTAVA KOMPANII, IMEuT PRAVO TREBOVATX OT cMITENTA
VYKUPITX VSE ILI cASTX AKCli V OBxEME, NE PREVYQAuqEM
OSTATKI NA ScETAH AKCIIONERA PO SOSTOaNlu NA 6 MARTA 2009
GODA, PO CENE 67,7106 RUB. ZA AKClu.
ESLI OBqEE KOLIcESTVO AKCli PREDxaVLENNYH K VYKUPU
PREVYSIT 10p OBYKNOVENNYH AKCli NAHODaqIHSa V OBRaqENII
NA DATU PRINaTla REQENl (15 APRELa 2009) TGK-10 VYKUPIT
AKCII V PROPORCII K KOLIcESTVU AKCII PREDxaVLENNYH K VYKUPU

or

:70F::ADTX//PLEASE BE ADVISED THAT ON APRIL 15, 2009 THE AGM OF JSC TGK10 (ISINRU000A0F61T7) APPROVED A NEW WORDING OF CHARTER OF COMPANY.

ACCORDING TO THE ARTICLE 75 OF THE FEDERAL LAW ON JOINT STOCK COMPANIES THE OWNERS OF TGK10 ORDINARY SHARES WHO VOTED AGAINST OR DID NOT TAKE PART IN THE VOTING AT ALL PER ITEM OF THE AGM AGENDA, RELATED TO A NEW WORDING OF CHARTER OF THE COMPANY, OBTAIN THE RIGHT TO DEMAND FROM THE ISSUER TO REDEEM ALL OR PART OF ITS SHARES DUE TO BOOK HOLDINGS ON MARCH 06, 2009 AT THE REPURCHASE PRICE RUB 69.7106 FOR ONE ORD. SHARE. IF THE TOTAL AMOUNT OF SHARES OFFERED FOR REDEMPTION WILL EXCEED 10 PERCENT OF NET ASSETS ON THE DATE OF TAKEN THE DECISION (APRIL 15, 2009), TGK10 SHALL REDEEM THE SHARES FROM ALL SHAREHOLDERS WHO TENDERED THEIR OFFER LETTERS ON A PRO RATA BASIS.

PLEASE BE AWARE THAT THIS CORPORATE ACTION IS VOLUNTARY.

IF SHAREHOLDER TO ADVISE ON THEIR INTENTION TO TENDER THE SHARES FOR BUYBACK, WE HAVE TO ENSURE TRANSFER OF SHARES TO DEPO ACCOUNT DEDICATED FOR BLOCKED SECURITIES. IN CASE OF ACCEPTANCE OF THE APPLICATION, WHILE TGK10 IN ITS TURN SHALL PAY THE SHARES AT THE ABOVE MENTIONED PRICE BEFORE JULY 01, 2009.

PLS. BE ADVISED THAT RUB CASH PROCEEDS MAY BE A SUBJECT TO WITHHOLDING TAX ON CAPITAL GAINS.

FOR ADDITIONAL INFORMATION PLEASE CONTACT OUR GROUP E-MAIL :16S:ADDINFO

2. Sending a reminder to the clients which have not sent the instructions for corporate actions – Corporate action notification MT564/BIDS/ indicating function RMRD (reminder)

MT564 – Corporate action notification

Corporate action reference CATGK10160409
Sender’s reference – IVANIV090514140922

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//CATGK10160409
:20C::SEME//IVANIV090514140922
:23G:RMDR
:22F::CAEV//BIDS
:22F::CAMV//VOLU
:25D::PROC//COMP
:16R:LINK
3. The client sends to the depository instructions regarding corporate action (MT565) indicating quantity of the securities under the instruction.

MT565 – Corporate Action Instruction

Corporate action reference CATGK10160409
Sender’s reference – IVANIV0904281458

Sender of MT565 DEPORUMM
Receiver of MT565 BROCKRUMM

Message structure:

:16R:GENL
:20C:CORP//CATGK10160409
:20C:SEME//BROK0904281458
:23G:NEWM
:22F:CAEV//BIDS
:16R:LINK
4. On receipt of the instruction from the client the depository sends MT567 which confirms the instruction receipt (MT565) indicating the quantity of the securities under the instruction: 

**MT567 – Corporate Action Status and Processing Advice**

Corporate action reference CATGK10160409  
Sender’s reference – IVANIV0904161460  

Sender of MT567  DEPORUMM  
Receiver of MT567  BROCKRUMM  

**Message structure:**

:16R:GENL  
:20C::CORP//CATGK10160409  
:20C::SEME//IVANIV0904161460  
:23G::NEWM  
:22F::CAEV//BIDS  
:98A::PREP//20090428  
:16R:LINK  
:13A::LINK//564  
:20C::PREV//IVANIV0904270922  
:16S:LINK  
:16R:LINK  
:13A::LINK//565  
:20C::RELA//BROK0904281458  
:16S:LINK  
:16R:STAT  
:25D::IPRC//PACK
5. Sending the issuer documentation and blocking the shares in depository. Additional client may receive MT544/546 indicating that the shares are blocked on the safekeeping account (transferring securities between the safekeeping accounts).

6. When announcing the rate of the redemption of shares – 0,9, the owners receive MT564/BIDS/ indicating function REPL (replacement)

**MT564 – Corporate Action Notification**

Corporate action reference CATGK10160409
Sender’s reference – IVANIV0904161458

Sender of MT564  DEPORUMM
Receiver of MT564  BROCKRUMM

**Message structure:**

:16R:GENL
:20C::CORP//CATGK10160409
:20C::SEME//IVANIV0905140922
:23G:REPL
:22F::CAEV//BIDS
:22F::CAMV//VOLU
:25D::PROC//COMP
:16R:LINK
:20C::PREV//IVANIV0904161001
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0F61T7
FORTUM, AOI or JSC FORTUM (JSC TGK10) ORD SHS
:16R:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/1500,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98C::MEET//20090415000000
:98A::RDTE//20090306
:16S:CADETL
7. Sending confirmation on corporate action based on withdrawal of securities and crediting of money based on repurchase

Two confirmations on corporate action might be sent on one corporate action:
- as confirmation of crediting of funds (in the absence of information regarding withdrawal of securities in the registrar on the payment date)
- then as confirmation of withdrawal of securities (after receiving information from the registrar on withdrawal of securities)

or
- confirmation after receiving information about transferring of funds and information from the registrar on withdrawal of the securities.

Option 1 - two confirmation of corporate action

a. Control of transferring funds (depending on the location specified in the Statement of account), sending confirmation on the corporate action - confirmation of crediting of funds (MT566/BIDS/CRED).

**MT566 – Confirmation of corporate action**

Corporate action reference CATGK10160409
Sender’s reference – IVANIV090416145C

Sender of MT566  DEPORUMM
Receiver of MT566  BROCKRUMM

**Message structure:**
:16R:GENL
:20C::CORP//CATGK10160409
:20C::SEME//IVANIV0904161458
:23G:NEWM
:22F::CAEV//BIDS
:98A::PREP//20090701
:16R:LINK
:13A::LINK//564
:20C::PREV//IVANIV0905140922
:16S:LINK
b. Withdrawal of securities in favor of "Fortum" within 3 working days after obtaining the appropriate set of documents, sending MT566/DEBT

**MT566 – Corporate Action Confirmation**

Corporate action reference CATGK1060409  
Sender’s reference – IVANIV0904161498

Sender of MT566 DEPORUMM  
Receiver of MT566 BROCKRUMM

**Message structure:**

:16R:GENL  
:20C::CORP//CATGK10160409
Version 2 – one confirmation (after receiving of information from the registrar on withdrawal of securities)

MT566 – Confirmation of corporate action
Corporate action reference CATGK10160409
Sender’s reference – IVANIV09041614CS

Sender of MT566  DEPORUMM
Receiver of MT566  BROCKRUMM

Message structure:
:16R:GENL
:20C::CORP//CATGK10160409
:20C::SEME//IVANIV09041614CS
:23G:NEWM
:22F::CAEV//BIDS
:98A::PREP//20090703
:16R:LINK
:13A::LINK//564
:20C::PREV//IVANIV0905140922
:16S:LINK
:16S:GENL
:16R:USECU
:97A::SAFE//123456
:35B:ISIN RU000A0F61T7
JSC FORTUM (JSC TGK10)
:93B::CONB//UNIT/900,
:16S:USECU
:16R:CADETL
:98A::EFFD//20090701
:16S:CADETL
:16R:CACONF
:13A::CAON//001
:22F::CAOP//CASH
:16R:SECMOVE
:22H::CRDB//DEBT
:35B:ISIN RU000A0F61T7
JSC FORTUM (JSC TGK10)
:36B::PSTA//UNIT/900,
:98A::POST//20090703
:16S:SECMOVE
:16R:CASHMOVE
:22H::CRDB//CRED
:19B:GRSS//RUB62739,54
:19B:WITL//RUB0,
:19B:PSTA//RUB62739,54
:98A::POST//20090623
:98A::PAYD//20090623
:16S:CASHMOVE
:16S:CACONF
:16R:ADDINFO
:70E::PACO//SHOULD YOU HAVE ANY QUESTIONS
PLEASE CONTACT OUR GROUP
E-MAIL ADDRESS XXXXXX (AT)XXXXXX
BEST REGARDS
5.1.2. Example 2a. Corporate action event type - Bankruptcy (corporate action event indicator – BRUP)

MAIN TERMS OF CORPORATE ACTION

Definition
The legal status of a company unable to pay off its creditors. Bankruptcy usually involves a legal judgment. Securities thus can default.

Initial terms:
- Issuer – uKOS NK, OAO

Details of issue:
common stock
ISIN RU0009054449
National state registration number 1-02-00198-A
state registration date July 22nd 2003
face value – 0,004 rubles

Additional details on corporate action
Initiation of a bankruptcy case date – March 27th 2006
Initiation of bankruptcy proceeding date – August 1st 2006
Termination of activity because of liquidation date – November 21st 2007

Additional terms:
Safekeeping account number: 123456
Cash account number: 01234567890123456789
Quantity of securities on the date of the listing of registered persons: 289 730.00

Obtaining information from any source about initiating a bankruptcy proceedings of the issuer.

