

## RENAISSANCE BROKER LIMITED

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123112, Russian Federation

### LIST OF DOCUMENTS TO BE PROVIDED FOR RECEIVING FINANCIAL SERVICES

#### **I. List of documents / information to be provided by individuals**

- 1. Individuals' Questionnaire. To be provided with respect to the Client.**  
*Document form – original.*
- 2. Individuals' Questionnaire for the FATCA/CRS purposes.**  
*Document form – original.*
- 3. Representative's Questionnaire. To be provided with respect to each representative (if any).**  
*Document form – original.*
- 4. Client's and their representatives' passport or other identity document pursuant to existing laws of the Russian Federation.**  
*Document form – copy certified by notary public or by the Company's employee subject to showing the document original for verification. Documents in foreign languages are to be apostilled and legalized<sup>1</sup> and provided together with certified translation into Russian (translation is not required in case of visa or migration card in place).*

#### **4.1. Additional documents to be provided by foreign citizens or persons without citizenship:**

- a) **Migration card** - copy certified by notary public or by the Company's employee subject to showing the document original for verification.
  - b) **Document certifying the right of a foreign citizen or a person without citizenship to stay (live) in the Russian Federation (visa, temporary residence permit, residence permit)** - copy certified by notary public or by the Company's employee subject to showing the document original for verification.
  - c) **Document certifying registration of permanent or temporary residence** - copy certified by notary public or by the Company's employee subject to showing the document original for verification.
- 5. Information on registration with the tax authority (Individual Taxpayer Number, INN) with respect to the Client and each of their representative (if any).**  
*Document form – to be provided in individual's Questionnaire.*
  - 6. Personal data processing consent. To be provided with respect to the Client and each of their representative (if any).**  
*Document form – original.*
  - 7. Power of attorney for specific actions on behalf of the Client (if any).**  
*Document form – copy certified by notary public. If the PoA is issued outside the Russian Federation, the copy certified by notary public is to be legalized with an apostille and certified translation into Russian.*
  - 8. W-8BEN/ W-8IMY/ W-9 form (if applicable).**  
*Document form – оригинал.*
  - 9. Information on beneficial owner(s) (if any)<sup>2</sup>.**

#### **9.1. Information in to be provided in respective section of the individual's Questionnaire.**

#### **10. If the Client acts for the benefit of beneficiary<sup>3</sup>:**

##### **10.1. 'Beneficiary identity information' form – original signed by the Client.**

##### **10.2. Copies of documents certified by the Client and supporting the information provided with respect to the beneficiary as per the list of documents (Section IV).**

<sup>1</sup> Legalization (apostille seal) is not required in case of existing respective treaty between the Russian Federation and the country of the Client's citizenship (e.g., Azerbaijan, Armenia, Belarus, Georgia, Kazakhstan, Kirgizstan, Moldova, Tajikistan, Turkmenistan, Uzbekistan, Ukraine).

<sup>2</sup> Beneficiary owner is an individual who either ultimately – directly or indirectly (through third parties, including a legal entity, several legal entities or a group of related legal entities) – owns (has a dominant interest of more than 25% in equity) the Client – legal entity or directly or indirectly controls the Client, including capacity to influence the Client's decisions.

<sup>3</sup> Beneficiary is a person to whose benefit the Client acts (including by virtue of an agency agreement, fiduciary agreement, commission and trust management agreement) in conducting operations with funds and other assets.

**Additional documents to be provided by individual Clients acting as individual entrepreneur in the Russian Federation:**

**11. Certificate of state registration in the capacity of individual entrepreneur.**

*Document form* – copy certified by notary public or by the Company's employee subject to showing the document original for verification.

**12. Signature sample card**

*Document form* – copy certified by notary public or by the Company's employee subject to showing the document original for verification.

**13. Document evidencing the Client's goodwill, such as:**

- a) Reference by other clients of Renaissance Broker Limited;
- b) Reference by a credit institution and (or) non-credit financial institution, currently or previously servicing the Client.

*Document form* – original sealed and signed by the institution's competent official or copy of such original certified with the Client's signature.