At this stage it is recommended to send a client MT564/BRUP/NEWM/PREU

This is an example of Corporate Action Notification sent by the depository (BIC DEPORUMM) to the account owner ABC BROKER (BIC BROKRUMM) and contains information on corporate action on safekeeping account 123456 on OAO “uKOS NK” securities.

The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

Sateges:

1. Notification is formed by depository and contains preliminary information on details of corporate action obtained from mass media – initiation of OAO “uKOS NK” bankruptcy proceedings (MT564/BRUP/NEWM/PREU).

Date and time of the notification – June, 30th 2009, 18:30:51

MT564 – Corporate Action Notification

Corporate action reference BRUP09063007
Sender’s reference – BRUP09063007001

Moscow, September 2012
Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//BRUP09063007
:20C::SEME//BRUP09063007001
:23G:NEWM
:22F::CAEV//BRUP
:22F::CAMV//MAND
:98C::PREP//20090630183051
:25D::PROC//PREU
:16S:GENL
:16R:USECU
:35B:ISIN RU0009054449
YuKOS, AOI or YUKOS, COMMON
:16R:ACCTINFO
:97A::SAFE//123456
:94B::SAFE//SHHE/REGISTRAR
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98B::ANOU//OPEN
:98B::EFFD//OPEN
:16S:CADETL
:16R:ADDINFO
:70E::ADTX//NASTOaqLM SOOBqAEM, cTO SOGLASNO INFORMACII POLUcENNOi IZ SR'DSTV MASSOVOi INFORMACII, MOSKOVSKII ARBITRAJNYi SUD INICIIOVAL PROCEDURU BANKROSTVAVA V OTNOQENII eMITENTA
or
:70E::ADTX//PLEASE BE ADVISED THAT ACCORDING TO MASS-MEDIA SOURCES THE ARBITRATION COURT OF MOSCOW HAS INITIATED THE BANKROPCY PROCEDURE FOR THE ISSUER
:16S:ADDINFO

2. Receiving/publishing by the issuer a substantial fact of “Commencement of bankruptcy proceedings” and sending by depository of the notification on corporate action with confirmed information, replacing previous notification (MT564/BRUP/REPL/PREC).

MT564/BRUP/PREC (if notification contains large bulk of data additionally to MT564 it is possible to send MT568)

This is an example of Corporate Action Notification sent by the depository (BIC DEPORUMM) to the account owner ABC BROKER (BIC BROKRUMM) and contains
information on corporate action on safekeeping account 123456 on OAO “uKOS NK” securities.
The rules of financial instrument’s indication are defined in section 1.8.13 of this document.

Notification is formed by the depository and contains information which is received from the Issuer on details of corporate action – initiation of OAO “uKOS NK” bankruptcy proceedings.
Notification formation date and time – June 30th 2009, 18:55:16

**MT564 – Corporate Action Notification**

Corporate action reference BRUP09063007
Sender’s reference – BRUP09063007002

Receiver of MT564 BROCKRUMM
Sender of MT564 DEPORUMM

**Message structure:**

:16R:GENL
:20C::CORP//BRUP09063007
:20C::SEME//BRUP09063007002
:23G:REPL
:22F::CAEV//BRUP
:22F::CAMV//MAND
:98C::PREP//20090630185516
:25D::PROC//PREC
:16R:LINK
:13A::LINK//564
:20C::PREV//BRUP09063007001
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU0009054449
uKOS, AOI or YUKOS, COMMON
:16R:ACCTINFO
:97A::SAFE//123456
:94B::SAFE//SHHE/REGISTRAR
:93B::ELIG//UNIT/289730,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::ANOU//20060327
:98A::COAP//20060801
:98B::EFFD//20060812
:16S:CADETL
:16R:ADDINFO
:70E::ADTX//NASTOaqIM SOOBqAEM, cTO MOSKOVSKIi ARBITRAIJNyi SUD INICIROVAL PROCEDURU BANKROSTV

Moscow, September 2012
V OTNOQENII eMITENTA

or

:70E::ADTX//PLEASE BE ADVISED THAT THE ARBITRATION COURT OF MOSCOW HAS INITIATED THE PROCEEDINGS REGARDING THE BANKRUPTCY OF THE ISSUER :70E::PACO//CONTACT PERSON NAME PHONE NUMBER PAX NUMBER E MAIL ADDRESS :16S:ADDINFO

3. After receiving information from the court on the bankruptcy decision the depository send notification to its clients on the corporate action with confirmed information replacing the previous notification (MT564/BRUP/RELP/COMP) and stating the date of the decision (98A::COAP//).

If the adjudication of the bankruptcy company declared bankrupt, a message to cancel a previous notification of corporate action considering that action won’t be carried out (code WITH) should be sent. The court's decision announced on 29 July 2009.

This is an example of Corporate Action Notification sent by the depository (BIC DEPORUMM) to the account owner ABC BROKER (BIC BROKRUMM) and contains information on corporate action on safekeeping account 123456 on OAO “uKOS NK” securities.

The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

Notification is formed by the depository and contains information on details of corporate action – OAO “uKOS NK” bankruptcy termination.

Notification formation date and time – July 30th 2009, 18:58:11

**MT564 – Corporate Action Notification**

Corporate action reference BRUP09063007 Sender’s reference – BRUP09063007003

Sender of MT564 DEPORUMM Receiver of MT564 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//BRUP09063007
:20C::SEME//BRUP09063007003
:23G:WITH
:22F::CAEV//BRUP
:22F::CAMV//MAND
:98C::PREP//20090730185811
:25D::PROC//COMP
:16R:LINK
4. If a company is declared bankrupt, the depository sends to its clients notification on the corporate action informing the duration of bankruptcy proceedings with the date of receipt of further information (MT564/BRUP/REPL).

This is an example of Corporate Action Notification sent by the depository (BIC DEPORUMM) to the account owner ABC BROKER (BIC BROKRUMM) and contains information on corporate action on safekeeping account 123456 on OAO “uKOS NK” securities.

The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

Notification is formed by the depository and contains information on details of corporate action – declaring OAO “uKOS NK” bankrupt.

Notification formation date and time – July 30th 2009, 19:03:40

**MT564 – Corporate Action Notification**

Corporate action reference BRUP09063007
Sender’s reference – BRUP09063007002

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM
Message structure:

:16R:GENL
:20C::CORP//BRUP09063007
:20C::SEME//BRUP09063007003
:23G:REPL
:22F::CAEV//BRUP
:22F::CAMV//MAND
:98C::PREP//20090730190340
:25D::PROC//COMP
:16R:LINK
:13A::LINK//564
:20C::PREV//BRUP09063007002
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU0009054449

Yuko, AOI or YUKOS, COMMON

:16R:ACCTINFO
:97A::SAFE//123456
:94B::SAFE//SHHE/REGISTRAR
:93B::ELIG//UNIT/289730,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::ANOU//20060327
:98B::EFFD//20060811
:98A::FDAT//20070801
:16S:CADETL
:16R:ADDINFO
:70E::ADTX//NASTOaqIM SOOBqAEM, cTO MOSKOVSKII ARBITRAINYi SUD PRIZNAL eMITENTa BANKROTOM I NAZNAcIL KONKURSNOE PROIZVODSTVO SROKOM 1 GOD. DOPOLNITELEXNaa INFORMACIa BUDET DOSTUPNA PO REZULTATAM KONKURSNOGO PROIZVODSTVA

or

:70E::ADTX//PLEASE BE ADVISED THAT THE ARBITRATION COURT OF MOSCOW HAS ACKNOWLEDGED THE ISSUER TO BE BANKRUPT AND INITIATED THE WINDING UP PROCEEDINGS WITH 1 YEAR DURATION. FURTHER INFORMATION WILL BE ANNOUNCED AFTER THE CONCLUSION OF WINDING UP PROCEEDINGS
Example 2b. Corporate Action Type – distribution of cash as a result of liquidation (corporate action event indicator – LIQU)

5. Subsequent to liquidation process in case of cash outflow the depository makes additional corporate action (LIQU) and sends notification on the corporate action stating reference of the previous corporate action (BRUP), and based on the liquidation outflows the depository sends to its clients corporate action confirmation informing about the cash flows (MT566/LIQU).

MT564 – Corporate Action Notification

Corporate action reference LIQU07063007
Sender’s reference – LIQU07063007002

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//LIQU07063007
:20C::SEME//LIQU07063007003
:23G:REPL
:22F::CAEV//LIQU
:22F::CAMV//MAND
:98C::PREP//20070828190340
:25D::PROC//COMP
:16R:LINK
:13A::LINK//564
:20C::PREV//BRUP09063007002
:16S:LINK
:16R:LINK
:20C::PREV//BRUP09063007002
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU0009054449
YuKOS, AOI or YUKOS, COMMON
:16R:ACCTINFO
:97A::SAFE//123456
:94B::SAFE//SHHE/REGISTRAR
:93B::ELIG//UNIT/289730,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::ANOU//20060327
:98B::EFFD//200770827
Upon receipt of the liquidation results and compensatory amount, message on completion of bankruptcy procedure is sent to the shareholders.

**MT566 – Corporate action confirmation**

Corporate action reference LIQU07063007  
Sender’s reference – LIQU07063007004

Sender of MT566 DEPORUMM  
Receiver of MT566 BROCKRUMM

**Message structure:**

:16R:GENL  
:20C::CORP//LIQU07063007  
:20C::SEME//LIQU07063007004  
:23G:NEWM  
:22F::CAEV//LIQU  
:98C::PREP//20090630191837  
:16R:LINK  
:13A::LINK//564  
:20C::PREV//LIQU07063007003  
:16S:LINK  
:16R:LINK  
:20C::CORP//BRUP09063007  
:16S:LINK  
:16S:GENL  
:16R:USECU  
:97A::SAFE//123456  
:94B::SAFE//SHHE/REGISTRAR  
:35B:ISIN RU0009054449  
YuKOS, AOI  
or YUKOS, COMMON  
:93B::CONB//UNIT/289730,  
:16S:USECU
Example 2c. Corporate Action Type – booking out of valueless securities upon receipt of confirmation from the registrar (corporate action code – WRTH)

6. Upon receipt of all the documents necessary for withdrawal of the securities from depository the depository initiates additional corporate action (WRTH) related to main corporate action (BRUP) sends to its client notification on the forthcoming withdrawal of securities, and after receiving confirmation from the registrar – Confirmation on the corporate action MT566 – of the securities withdrawal.

Upon receipt of the information on the forthcoming securities withdrawal the depository sends to its clients information on the corporate action – withdrawal of the securities.

**MT564 – Corporate Action Notification**

Corporate action reference WRTH07063007
Sender’s reference – WRTH07063007002

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

**Message structure:**

:16R:GENL
:20C::CORP//WRTH07063007
:20C::SEME//WRTH07063007003
:23G:REPL
:22F::CAEV//LIQU
:22F::CAMV//MAND
starting with

MT566 – Corporate action confirmation

Corporate action reference WRTH09063007
Sender’s reference – WRTH09063007005

Sender of MT566 DEPORUMM
Receiver of MT566 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP// WRTH09063007
:20C::SEME// WRTH09063007005
:23G:NEWM
PLEASE BE ADVISED THAT WORTHLES SHARES HAVE BEEN BOOKED OUT FROM YOUR ACCOUNT IN ACCORDANCE WITH LIQUIDATION PROCEDURE OF THE COMPANY.
BEST REGARDS,
CUSTODY ZAO ABCD BANK

5.1.3. Example 3. Corporate Action Type – Merger (corporate action indicator – MRGR)

MAIN TERMS OF CORPORATE ACTION

Definition
Mandatory or non-mandatory exchange of outstanding shares due to merger of assets of two or more companies. Exchange may be accompanied by payments.

**Initial terms:**
-Issuer – OAO “MOSeNERGO HOLDING”

**Details of issue:**
common stock:
ISIN RU000A0JPVQ5
Identification number (assigned by FCSM) – 2RVP-01-55388-E
State registration date August 14th 2001
preferred capital stock:
ISIN RU000A0JPVR3
Identification number (assigned by FCSM) – 2RVP-01-55388-E
State registration date August 14th 2001
Merging of OAO “MOSeNERGO HOLDING” with OAO “MOSeNERGO”
Transferring company: OAO “MOSeNERGO HOLDING”
Securities of OAO “MOSeNERGO”:
common stock:
ISIN RU0008958863
National state registration number – 1-01-00085-A
State registration date June 17th 2003
Record date (owners of shares listing date): June 6th 2008
Date of the transactions in the registrar: July 1st 2008

Corporate action is mandatory and instruction from the owner of securities to participate in the corporate action is not required (CAMV/MAND).

**Additional terms:**
Conversion ratio (preferred capital stock of OAO “MOSeNERGO HOLDING” into common stock of OAO “MOSeNERGO”):
1 common stock of OAO “MOSeNERGO” for 3.2499805529529 shares of OAO “MOSeNERGO HOLDING”
Mathematical rounding rules should be used when calculating the number of new shares of OAO “MOSeNERGO” to the owner.
Deposited shares of OAO “MOSeNERGO” will be traded from July 2nd 2008.

**Additional terms:**
Safekeeping account number: 123456
Quantity of securities on the date of the listing of registered persons: (June 6th 2008) – 63 (preferred capital stock).
Corporate Action Notification on common stock is not sent as the common stock is not on safekeeping account.

This is an example of Corporate Action Notification sent by the depository (BIC DEPORUMM) to the account owner ABC BROKER (BIC BROKRUMM) and contains information on corporate action on safekeeping account 123456 on OAO “MOSeNERGO HOLDING” securities ISIN RU000A0JPVR3
The rules of financial instrument’s indication are defined in section 1.8.13 of this document.

Moscow, September 2012
1. Upon receipt of the information the depository sends to its client notification on the corporate action which contains full information regarding the details of the corporate action (MT564/NEWM/MRGR/COMP):

– Merging of OAO “MOSeNERGO HOLDING” with OAO “MOSENERGO”.

Sender’s reference – AE79HC/080723/50
Corporate action reference – RAOREORG123
Notification formation date/time – June 24th, 2008, 17:00
Full information is provided on the corporate action (PROC/COMP)
At the time of sending notification (MT564) the date of the transactions in the registry is unknown.
Can be used only one option - the exchange of certain securities upon the other, this option is set as default without receiving instructions from the owners.
The previous securities (ISIN RU000A0JPVR3) will be written off (debited) from the account (CRDB/DEBT).

**MT564 – Corporate Action Notification**

Corporate action reference – RAOREORG123
Sender’s reference – AE79HC/080723/50

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

**Message structure:**

:16R:GENL
:20C::CORP//RAOREORG123
:20C::SEME//AE79HC/080723/50
:23G:NEWM
:22F::CAEV//MRGR
:22F::CAMV//MAND
:98A::PREP//20080624
:25D::PROC//COMP
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0JPVR3
'MOSeNERGO HOLDING, API or MOSENERGO HOLDING PREF
:16R:ACCTINFO
:97A::SAFE//123456
:93B::SETT//UNIT/63,
:93B::ELIG//UNIT/63, or once :93C::SETT//UNIT/ELIG/63,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::RDTE//20080606
:16S:CADETL
:16R:CAOPTN
:13A::CAON//001
:22F::CAOP//SECU
2. Upon receipt of report on the results of corporate action from the registrar the depository sends to its client Conformation on the corporate action informing the book out of old shares and deposition of new shares (MT566/NEWM/MRGR).

Upon receipt of report on the results of corporate action from the registrar the depository (BIC DEPORUMM) posts account operation and sends to the account owner ABC Broker (BIC BROKRUMM) confirmation on the corporate action which contains confirmation on the corporate action at depo account 123456 for Mosenergo Holding ISIN RU000A0JPVR3.

Sender’s reference – AE79HC/080723/51
Corporate action reference – RAOREORG123
Shares under corporate action – OAO MOSeNERGO HOLDING ISIN RU000A0JPVR3
Corporate action type – MRGR
Date in depository – 07 July 2008
Date in registrar – 01 July 2008
Confirmation contains additional terms of corporate action:
Swap ratio (preferred shares of OAO MOSeNERGO HOLDING into common stock of OAO MOSeNERGO:
1 share of OAO MOSeNERGO accrue $3.2499805529529$ shares of AOA MOSeNERGO HOLDING.
In calculating the amount due to the owner of new shares of "MOSeNERGO" standard rounding rule is used, i.e. the mathematical rounding rules.

**MT566 – Corporate Action Confirmation**

Corporate action reference – RAOREORG123
Sender’s reference – AE79HC/080723/51

Sender of MT566   DEPORUMM
Receiver of MT566   BROCKRUMM

**Message structure:**

:16R:GENL
:20C::CORP//RAOREORG123
:20C::SEME//AE79HC/MSNG/51
:23G:NEWM
:22F::CAEV//MRGR
:16R:LINK
:13A::LINK//564
:20C::PREV//AE79HC/080723/50
:16S:LINK
:16S:GENL
:16R:USECU
:97A::SAFE//1234567
:35B:ISIN RU000A0JPVR3
'MOSeNERGO HOLDING, API' or 'MOSENERGO HOLDING PREF'
:93B::CONB//UNIT/63,
:16S:USECU
:16R:CADETL
:98A::RDTE//20080606
:98A::EFFD//20080707
:16S:CADETL
:16R:CACONF
:13A::CAON//001
:22F::CAOP//SECU
:22F::DISF//STAN
:16R:SECMOVE
:22H::CRDB//DEBT
:35B:ISIN RU000A0JPVR3
'MOSeNERGO HOLDING, API' or 'MOSENERGO HOLDING PREF'
:36B::PSTA//UNIT/63,
:98A::POST//20080707
:98A::PAYD//20080701
:16S:SECMOVE
:16R:SECMOVE

Moscow, September 2012
As a result of the merger of MOSENERGO HOLDING (RU000A0JPVR3) and MOSENERGO (RU0008958863) your MOSENERGO HOLDING PREF SHS were mandatory exchanged for MOSENERGO ORD SHS on July 07, 2008 with value date July 01, 2007 at the ratio 3.2499805529529900 OLD to 1 NEW SHS. NEWLY ISSUED SHS ARE TRADABLE.

If you have any questions, please contact:
PERSON NAME
TEL 7 789 012 34 56
FAX 7 789 012 34 56
EMAIL XXXXX (AT) XXX.XX

5.1.4. Example 4. Corporate Action Type – PARI-PASSU of additional issues (corporate action event indicator – PARI)

Main Terms of Corporate Action

Definition:
Occurs when securities with different characteristics, e.g. shares with different rights to dividends, become identical in all respects. May be declared in advance (e.g. bonus shares can be equated to the previously issued in a predetermined time) or be the result of external actions - the merger, reorganization, issuance of additional trenches, etc. In accordance with this recommendation the code is also used when consolidating of securities issue.