**II. List of documents / information to be provided by legal entities incorporated in the Russian Federation (residents of the Russian Federation)**

**1. Legal entity's Questionnaire. To be provided with respect to the Client and its representatives – legal entities (if any).**

*Document form* – original signed by the Client's competent official under corporate seal.

**2. Legal entity's Questionnaire for the FATCA/CRS purposes.**

*Document form* – original.

**3. Tax residency status confirmation form with respect to controlling persons for the purposes of Chapter 20.1 of the Tax Code of the Russian Federation (if applicable).**

*Document form* – original.

**4. State registration certificate / Legal entity incorporation record.**

*Document form* - copy certified by the Client<sup>4</sup> or by the Company's employee subject to showing the document original for verification.

**5. Articles of Association in effect (as amended and registered from time to time).**

*Document form* – copy certified by notary public or by authority conducting state registration of legal entities.

**6. Certificate of legal entity registration with tax authority.**

*Document form* - copy certified by the Client or by the Company's employee subject to showing the document original for verification.

**7. Information on licenses permitting licensed business activities (if any).**

*Document form* - to be provided in Legal entity's Questionnaire.

**8. Information on person(s) authorized to act on behalf of the legal entity (Authorized representatives<sup>5</sup>):**

**8.1. Document evidencing appointment (election) of sole executive body (chief executive, CEO).<sup>6</sup>**

*Document form* – copy certified by notary public or by the Client.

**8.2. Power of attorney or other document, supporting the powers for specific actions on behalf of the Client (if any).**

*Document form* – original / copy certified by notary public or copy certified by the Client. If the PoA is issued outside the Russian Federation, the copy certified by notary public is to be legalized with an apostille and certified translation into Russian.

**8.3. Representative's Questionnaire. To be provided with respect to each Authorized Representative – individuals.**

*Document form* – original signed by respective individual.

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<sup>4</sup> Copy certified by the Client means a copy of the document, verified and signed by an authorized representative under a corporate seal (if applicable)

<sup>5</sup> Authorized representative means a person authorized to act on behalf and to the benefit of the Client by virtue of the Client's internal regulations (Articles of Association, Resolutions, etc.) and PoAs duly issued by the Client.

<sup>6</sup> If the function of a sole executive body is entrusted on a legal entity, identity information with respect to such legal entity is to be provided as well (clause 1, 4-6, 8 hereof).

- 8.4. Passport of other identity document of Authorized Representatives pursuant to existing laws of the Russian Federation.**  
*Document form* – copy certified by notary public or by the Company's employee subject to showing the document original for verification. Documents of a foreign citizen in a foreign language are to be apostilled and legalized and provided together with certified translation into Russian (translation is not required in case of visa or migration card in place).
- 8.5. Personal data processing consent. To be provided with respect to each Authorized Representative.**  
*Document form* – original signed by respective individual.
- 8.6. Information of registration with tax authority with respect to Authorized Representatives (if applicable).**  
*Document form* – to be provided in individual's Questionnaire.
- 8.7. Additional documents to be provided by foreign citizens or persons without citizenship:**
- a) **Migration card** - copy certified by notary public or by the Company's employee subject to showing the document original for verification.
  - b) **Document certifying the right of a foreign citizen or a person without citizenship to stay (live) in the Russian Federation (visa, temporary residence permit, residence permit)** - copy certified by notary public or by the Company's employee subject to showing the document original for verification.
  - c) **Document certifying registration of permanent or temporary residence** – copy.
- 9. CEO signature and corporate seal sample card.**  
*Document form* – original certified by notary public or copy of notarized original certified by notary public; original certified by a credit institution is not acceptable.
- 10. Document evidencing the Client's members / shareholders:**
- 10.1. List of entities / persons and cluster diagram, showing direct or indirect impact on the legal entity (for credit institutions)**
- 10.2. List of members / extract from shareholder register / list of affiliates.**  
*Document form* – copies of documents certified by the Client.
- 11. Information on the Client's goodwill, such as (in arbitrary form):**
- a) Reference by other clients of Renaissance Broker Limited;
  - b) Reference by a credit institution and (or) non-credit financial institution, currently or previously servicing the Client.
- Document form* – original sealed and signed by the institution's competent official or copy of such original signed by the Client's competent official under the Client's seal.
- 12. Information on the Client's financial standing:**
- a) Annual accounts (balance sheet, P&L statement);
  - b) Auditor's report on annual accounts for the past year (if applicable).
  - c) Interim accounts (balance sheet, P&L statement) – if the legal entity's term of activities is less than one year since registration.
- Document form* – copies of documents certified by the Client / references to official disclosure sources in case of mandatory disclosure in accordance with the requirements of laws of the Russian Federation (to be indicated in the Legal Entity's Questionnaire)<sup>7</sup>.
- 13. Information on beneficial owner(s) (if any).**
- 13.1. Information on beneficial owner** is to be provided in respective section of the Legal Entity's Questionnaire.
- 14. Information on beneficiary (if applicable):**
- 14.1. 'Beneficiary identity information' form** – original signed by the Client.
- 14.2. Documents copies** certified by the Client and supporting the information provided with respect to the beneficiary as per the list of documents (Section IV).
- 15. W-8BEN-E/ W-8IMY/ W-8EXP/ W-9 form** (if applicable).  
*Document form* – original.