Consolidation of shares issue of OAO “VOLJSKAa TGK”

Initial terms:
Issuer – OAO “VOLJSKAa TGK” or OAO “TGK-7”
Registrar: OAO “CENTRALXNYi MOSKOVSKi DEPOZITARi”

Details of principal issue:
1. Common stock
RU000A0HML36 – code of additional issue matches the principal issue ISIN code
National state registration number – 1-01-55113-E-010D
State registration date – May 20\(^{th}\) 2008
Nominal value – 1 ruble
Coefficient – 1,0

2. Common stock
RU000A0HML36 – code of additional issue matches the principal issue ISIN code
National state registration number – 1-01-55113-E-010D
State registration date – May 20\(^{th}\) 2008
Nominal value – 1 ruble
Coefficient – 1,0

3. Principal issue – common stock
RU000A0HML36
National state registration number – 1-01-55113-E
State registration date – November 1st 2005
Nominal value – 1 ruble
Record date of holding for operation in depository – 11.01.2009

**Additional terms:**
Safekeeping account number: 123456
Quantity of securities to the date of the MT564 on expected corporate action in depository (07.01.2009).
1-01-55113-E-009D – 150.000
1-01-55113-E-010D – 370.000

Quantity of securities to the record date of holding in depository (11.01.2009):
1-01-55113-E-009D – 250.000
1-01-55113-E-010D – 300.000

**Basis – received information from OAO “CENTRALXNYi MOSKOVSKi DEPOZITARI” Registrar.**

Providing instruction from the clients is not required (corporate action is mandatory).

1. Receiving/publishing by the issuer information on consolidation of securities issue and cancellation of additional issues – published on December 15\(^{th}\) 2008, the depository sends to its client notification on the corporate action (MT564/NEWM/PREU)

It is possible to send MT564/PARI (function NEWM).

In field :25D: it should be indicated – preliminary information about consolidates securities issue and cancellation of additional issues – unconfirmed information (PROC//PREU).

MT564 should be send upon every additional securities issue.

In case of consolidation of several additional issues into one main issue with cancellation of additional issues happens at the same date, such corporate action is given a common reference for corporate action for all consolidated issues.
For each additional issue individual notification on corporate action (MT564) should be
sent and details of the additional issue are specified in USECU subsequence. Accordingly, it is given a unique reference (: 20C :: SEME //). .

**MT564 – Corporate Action Notification**

Corporate action reference – VTGK301208
Sender’s reference – 081215123456

Sender of MT564  DEPORUMM
Receiver of MT564  BROCKRUMM

**Message structure:**

```
:16R:GENL
:20C::CORP//VTGK301208
:20C::SEME//081215123456
:23G:NEWM
:22F::CAEV//PARI
:22F::CAMV//MAND
:98C::PREP//20081216180000
:25D::PROC//PREU
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0HML36
/RU/1-01-551113-E-009D
‘VOLJASKaa TGK’
:16R:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/150000,
:16S:ACCTINFO
:16S:USECU
:16R:INTSEC
:35B:ISIN RU000A0HML36
/RU/1-01-551113-E
‘VOLJASKaa TGK’
:98A::POST//20081230
:98A::EXPI//20081230
:16S:INTSEC
:16R:CADETL
:98A::RDTE//20090112
(RU000A0HML36)
:16S:CADETL
:16R:CAOPTN
:13A::CAON//001
:22F::CAOP//SECU
:17B::DFLT//Y
:16R:SECMOVE
:22F::CRDB//DEBT:
:35B:ISIN RU000A0HML36
/RU/1-01-551113-E-010D
‘VOLJASKaa TGK’
```
2. Receiving information from the issuer on the consolidated securities issue – January 10th 2009 and informing depositors on the expected consolidation of the issues.

It is possible to send MT564/PARI (function REPL).

In field :25D: it should be indicated – full information on consolidation is provided.
MT564/PARI/COMP

Additional it is possible to send to the owner of the account MT568 describing the details of corporate action with the link to MT564.

2.1 MT564 – Corporate Action Notification

Corporate action reference – VTGK301208
Sender’s reference – 081215123458

Sender of MT564  DEPORUMM
Receiver of MT564  BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//VTGK301208
:20C::SEME//080107123458
:23G:REPL
:22F::CAEV//PARI
:22F::CAMV//MAND
:98C::PREP//20090110174505
:25D::PROC//COMP
:16R:LINK
:13A::LINK//564
:20C::PREV//081215123456
:16S:LINK
:16S:GENL
3. Upon receipt of information from the registrar on the issue consolidation (statement of transactions) the client receives Confirmation on the corporate action (MT566)

Date of operation in registrar – 11 January 2009
Date of operation in depository – 12 January 2009
-MTS66/PARI/NEWM
In case of consolidation of several additional issues into one main issue with cancellation of additional issues happens at the same date, for each additional issue individual Confirmation on corporate action (MT566) should be sent. And each message is given unique reference (: 20C :: SEME //).

3.1 MT566 – Corporate Action Confirmation

Corporate action reference – VTGK301208
Sender’s reference – 081215123462

Sender of MT566 DEPORUMM
Receiver of MT566 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//VTGK301208
:20C::SEME//081215123462
:23G:NEWM
:22F::CAEV//PARI
:98C::PREP//20090112
:16R:LINK
:13A::LINK//564
:20C::PREV//0801123458
:16S:LINK
:16S:GENL
:16R:USECU
:97A::SAFE//123456
:35B:ISIN RU000A0HML36
/RU/1-01-551113-E-009D
‘VOLJSKAa TGK’
:93::CONB//UNIT/250000,
:16S:USECU
:16R:CADETL
:98A::EFFD//20090111
:16S:CADETL
:16R:CACONF
:13A::CAON//001
:22F::CAOP//SECU
:16R:SECMOVE
:22H::CRDB//DEBT
:35B:ISIN RU000A0HML36
/RU/1-01-551113-E-009D
:36B::PSTA//UNIT/250000,
:98A::POST//20090112
:98A::PAYD//20090111
:16S:SECMOVE
:16R:SECMOVE
:22H::CRDB//CRED
5.1.5. Example 5. Corporate Action Type – Priority issue (public offer where, priority is given to existing shareholders. (corporate action event indicator – PRIO)

**Definition:**
Public offering where existing shareholders have privilege of share purchase as the number of shares is limited.

**Initial terms:**
- Issuer – OAO “RUSGIDRO” (former OAO “FEDERALNAa GIDROGENERIRUuqAa KOMPANla”)
- Date of the Extraordinary Meeting of Shareholders where it was decided to increase the share capital by issuing additional shares - 17.11.2008
- Date of listing persons with prior option of purchase – 08.10.2008
Details of prior issue:
- National state registration number – 1-01-55038-E-037D
- State registration date – May 14th 2009
- Nominal value – 1 ruble
- Offer price – 1 ruble
- Period of prior option of purchase – 45 days – from 15.05.2009 to 29.06.2009
- Currency of payment – Russian ruble
- Due date – not later than 29.06.2009
- Period of depositing securities – 06.07.2009
- Start date of circulation (after registration of the report on the results of issue in FCSM) – August 1st 2009
- Coefficient – 0.0627416488067

**Additional terms:**
- Safekeeping account number: 123456
- Quantity of securities to the date of listing: 759,696
- Deadline of instruction to the depository – 15.06.2009

Owner obtains 40000 of new shares.
Issuing additional shares among existing shareholders with prior option of purchase. Date of listing shareholders is the date of listing of shareholders (08.10.2008) which participated in the meeting at which it was decided to increase the share capital by issuing additional shares (17/11/2008).

Receiving information about an upcoming meeting of shareholders concerning the increase of authorized capital by issuing additional shares.

No action (it is possible to send MT564/MEET/XMEET indicating in field 70E://potential voluntary corporate action).

Receiving information on the outcome of the shareholder’s meeting where the decision was made. It is possible to send to the account owner a corporate action notification as a preliminary unconfirmed information MT 564/PRI/O/NEW/M/PREU

**MT564 – Corporate Action Notification**

Corporate action reference – CA HYDR140509  
Sender’s reference – LAGUY U0905181453

Sender of MT564 DEPORUM  
Receiver of MT564 BROCKRUM

**Message structure:**

:16R:GENL  
:20C:CORP//CA HYDR140509  
:20C:SEME//LAGUYU0905181453  
:23G:NEWM  
:22F:CAEV//PRIO  
:22F:CAMV//VOLU  
:25D:PROC//PREU  
:16S:GENL  
:16R:USECU  
:35B:ISIN RU000A0JPKH7  
'RUSGIDRO, AOI or JSC RUSHYDRO  
:16R:ACCTINFO  
:97A:SAFE//123456  
:93B:ELIG//UNIT/759696,  
:16S:ACCTINFO  
:16S:USECU  
:16R:CADET  
:98C:MEET//2008111700000  
:98A:RDTE//20081008  
:16S:CADET  
:16R:CAOPTN  
:13A:CAON//001  
:22F:CAOP//SECU  
:17B:DFLT//N  
:90B:OFFR//ACTU/RUB1,
1. When an Issuer receives Priority issue notification or after Issuer publishes this information, corporate action notification should be sent to the account owner (MT564/PRI/O/COMP). Additionally MT564 should be sent to the account owner with details of the corporate action with the link to MT564.

**MT564 – Corporate Action Notification**

Corporate action reference – CA HYDR140509
Sender’s reference – LAGUYU0905181454

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

**Message structure:**

:16R:GENL
:20C::CORP//CA HYDR140509
:20C::SEME//LAGUYU0905181454
:23G:REPL
:22F::CAEV//PRIO
:22F::CAMV//VOLU
:25D::PROC//COMP
:16R:LINK
:13A::LINK//564
:20C::PREV//LAGUYU0905181453
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0JPKH7
'RUSGIDRO, AOI or JSC RUSHYDRO
:16R:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/759696,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98C::MEET//20081117000000
:98A::RDTE//20081008
:16S:CADETL
:16R:CAOPTN
:13A::CAON//001
:22F::CAOP//SECU
:17B::DFLT//N
:98C::MKDT//20090629170000
:98C::RDDT//20090615150000
TXNR//PRE-EMPTIVE RIGHTS TO BUY THE NEW REGISTERED ORDINARY SHARES OF JSC RU SHYDRO (ISIN RU000A0JPKH7).