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<sup>7</sup> Applicable to financial market participants and securities issuers admitted to exchange trading that are bound to disclose information in accordance with the Russian Federation laws governing securities of foreign issuers that are listed on foreign trading venues, approved by the Bank of Russia.

**III. List of document / information to be provided by foreign entities as well as non-corporate structures (non-residents of the Russian Federation)**

Please note: Copies of all documents are to be apostilled and bound with duly certified translation into Russian<sup>8</sup>, unless indicated otherwise.

- 1. Legal entity's Questionnaire. To be provided with respect to the Client and its representatives – legal entities (if any).** With respect to non-corporate structures, **Non-Corporate Structure's Questionnaire is to be provided.**  
*Document form* – original signed by the Client's competent official under corporate seal (if applicable).
- 2. Legal entity's Questionnaire for the FATCA/CRS purposes.**  
*Document form* – original signed by the Client's competent official under corporate seal (if applicable).
- 3. Tax residency status confirmation form with respect to controlling persons for the purposes of Chapter 20.1 of the Tax Code of the Russian Federation (if applicable).**  
*Document form* – original signed by the Client's competent official under corporate seal (if applicable).
- 4. State registration certificate of the legal entity / foreign non-corporate structure** with indication of state registration number, place of state registration (Certificate of Incorporation, Registration certificate, etc.)
- 5. In case of name changes, each is to be supported by a name change certificate of legal entity / non-corporate structure.**
- 6. Instruments of incorporation in effect (as amended and registered from time to time)** (Articles of Association, and / or Memorandum, etc.).
- 7. Document evidencing the legal entity's legal address / business location address** of the foreign non-corporate structure (Certificate of Registered Office, etc.).
- 8. Document evidencing registration with tax authorities in the country of registration / code(s) assignment (if applicable) to a foreign non-corporate structure in the country of its registration (incorporation) in the taxpayer capacity (or equivalents thereof)** (Tax Certificate, etc.).
- 9. Certificate of registration with tax authority** in the Russian Federation with indication of taxpayer number / foreign company code (if applicable).  
*Document form* – copy certified by the Client or by the Company's employee subject to showing the document original for verification.
- 10. Documents evidencing current affairs (good standing) of the legal entity** in accordance with laws of the country of incorporation (Certificate of Good Standing, Extract from the register of companies etc.)
- 11. Licenses** or other document, evidencing the legal entity's right to conduct its licensed activities in accordance with laws of the country of registration (if applicable)<sup>9</sup>.  
*Document form* – copy certified by the Client or by the Company's employee subject to showing the document original for verification.
- 12. Information on person(s) authorized to act on behalf of the legal entity / foreign non-corporate structure (Authorized Representatives):**
  - 12.1. Documents evidencing appointment and powers of the entity's CEO / trustee/ other person** authorized to act without a PoA (Certificate of Directors, Certificate of Incumbency etc.).
  - 12.2. Power of Attorney or other document authorizing specific actions on behalf of the Client (if applicable).**  
*Document form* – If the PoA is issued outside the Russian Federation, the copy certified by notary public is to be legalized with an apostille and certified translation into Russian. If the PoA is issued in the Russian Federation, a copy certified by notary public / original / a copy certified by the Client is to be provided.
  - 12.3. Representative's Questionnaire. To be provided with respect to each Authorized Representative – individuals.**  
*Document form* – original signed by respective individual.