MT568 – Corporate Action Narrative

Corporate action reference – CA HYDR140509
Sender’s reference – LAGUYU0905181455

Sender of MT568 DEPORUMM
Receiver of MT568 BROCKRUMM

Message structure:

GENL
CORP//CA HYDR140509
SEME//LAGUYU0905181455
NEWM
CAEV//PRIO
LINK//564
PREV//LAGUYU0905181454
LINK
GENL
USECU
SAFE//123456
ISIN RU000A0JPKH7
RUSGIDRO, AOI or JSC RUSHYDRO
Moscow, September 2012

2. Before the deadline for the instructions on corporate action the depository sends to its clients notification on corporate action – reminder to send the instructions MT 564/PRIO/RMRD.

**MT564 – Corporate Action Notification**

Corporate action reference – CA HYDR140509
Sender’s reference – LAGUYU0906080931

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM
Message structure:

:16R:GENL
:20C::CORP//CA HYDR140509
:20C::SEME//LAGUYU0906080931
:23G:RMDR
:22F::CAEV//PRIO
:22F::CAMV//VOLU
:25D::PROC//COMP
:16R:LINK
:20C::PREV//LAGUYU0905181454
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0JPKH7
'RUSGIDRO, AOI or JSC RUSHYDRO
:16R:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/759696,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98C::MEET//20081117000000
:98A::RDTE//20081008
:16S:CADETL
:16R:CAOPTN
:13A::CAON//001
:22F::CAOP//SECU
:17B::DFLT//N
:98C::MKDT//20090629170000
:98C::RDDT//20090615150000
:69A::PWAL//20090515/20090629
:90B::PRPP//ACTU/RUB1,
:16R:SECMOVE
:22H::CRDB//CRED
:35B:ISIN RU000A0JPKH7
'RUSGIDRO, AOI or JSC RUSHYDRO
:36B::ENTL//UNIT/43919,
:92D::ADEX//0,0627416488067/1,
:98B::PAYD//UKWN
:16S:SECMOVE
:16S:CAOPTN
:16R:CAOPTN
:13A::CAON//002
:22F::CAOP//NOAC
:17B::DFLT//Y
:16S:CAOPTN
:16R:ADDINFO
:70E::TXNR//PRE-EMPTIVE RIGHTS TO BUY THE NEW REGISTERED ORDINARY SHARES OF JSC RU

Moscow, September 2012
SHYDRO (ISIN RU000A0JPKH7).

3. Client sends to the depository instructions for corporate action.

**MT565 – Corporate Action Instruction**

Corporate action reference – CA HYDR140509
Sender’s reference – LAGUYU0906080932

Sender of MT565 DEPORUMM
Receiver of MT565 BROCKRUMM

**Message structure:**

:16R:GENL
:20C::CORP//MIA8614
:20C::SEME//LAGUYU0906080932
:23G:NEWM
:22F::CAEV//PRIO
:16R:LINK
:13A::LINK//564
:20C::RELA//LAGUYU0905181454
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0JPKH7
'RUSGIDRO, AOI or JSCRUSHYDRO
:16R:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/759696,
:16S:ACCTINFO
:16S:USECU
:16R:CAINST
:13A::CAON//001
:22F::CAOP//SECU
:36B:QINS//UNIT/40000,
:16S:CAINST

4. Accumulation of instructions, sending MT564 indicating balance of instructed position (INBA) and balance of uninstructed position (UNBA), MT567.

5. Sending to the issuer a set of documents.

a. If the purchase price of new shares is declared at once, the set of documents includes the original payment order, i.e. Payment of the Central Bank within the framework of the event is completed.

- MT 564/ACTV upon receipt of registration information report on the results of a new additional issue.
  The message is sent on July 30th, 2009
MT564 – Corporate Action Notification

Corporate action reference – CA HYDR140509
Sender’s reference – LAGUYU0906080936

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//CA HYDR140509
:20C::SEME//LAGUYU0906300936
:23G:ADDB
:22F::CAEV//PRIO
:98A::PREP//20090730
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0JPKH7
RUSGIDRO, AOI or JSC RUSHYDRO
:16R:ACCTINFO
:97A::SAFE//123456
:16S:ACCTINFO
:16S:USECU
:16R:ADDINFO
:70E::ADTX//NASTOaqIM SOOBqAEM, cTO FSFR
ZAREGISTRIVOVALA OTcET OB
ITOGAH VYPUSKA I NOVYE CENNYE
BUMAGI DOSTUPNY DLa TORG0V
or
:70E::ADTX//PLEASE BE ADVISED THAT STATE
REGISTRATION OF PLACEMENT REPORT BY
FFSM. NEW SHARES IS EFFECTED ON JUNE
30 2009 AND NEW SHARES RU000A0JPKH7
/RU/1-01-55038-E-037D ARE ALLOWED
FOR CIRCULATION STARTING
JULY 01 2009 PLEASE CONTACT US
SHOULD YOU HAVE ANY QUESTION
:16S:ADDINFO

b. If the purchase price of new shares is set after the period of prior option of purchase:
   • Monitor setting of the price, sending MT564/REPL
   • Monitor transferring of funds, sending MT566/DEBT
   • Monitor depositing new shares, sending MT566/CRED indicating in field 70E://
     restricting circulation of the securities before registration of the report on the results
   • MT 564/ACTV upon receipt of registration information report on the results of a new
     additional issue.

c. In case the price of purchasing new shares is declared, the original of payment receipt
   is needed, this means that payment through Central Bank is complited.
6. After payment is made depository sends to its clients Confirmation on corporate action (:22H::CRDB//DEBT).

**MT566 – Corporate Action Confirmation (money transfer)**

Corporate action reference – CA HYDR140509  
Sender’s reference – LAGUYU0906080931

Sender of MT566 DEPORUMM  
Receiver of MT566 BROCKRUMM

**Message structure:**

:16R:GENL  
:20C:CORP//CA HYDR140509  
:20C:SEME//LAGUYU0906300931  
:23G:NEWM  
:22F:CAEV//PRIO  
:98A:PREP//20090706  
:16R:LINK  
:13A::LINK//=564  
:20C:PREV//LAGUYU090606080931  
:16S:LINK  
:16S:GENL  
:16R:USECU  
:97A::SAFE//=123456  
:35B:ISIN RU000A0JPKH7  
'RUSGIDRO, AOI or JSC RUSHYDRO  
:93B::CONB//=UNIT/759696,  
:16S:USECU  
:16R:CADETL  
:98A::EFFD//=20090706  
:16S:CADETL  
:16R:CACONF  
:13A::CAON//=001  
:22F:CAOP//SECU  
:16R:CASHMOVE  
:22H:CRDB//DEBT  
:19B:PSTA//=RUB40000,00  
:98A::POST//=20090615  
:98A::VALU//=20090615  
:90B:PRPP//=ACTU/RUB1,  
:16S:CASHMOVE  
:16S:CACONF

7. After receiving information on depositing of new securities (statement from the registrar), the depository sends to its clients Confirmation on corporate action confirming lending of securities (MT566/CRED) stating in field 70E :/:/ information to ban the circulation of securities to the registration of the report on the results of the issue.
MT566 – Corporate Action Confirmation (securities depositing)

Corporate action reference – CA HYDR140509
Sender’s reference – LAGUYU0906080931

Sender of MT566  DEPORUMM
Receiver of MT566  BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//CA HYDR140509
:20C::SEME//LAGUYU0906300931
:23G:NEWM
:22F::CAEV//PRIO
:98A::PREP//20090706
:16R:LINK
:13A::LINK//564
:20C::PREV//LAGUYU09006080931
:16S:LINK
:16S:GENL
:16R:USECU
:97A::SAFE//123456
:35B:ISIN RU000A0JPKH7
'RUSGIDRO, AOI or JSC RUSHYDRO
:93B::CONB//UNIT/759696,
:16S:USECU
:16R:CADETL
:98A::EFFD//20090706
:16S:CADETL
:16R:CACONF
:13A::CAON//001
:22F::CAOP/SECU
:16R:SECMOVE
:22H::CRDB//CRED
:35B:ISIN RU000A0JPKH7
'RUSGIDRO, AOI or JSC RUSHYDRO
:98A::POST//20090706
:16S:SECMOVE
:16S:CACONF
:16R:ADDINFO
:70E::ADTX//'NASTOaqIM SOOBqAEM, cTO NOVYE
AKCII ZAPREqENY K OBRAqENl u DO
REGISTRACII OTcETA OB ITOGAH
VYPUSKA V FSFR.
OR
PLEASE BE ADVISED THAT NEW SHARES
ARE NOT ALLOWED FOR CICULATION
BEFORE STATE REGISTRATION OF PLACEMENT
REPORT BY FFSM. PLEASE
CONTACT US SHOULD YOU HAVE ANY

Moscow, September 2012
QUESTIONS.

**MT566 – Corporate Action Confirmation**

Corporate action reference – CA HYDR140509  
Sender’s reference – LAGUYU0906080932

Sender of MT566  DEPORUMM  
Receiver of MT566  BROCKRUMM

**Message structure:**

:16R:GENL
:20C::CORP//CA HYDR140509
:20C::SEME//LAGUYU0906300932
:23G:NEWM
:22F::CAEV//PRIO
:98A::PREP//20090706
:16R:LINK
:13A::LINK//564
:20C::PREV//LAGUYU09006080931
:16S:LINK
:16S:GENL
:16R:USECU
:97A::SAFE//123456
:35B:ISIN RU000A0JPKH7  
'RUSGIDRO, AOI  or JSC RUSHYDRO
:93B::CONB//UNIT/700000,
:16S:USECU
:16R:CADETL
:98A::EFFD//20090706
:16S:CADETL
:16R:CACONF
:13A::CAON//001
:22F::CAOP/SECU
:16R:SECMOVE
:22H::CRDB//CRED
:35B:ISIN RU000A0JPKH7  
'RUSGIDRO, AOI  or JSC RUSHYDRO
:36B::PSTA//UNIT/40000,
:98A::POST//20090706
:98A::PAYD//20090706
:16S:SECMOVE
:16S:CASHMOVE
:22H::CRDB//DEBT
:19B::PSTA//RUB400000.00
:98A::POST//20090615
:98A::VALU//20090615
:98B::FDDT/UKWN
:90B::PRPP/ACTU/RUB1,
Example 6. Corporate Action Type – Repurchase from the shareholders their equities by the persons who owns more than 95% of the voting shares. (corporate action event indicator – TEND)

**Definition:**
An offer to shareholders, usually from a third party to sell (on a tender) or exchange their shares.

**Initial terms:**
Acquisition from the shareholders their equities by the persons who obtains more than 95% of the voting shares (article 84.8 of the Federal Law “Company Law”).

Issuer – OAO “uJNAa GTK-8”
Details of issue:
- common stock
- ISIN RU000A0JNG48
- State registration date May 19th 2005
- National state registration number 1-01-34308-E
date as of which the list of holders whose securities are redeemed, registry blocking-08.05.2009

**Details of the purchase:**
Buyer – OOO “LUKoil-VOLGOGRADNEFTEPERERABOTKA”
- Price – 0,0398 rubles for one share
- deadline for accepting applications from shareholders on the transfer of funds – 08.05.2009
- Currency of payment – Russian ruble
- Period of transferring securities – within 3 working days from the moment of receiving set of documents from the Issuer
In case a shareholder is not provided an order indicating the bank details or mailing address for money transfer of repurchased shares, funds will be transferred to the notary deposit.

**Additional terms:**

---

Moscow, September 2012
Safekeeping account number: 123456
Safekeeping account - 123456
Quantity of securities to 15.04.2009: 1000000
Quantity of securities on the date of the listing of registered persons: 1.000.000
Date of receiving by the depository information on the event and the documents, which are
to be send to the clients – 15.04.2009
Deadline of instruction to the depository – 15.06.2009

1. Notification of the possibility to send OOO “LUKOiL-VOLGOGRADNEFTEPERERABOTKA” an order indicating the bank details or for
money transfer.

Sender’s reference – SQUE8
Corporate action reference SQUE

MT564 – Corporate Action Notification

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//SQUE
:20C::SEME//SQUE8
:23G:NEWM
:22F::CAEV//TEND
:22F::CAMV//CHOS
:98A::PREP//20090415
:25D::PROC//COMP
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0JNG48
/RU/1-01-34308-E
' uJNAa GK TGK-8, AOI or OJSC
SOUTHERN GC TGK-8
ORD SHS 01
:16R:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/1000000,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::ANOU//20090415
:98A::RDTE//20090508
:98B::PAYD//UKWN
:90B::OFFR//ACTU/RUB0,0398
:22F::OFFE//SQUE
:70E::TXNR//MAND PURCHASE
OFFER OF OJSC SOUTHERN
GK TGK-8 ORDINARY STOCKS BY LLC
LUKOIL-VOLGOGRADNEFTEPERERABOTKA
 WHICH HOLDS MORE THAN 95 PCT
 VOTING SHARES. SHAREHOLDERS THOSE
 REGISTERED ON 08.05.2009 SHALL
 RECEIVE CASH IN EXCHANGE FOR
 STOCKS.

LUKOIL-VOLGOGRADNEFTEPERERABOTKA
 WHICH HOLDS MORE THAN 95 PCT
 VOTING SHARES. SHAREHOLDERS THOSE
 REGISTERED ON 08.05.2009 SHALL
 RECEIVE CASH IN EXCHANGE FOR
 STOCKS.

LUKOIL-VOLGOGRADNEFTEPERERABOTKA
 WHICH HOLDS MORE THAN 95 PCT
 VOTING SHARES. SHAREHOLDERS THOSE
 REGISTERED ON 08.05.2009 SHALL
 RECEIVE CASH IN EXCHANGE FOR
 SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

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 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.

SHAREHOLDERS THOSE
 WHO HOLD A MINIMUM OF 200000
 SHARES SHALL HAVE THE RIGHT TO
 RECLAIM CASH IN EXCHANGE FOR
 THEIR STOCKS.
YOUR ACCOUNT MANAGER.

:70E::ADTX//ALL ORDINARY STOCKS OF OJSC SOUTHERN GC TGC-8 SHALL BE BLOCKED
STARTING FROM 08.05.2009
:70E::PACO//CORPORATE ACTIONS/REORG/DIVIDENDS FOR QUESTIONS PLS CONTACT CUSTODY
CORP ACTIONS TEL +7 495 725 76 97
:16S:ADDINFO

2. Notification of the list of shareholders whose shares will be purchased (MT564/SQUE/REPL/).
In general, the depository account and/or the number of shares on deposit account may differ from those data, which were at the time of sending the first message.

MT564 – Corporate Action Notification

Sender’s reference – SQUE85
Corporate action reference - SQUE

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM

Message structure:

:16R:GENL
:20C::CORP//SQUE
:20C::SEME//SQUE85
:23G:REPL
:22F::CAEV//TEND
:22F::CAMV//MAND
:98A::PREP//20090509
:25D::PROC//COMP
:16R:LINK
:20C::PREV//SQUE8
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0JNG48
/RU/1-01-34308-E

'uJNAa GK TGK-8, AOI or OJSC
SOUTHERN GK TGK-8
ORD SHS 01
:16R:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/1000000,
:93B::BLOK//UNIT/1000000,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::ANOU//20090415
:98A::RDTE//20090508

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In addition it is possible to send MT544 and MT546 blocking shares on the safekeeping account.

3. Completion of corporate action – upon receipt of notification from the registrar on securities book out based on corporate action the depository sends to its clients corporate action Confirmation stating securities book out from depo account (MT566).

Money transferred by entity who bought out the securities directly to the account of the client (the postal address), or deposit the notary. Upon notification on securities book out from the registrar based on corporate action securities are booked out to depository from the client’s account. Confirmation on corporate action is sent to the account owner. Information about the cash flows in the confirmation is not indicated.

The securities under corporate action - ISIN RU000A0JNG48
**MT566 – Corporate Action Confirmation**

Corporate action reference - SQUE

Sender’s reference – SQUE91

Message reference MT564 – FDIW/MSNG/50

Sender of MT566 DEPORUMM
Receiver of MT566 BROCKRUMM

**Message structure:**

:16R:GENL
:20C::CORP//SQUE
:20C::SEME//SQUE91
:23G::NEWM
:22F::CAEV//TEND
:98A::PREP//20090525
:16R:LINK
:13A::LINK//564
:20C::PREV//SQUE85
:16S:LINK
:16S:GENL
:16R:USECU
:97A::SAFE//123456
:35B::ISIN RU000A0JNG48
:93B::CONB//UNIT/1000000,
:16S:USECU
:16R:CADETL
:98A::EFFD//20090706
:16S:CADETL
:98A::RDTE//20090508
:70E::OFFO//"OOO LUKOiL-VOLGOGRADNEFTEPERERABOTKA
:16S:CADETL
:16R:CACONF
:13A::CAON//001
:22F::CAOP/CASH
:16R:SECMOVE
:22H::CRDB//DEBT
:35B::ISIN RU000A0JNG48
:36B::PSTA//UNIT/1000000,
:98A::POST//20090524
:16S:SECMOVE
:16R:CASHMOVE
:22H::CRDB//CRED
:19B::PSTA//RUB39800,
:98B::PAYD//UKWN
:98A::VALU//UKWN
:90B::OFFR/ACTU/RUB0,0398
:16S:CASHMOVE
5.1.7. Example 7. Corporate Action Type – Booking out of worthless securities due to liquidation of the issuer (corporate action event indicator – WRTH)

**Definition:**
Booking out of worthless securities.

Issuer – OAO “FOND DOLGOSROcNYH SBEREJENII”
Security – common stock
common stock
ISIN RU0009843247
State registration date 07.09.2000
National state registration number 1-06-30039D

Sender’s reference – FDIW/MSNG/50
Corporate action reference WRTHFDI123
Corporate action securities - OAO “FOND DOLGOSROcNYH SBEREJENII” ISIN RU0009843247
Type of corporate event - Booking out of valueless securities

1. Upon receipt of information on corporate action of booking out of worthless securities the depository sends to its clients Notification on corporate action (MT564/NEWM/WRTH).

**MT564 – Corporate Action Notification**

Corporate action reference WRTHFDI123
Sender’s reference – FDIW/MSNG/50

Sender of MT564 DEPORUMM
Receiver of MT564 BROCKRUMM
Message structure:

:16R:GENL
:20C::CORP//WRTHFDI123
:20C::SEME//FDIW/MSNG/50
:23G:NEWM
:22F:CAEV//WRTH
:16S:GENL
:16R:USECU
:35B:ISIN RU0009843247
/RU/1-06-30039-D
'OAO FOND DOLGOSROcNIH SBEREJENII
:16R:ACCTINFO
:97A::SAFE//123456
:93B::ELIG//UNIT/63,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::RDTE//20081014
:16S:CADETL
:16R:CAOPTN
:13A::CAON/001
:22H:CAOP//OTHR
:16R:SECMOVE
:22H::CRDB//DEBT
:35B:ISIN RU0009843247
'OAO FOND DOLGOSROcNIH INVESTICIi
:36B::PSTA//UNIT/63,
:98A::POST//20090226
:98A::VALU//20080701
:16S:SECMOVE
:16S:CAOPTN
:16R:ADDINFO
:70E::TXNR//AS A RESULT OF LIQUIDATION
OF ISSUER OAO FOND DOLGOSROcNIH SBEREJENII
:70E::PACO//SHOULD YOU HAVE ANY QUESTIONS
PLEASE CONTACT
NAME PETROVA MARIA
TEL 7 495 241 43 44
FAX 7 495 916 38 41
EMAIL PETROVA AT DEPO.RU
:16S:ADDINFO

2. Upon receipt from the registrar of the report on results of booking out of worthless securities based on liquidation of the issuer in the registrar the depository sends Confirmation on the corporate action (MT566)/

Upon receipt of report from the registrar on the results of booking out of worthless securities based on liquidation of the issuer in the registrar the depository (BIC DEPORUMM) reflects the operation and sends to the account owner ABC Broker (BIC BROKRUMM) confirmation which contains confirmation of the corporate action for depo
account 123456 on the securities of ‘OAO FOND DOLGOSROcNIH SBEREJENII ISIN RU0009843247.