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<sup>8</sup> Documents executed by a state authority (its employee / notary public / attorney of a foreign state), i.e. containing signatures and/or seals thereof or certifying (verifying) any signatures, are to be legalized or apostilled, unless otherwise provided for in international treaties of the Russian Federation. All other documents are to be provided as originals or copies certified by the Client's Authorized Representative. All documents in a foreign language are to be supported with a duly certified translation into Russian.

<sup>9</sup> All documents in a foreign language are to be supported with a duly certified translation into Russian.

- 12.4. Passport of other identity document of Authorized Representatives pursuant to existing laws of the Russian Federation.**  
*Document form* – copy certified by notary public or by the Company's employee subject to showing the document original for verification. Documents of a foreign citizen in a foreign language are to be apostilled and legalized and provided together with certified translation into Russian (translation is not required in case of visa or migration card in place).
- 12.5. Personal data processing consent. To be provided with respect to each Authorized Representative.**  
*Document form* – original signed by respective individual.
- 12.6. Information of registration with tax authority with respect to Authorized Representatives (if applicable).**  
*Document form* – to be provided in individual's Questionnaire.
- 12.7. Additional documents to be provided by foreign citizens or persons without citizenship (if applicable):**
- a) **Migration card** - copy certified by notary public or by the Company's employee subject to showing the document original for verification.
  - b) **Document certifying the right of a foreign citizen or a person without citizenship to stay (live) in the Russian Federation (visa, temporary residence permit, residence permit)** - copy certified by notary public or by the Company's employee subject to showing the document original for verification.
  - c) **Document certifying registration of permanent or temporary residence** – copy.
- 13. Signatures and corporate seal sample card or official equivalent thereof** (List of signatures, etc.).
- 14. Documents evidencing ownership structure of the legal entity / members of a foreign non-corporate structure** (Certificate of Shareholders, etc.).
- 15. Information on the Client's goodwill, such as (in arbitrary form):**
- a) Reference by other clients of Renaissance Broker Limited;
  - b) Reference by a credit institution and (or) non-credit financial institution, currently or previously servicing the Client.
- Document form* – original sealed and signed by the institution's competent official or copy of such original signed by the Client's competent official under the Client's seal.
- 16. Information on the Client's financial standing:**
- c) Accounts as of the latest available reporting date;
  - d) Auditor's report on annual accounts for the past year (if applicable).
- Document form* - copies of documents certified by the Client.
- 17. Information on beneficial owner(s) (if any).**
- 17.1. Information on beneficial owner** is to be provided in respective section of the Legal Entity's Questionnaire.
- 18. Information on beneficiary (if applicable):**
- a) **'Beneficiary identity information' form** – original signed by the Client.
  - b) **Documents' copies certified by the Client and supporting the information provided with respect to the beneficiary as per the list of documents (Section IV).**
- 19. W-8BEN-E/ W-8IMY/ W-8EXP/ W-9 form** (if applicable).  
*Document form* – original

**IV. List of documents / information to be provided with respect to the Client's beneficiary<sup>10</sup>:**

- 1. With respect to beneficiary individual, copies of documents that are certified by the Client and evidence the information below are to be provided:
  - a) Details of identity document;
  - b) Migration card details (if applicable);
  - c) Details of the document certifying the right of a foreign citizen or a person without citizenship to stay (live) in the Russian Federation (visa, temporary residence permit, residence permit) – if applicable;

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<sup>10</sup> All documents in a foreign language are to be supported with a duly certified translation into Russian.

- d) Information on registration of permanent or temporary residence;
  - e) Information on registration with tax authority (if applicable);
- 2. With respect to beneficiary legal entity, copies of documents that are certified by the Client and evidence the information below are to be provided:
  - a) Information on state registration of beneficiary;
  - b) Information on taxpayer identification number (if applicable);
  - c) Document evidencing official name and legal form.
  - d) Document evidencing the beneficiary's address (location) (instruments of incorporation).

**Note: Renaissance Broker Limited reserves the right to request additional documents besides those established herein.**