Sender’s reference – FDIW/MSNG/51
Corporate action reference WRTHFDI123
MT564 message reference – FDIW/MSNG/50
Corporate action securities - OAO “FOND DOLGOSROcNYH SBEREJENII” ISIN RU0009843247
Corporate action type – booking out of worthless securities
Date of operation in registrar – October 14th, 2008
Date of operation in custody – February 26, 2009

**MT566 – Corporate Action Confirmation**

Corporate action reference WRTHFDI123
Sender’s reference – FDIW/MSNG/51

Sender of MT566 DEPORUMM
Receiver of MT566 BROCKRUMM

**Message structure:**

```
:16R:GENL
:20C::CORP//WRTHFDI123
:20C::SEME//FDIW/MSNG/51
:23G:NEWM
:22F::CAEV//WRTH
:16R:LINK
:13A::LINK//564
:20C::PREV//FDIW/MSNG/50
:16S:LINK
:16S:GENL
:16R:USECU
:97A::SAFE//123456
:35B:ISIN RU0009843247
/RU/1-06-30039-D
‘OAO FOND DOLGOSROcNIH SBEREJENII
:93B::CONB//UNIT/63,
:16S:USECU
:16R:CADETL
:98A::RDTE//20081014
:16S:CADETL
:16R:CADETL
:13A::CAON//001
:22H::CAOP//OTHR
:16R:SECMOVE
:22H::CRDB//DEBT
:35B:ISIN RU0009843247
‘OAO FOND DOLGOSROcNIH INVESTICIi
:36B::PSTA//UNIT/63,
:98A::POST//20090226
```
5.1.8. Example 8. Corporate Action Type – Compilation a list of shareholders to participate in the shareholder’s meeting (corporate action event indicator – DSCL)

**Definition:**
The requirement to the holders or owners to disclose to the issuer the name, location and the balances of all issues.
In accordance with this recommendations the request may be sent by nominees and trustees for a list of shareholders to participate in the meeting, payment of dividends, as well as in cases where, in accordance with applicable law, the list of shareholders is prepared.

**Initial terms:**
- Issuer – OAO “AKCIONERNa FINANSOVa KORPORACIa “SISTEMA”
Details of issue:
common stock
ISIN RU000A0DQZE3
International state registration number (assigned by FCSM) – 1-04-01669-A
state registration date July 8th, 2004
OAO “AKCIONERNa FINANSOVa KORPORACIa “SISTEMA”, location: Russian Federation, 125009, Moscow, Mohovaya st., 13 building 1, announced holding of AGM
OAO AFK “SISTEMA” (joint presence of shareholders to vote on the issues) mailing proxy forms in advance.
AGM – event type – MEET.
Prior to the meeting of shareholders a list of equity owners should be compiled.
Registrar fixation date (the date of listing shareholders): 15 May 2010 (close).
Date of the meeting June 26th, 2010 11:00 Moscow time.

**Additional terms:**
Safekeeping account number: 123456
Safekeeping account - 123456
Quantity of securities at the nominee holder account to the listing date of the registered persons: (July 28th 2008) – 23063 (common stock).
When carrying out this corporate action nominee holder is sent two corporate action notifications.
This is an example of notification sent by the depository (BIC DEPORUMM) to the nominee holder ABC BROKER (BIC BROKRUMM) and contains information on corporate action (AGM) on safekeeping account 123456 on OAO “AKCIONERNAA
FINANSOVAA KORPORACIA “SISTEMA” securities ISIN RU000A0DQZE3
The rules of financial instrument’s indication are defined in section 1.8.5 of this document.

1. AGM notification is formed by the depository and contains information on corporate action details:

   - AGM
   Reference number of the message on AGM (sender’s reference) - AE79HC/080723/50
   Reference number of the request message for list of owners due to AGM (sender’s reference) - AE79HC/080723/50
   Corporate action reference – RAO123
   Date and time – April 30th 2008, 18:30
   Full information is provided (ROC/COMP).

**MT564 – Corporate Action Notification**

Corporate action reference – RAO123
Sender’s reference – AE79HC/080723/50

Sender of MT564  DEPORUMM
Receiver of MT564  BROCKRUMM

**Message structure:**

:16R:GENL
:20C:CORP://AFK123
:20C:SEME://AFKMEET2008123001
:23G:NEWM
:22F:CAEV//MEET
:22F:CAMV//VOLU
:98A::PREP//20080430
:25D::PROC//COMP
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0DQZE3
  ‘AFK SISTEMA, AO
:16R:ACCTINFO
:97A::SAFE//123456
  or
  – if notification is provided to all accounts opened in depository, it is possible to use GENR
  :97C::SAFE//GENR in this case balance is not shown in notification
:93B::SETT//UNIT/23063,
:93B::ELIG//UNIT/23063, or once :93C::SETT//UNIT/ELIG/23063,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::RDTE//20080515
:98C:MEET//20080628110000
Request to disclose beneficial owners and to present shareholder’s list

Market deadline – May 21\textsuperscript{st} 2010
Deadline – May 20\textsuperscript{th} 2010

MT564 – Corporate Action Notification

Corporate action reference – AFK456
Sender’s reference – AFKDCL2008123001

Sender of MT564: DEPORUMM
Receiver of MT564: BROCKRUMM

Message structure:
:16R:GENL
:20C::CORP//AFK456
:20C::SEME//AFKDSC2008123001
:23G:NEWM
:22F::CAEV//DSCL
:22F::CAEP//GENL
:22F::CAMV//MAND
:98A::PREP//20100516
:25D::PROC//COMP
:16R:LINK
:13A::LINK//564
:20C::PREV//AE79HC/080723/50
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0DQZE3
‘AFK SISTEMA, AO
:16R:ACCTINFO
:97A::SAFE//123456
:93B::SETT//UNIT/23063, or once :93C::SETT//UNIT/ELIG/23063,
:16S:ACCTINFO
:16S:USECU
:16R:CADETL
:98A::RDTE//0100515
:98C::MEET//20100626110000
:16S:CADETL
:16R:ADDINFO
:16R:CAOPTN
:13A::CAON//001
Request to render shareholder’s list

MT564 – Corporate Action Notification

Corporate action reference – AFK456
Sender’s reference – AFKDCL2008123001

Sender of MT564  DEPORUMM
Receiver of MT564  BROCKRUMM

Message structure:
:16R:GENL
:20C::CORP//AFK456
:20C::SEME//AFKDSCL2008123001
:23G:NEWM
:22F::CAEV//DSCL
:22F::CAEP//GENL
:22F::CAMV//VOLU
:98A::PREP//20100516
:25D::PROC//COMP
:16R:LINK
:13A::LINK//564
:20C::PREV//AE79HC/080723/50
:16S:LINK
:16S:GENL
:16R:USECU
:35B:ISIN RU000A0DQZE3 /RU/1-04-01669-A
*AFK SISTEMA, AO
:16R:ACCTINFO
:97A::SAFE//123456
:93B::SETT//UNIT/23063,
:93B::ELIG//UNIT/23063,
:93C::SETT//UNIT/ELIG/23063,
or once :93C::SETT//UNIT/ELIG/23063,
:16S:USECU
:16R:CADETL
:98A::RDTE//20100515
:98C::MEET//20100626110000
:16S:CADETL
:16R:CAOPTN
:13A::CAON//001
:22F::CAOP//CONY
:17B::DFLT//N
:98A::RDDT//20100520
:98A::MKDT//20100521
:16S:CAOPTN
:16R:CAOPTN
:13A::CAON//002
:22F::CAOP//CONN
:17B::DFLT//Y
:98A::MKDT//20100521
:98A::RDDT//20100520
:16S:CAOPTN
:16R:CAOPTN
:13A::CAON//003
:22F::CAOP//NOAC
:17B::DFLT//Y
:98A::RDDT//20090520
:16S:CAOPTN
:16R:ADDINFO
:70E::ADTX//DRAW UP OF LIST OF BENEFICIAL
OWNERSHIP UPON ISSUERS REQUEST
:70E::PACO//FOR ALL QUESTIONS PLEASE
CONTACT PERSON NAME
TEL (0123) 456-78-90
E-MAIL XXXXXX (AT) XXXXXXXX
:16S:ADDINFO
# CORPORATE ACTION EVENT INDICATORS

<table>
<thead>
<tr>
<th>Code</th>
<th>Designation</th>
<th>Description</th>
<th>Comments</th>
<th>Legal documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTV</td>
<td>Trading Status: Active</td>
<td>Trading in security has commenced or security has been re-activated after a suspension in trading.</td>
<td>1. Sent after the start of trading in the context of Issuance report registration. 2. Resumption of trading after suspension (see SUSP). 3. If the company is derived from bankruptcy (ISIN didn’t change) Reason: Issuance report registration, the flow of information from the Registrar</td>
<td>&quot;Standards for Securities Issuance and Prospectus Registration&quot; Order of FFMS 25.01.2007 № 07-4/pz-n</td>
</tr>
<tr>
<td>BIDS</td>
<td>Repurchase Offer/Issuer Bid/Reverse Rights</td>
<td>Offer to existing shareholders by the issuing company to repurchase equity or other securities convertible into equity. The objective of the offer is to reduce the number of outstanding equities.</td>
<td>1. Repurchase of own shares by the issuer in order to reduce registered capital. 2. Redemption of shares by the joint-stock company on request of the shareholders, section 75-76 of &quot;Company law&quot;. Reason: Notification of the issuer of redemption, Message on the results of the meeting</td>
<td>Federal Law “Company law”, 24.11.1995 №208-FZ, section 29, 75-76</td>
</tr>
<tr>
<td>BPUT</td>
<td>Put Redemption</td>
<td>Early redemption of a security at the election of the holder subject to the terms and condition of the issue</td>
<td>Irrevocable offer for bonds Reason: 1. Bonds. The possibility of early redemption in accordance with the decision on the issue.</td>
<td>1. Bonds issue decision 2. Issue decision, &quot;Standards for Securities Issuance and Prospectus Registration&quot; Order of FFMS 25.01.2007 № 07-4/pz-n</td>
</tr>
<tr>
<td>BRUP</td>
<td>Bankruptcy</td>
<td>Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.</td>
<td>Bankruptcy notification. The notification is sent upon receipt the information on the bankruptcy process.</td>
<td>Federal Law “Bankruptcy act” 26.10.2002 №127-FZ</td>
</tr>
<tr>
<td>-------</td>
<td>-------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>CHAN</td>
<td>Change</td>
<td>Information regarding a change further described in the corporate action details.</td>
<td>Information regarding any changes further described in CADETLL 1. Changing the name (other personal data) of the issuer / tool. 2. Assignment the shares state registration code at the initial offering 3. Changes in the parameters of the issue 4. Sometimes replacing the old number with a new of the state omission by the Registrars performed without securities transaction. 5. Other than changes in the CD, SWIFTs that need to be filled with earlier sent reference with the same CAEV and:: 23: REPL Change Par - REDO</td>
<td></td>
</tr>
<tr>
<td>CONS</td>
<td>Consent</td>
<td>Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party intended to progress an event to the next stage. This procedure is not required to be linked to 1. Offer a meeting to bondholders to discuss issues of debt restructuring and execution of appropriate agreements. 2. Meeting representatives of the issuer with the owners.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DECR</td>
<td>Decrease in Value</td>
<td>Reduction of face value. The number of circulating shares remains unchanged. This event may include a cash payout to holders.</td>
<td>Federal Law “Company law”, 24.11.1995 №208-FZ, “Standards for Securities Issuance and Prospectus Registration” Order of FFMS 25.01.2007 № 07-4/pz-n</td>
<td></td>
</tr>
<tr>
<td>DFLT</td>
<td>Bond Default</td>
<td>Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.</td>
<td>Notification of default on the bonds. Reason for sending the message - formal notification of the decision made by the competent authority or in accordance with the terms set out in decision of the issue.</td>
<td></td>
</tr>
<tr>
<td>DLST</td>
<td>Trading Status: Delisted</td>
<td>Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.</td>
<td>Exclusion of securities from listing. Reason for sending the message - information received from the Stock Exchange</td>
<td></td>
</tr>
</tbody>
</table>
| DSCL | Disclosure | Requirement for holders or Disclosure to the nominee. The request for

the organisation of a formal meeting. For example, consent to approve a plan of reorganisation for a bankruptcy proceeding. | Issue conversion (conversion of the preferred shares into common stock, conversion of bonds into shares, conversion of preferred shares of one type into preferred stock of another type, conversion of options into shares). |

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Details</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>DTCH</td>
<td>Dutch Auction</td>
<td>An action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.</td>
<td>Dutch Auction</td>
</tr>
<tr>
<td>DVCA</td>
<td>Cash Dividend</td>
<td>Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.</td>
<td></td>
</tr>
<tr>
<td>DVSE</td>
<td>Stock Dividend</td>
<td>Dividend paid to shareholders in the form of equities of the issuing corporation.</td>
<td>Payment of dividends in the form of shares of the issuing company</td>
</tr>
</tbody>
</table>
| EXOF  | Exchange          | Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", for bonds convertible into shares: At maturity (the calendar date, time period or event that must inevitably occur), with the circumstances specified in the decision bonds placement. | Order of the Ministry of Finance 19.08.2004 №68n "Approval conditions of the issue terms and trading state savings bonds"
<table>
<thead>
<tr>
<th>Code</th>
<th>Type</th>
<th>Description</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>INTR</td>
<td>Interest Payment</td>
<td>Regular interest payment distributed to holders of an interest bearing asset.</td>
<td>Bonds coupon yield payment</td>
</tr>
<tr>
<td>LIQU</td>
<td>Liquidation Dividend/ Liquidation Payment</td>
<td>A distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.</td>
<td>Disbursements upon liquidation of the issuer, together with the write-off securities</td>
</tr>
<tr>
<td>MCAL</td>
<td>Full Call/Early Redemption</td>
<td>The redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.</td>
<td>Early repayment of the whole bonds issue</td>
</tr>
<tr>
<td>MRGR</td>
<td>Merger</td>
<td>Exchange of outstanding securities, initiated by the issuer which may include options, as</td>
<td>Federal Law “Company law”, 24.11.1995 №208-FZ s. 16-17, “Standards for Securities Issuance and Prospectus Registration”</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
<td>Details</td>
<td>Reference</td>
</tr>
<tr>
<td>------</td>
<td>-----------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>OTHR</td>
<td>Other event</td>
<td>Other event, use only when no other event type applies, for example, a new event type.</td>
<td>Used only if other codes are not applicable</td>
</tr>
<tr>
<td>PARI</td>
<td>Pari-Passu</td>
<td>Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches, etc.</td>
<td>Consolidated securities issue, cancellation of additional codes issue</td>
</tr>
<tr>
<td>PCAL</td>
<td>Partial Redemption with Reduction of Nominal Value</td>
<td>Securities are redeemed in part before their scheduled final maturity date with reduction of the nominal value of the securities. The outstanding amount of securities will be reduced proportionally.</td>
<td>Partial prepayment with decrease in the face value</td>
</tr>
</tbody>
</table>

Securities Issuance and Prospectus Registration” Order of FFMS 25.01.2007 № 07-4/pz-n s.8

Resolution of FFMS №07-23/pz-n (former 03-16/pz-n)
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Definition</th>
<th>Additional Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>PINK</td>
<td>Pay In Kind</td>
<td>Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.</td>
<td>In case of income payments on bonds in the form of other than cash.</td>
</tr>
<tr>
<td>PRED</td>
<td>Partial Redemption Without Reduction of Nominal Value</td>
<td>Securities are redeemed in part before their scheduled final maturity date without reduction of the nominal value of the securities. This is commonly done by pool factor reduction.</td>
<td>Reducing the principal without reducing the par value (pull factor)</td>
</tr>
<tr>
<td>PRII</td>
<td>Interest Payment with Principal</td>
<td>An event which consists of two components, the decrease of the amortized value of a pool factor security and an interest payment.</td>
<td>Partial repayment of par value (government bond). Bonds coupon yield payment +partial repayment of principal</td>
</tr>
<tr>
<td>PRIO</td>
<td>Priority Issue</td>
<td>Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.</td>
<td>Implementation of pre-emptive rights. Reason: Pre-emptive right to acquisition of additional shares issue: 1. all shareholders with public subscription; 2. voted against and those who didn’t vote – traded privately. 3. In Company - pre-emptive right for acquisition of shares by the shareholder, sold by another shareholder</td>
</tr>
<tr>
<td>REDM</td>
<td>Final Maturity</td>
<td>The redemption of an entire issue outstanding of securities,</td>
<td>Redemption of bonds in a target date maturity</td>
</tr>
<tr>
<td>REDO</td>
<td>Redenomination</td>
<td>Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.</td>
<td>Change in face value due to: 1. Currency denomination 2. Currency change</td>
</tr>
<tr>
<td>------</td>
<td>----------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------</td>
</tr>
<tr>
<td>SOFF</td>
<td>Spin-Off</td>
<td>A distribution of subsidiary stock to the shareholders of the parent company without a surrender of shares. Spin-off represents a form of divestiture usually resulting in an independent company or in an existing company. For example, demerger, distribution, unbundling.</td>
<td>Reorganization in the form of spin-off or separation</td>
</tr>
<tr>
<td>SPLF</td>
<td>Stock Split/Change in Nominal Value/Subdivision</td>
<td>Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price</td>
<td>simultaneous proportional reduction of the face value of shares with an increase in the number of shares (split)</td>
</tr>
<tr>
<td>SPLR</td>
<td>Reverse Stock Split/Change in Nominal Value</td>
<td>Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.</td>
<td>simultaneous proportional increase of the face value of shares with a simultaneous decrease in the number of shares</td>
</tr>
<tr>
<td>-------</td>
<td>-------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>SUSP</td>
<td>Trading Status: Suspended</td>
<td>Trading in the security has been suspended.</td>
<td>Suspension of trading: issuer decision; upon court order etc</td>
</tr>
</tbody>
</table>
| TEND  | Tender/Acquisition/Takeover/Purchase Offer/Buyback | An offer made to shareholders, normally by a third party, requesting them to sell (tender) or exchange their equities.          | 1. Mandatory or voluntary offer for shares redemption  
2. Shares redemption by a person who has acquired 95% of stake  
| TREC  | Tax Reclaim                                | Event related to tax reclaim activities.                                                                                         | Order of the owner to the Depositary for tax refund                                                                                   |                              |
| WRTH  | Worthless                                  | Booking out of valueless securities.                                                                                             | Liquidation of the issuer, booking out of valueless securities. The reason can be: an extract from the USRLE on the termination or liquidation or excerpt from the safekeeping place on the booking out of the securities of | “Civil Code of the Russian Federation”, Resolution of the FFMS 02.10.1997 №27 "On Approval of The provisions of the |

Moscow, September 2012
<table>
<thead>
<tr>
<th>WTRC</th>
<th>Withholding Tax Relief Certification</th>
<th>the liquidated issuer</th>
<th>administration of share Registrar&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Certification request for withholding tax reduction or exemption based on the tax status of the holder.</td>
<td>Request for documents for tax reclaim</td>
<td></td>
</tr>
<tr>
<td>XMET</td>
<td>Extraordinary or Special General Meeting</td>
<td>Extraordinary or special general meeting.</td>
<td>Federal Law “Company law”, 24.11.1995 №208-FЗ, p.47</td>
</tr>
</tbody>
</table>

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