



The Bank of Russia Standard

STO BR NPS-7.0-2020

**FINANCIAL MESSAGES IN THE NPS.
EXCHANGE OF FINANCIAL MESSAGES AS PART OF
CURRENCY CONTROL**

INTERACTION MODELS

Introduction date: 2020-08-31

Moscow
2020

Preamble

ACCEPTED AND ENACTED by The Bank of Russia's order of 28 August 2020, No BD-1406, "On the enactment of the Bank of Russia Standard STO BR NPS-8.0-2020 "Financial Messages in the NPS. Exchange of Financial Messages as Part of Currency Control. Message Usage Guidelines" and STO BR NPS-7.0-2020 "Financial Messages in the NPS. Exchange of Financial Messages as Part of Currency Control. Interaction Models".

This Standard cannot be reproduced in whole or in part, replicated and published as an official publication without the Bank of Russia's approval.

CONTENTS

Introduction	4
1. Scope	5
2. Terms and definitions	5
3. Interaction Model presentation rules	6
4. Interaction Model when a resident submits currency control control documents related to a transaction	7
4.1. Review level	7
4.2. Conceptual level	8
5. Interaction Model for Contract registration	12
5.1. Review level	12
5.2. Conceptual level	14
6. Interaction Model for submitting supporting documents on a Contract serviced by an authorised Agent	20
6.1. Review level	20
6.2. Conceptual level	21
7. Interaction Model for Contract registration in connection with the full assignment of a claim or the full transfer of debt thereunder to another resident	23
7.1. Review level	23
7.2. Conceptual level	24
8. Interaction Model for Contract registration in connection with its transfer from another authorised Agent	27
8.1. Review level	27
8.2. Conceptual level	28
9. Interaction Model when an authorised Agent is reorganised or its branch is closed	29
9.1 Review level	29
9.2. Conceptual level	30
10. Consistency of documents and messages as part of currency control control	31

Introduction

This Standard contains the recommendations for financial messaging as part of Currency Control in the National Payment System (hereinafter – the NPS), in accordance with The Bank of Russia Standards STO BR NPS1.1-2020 “Financial Messages in the NPS. General Terms”.

The Bank of Russia Standard

FINANCIAL MESSAGES IN THE NPS. EXCHANGE OF FINANCIAL MESSAGES AS PART OF CURRENCY CONTROL

INTERACTION MODELS

Introduction date: 2020-08-31

1. Scope

This Standard is recommended for usage in the exchange of financial messages when residents¹ submit supporting documents and information to authorised Agents for the purpose of performing currency control transactions.

This standard is intended for:

- residents and authorised Agents to ensure compliance with the requirements of Federal Law No. 173-FZ;
- developers of information and program software, information systems.

Provisions of this Standard are applied on a voluntary basis, unless regulatory acts of the Bank of Russia or terms of contracts make some provisions obligatory.

This Standard is developed to organizations the financial messages exchange in the NPS with universal rules of financial messages composing based on the ISO 20022 standard. Usage of universal rules assures increase of the automatization and straight-through processing rate.

2. Terms and definitions

Terms of the Bank of Russia Standards STO BR NPS-1.1-2020 "Financial Messages in the NPS. General Terms", and terms below are used in this Standard.

Contract	Contract (loan agreement) between a resident and a non-resident that is subject to the requirements of The Bank of Russia Instruction No. 181-I on the registration of this contract (loan agreement) with an authorised Agent
SBC	The SBC (Statement of Bank Control) formed in accordance with the Instruction of the Bank of Russia No. 181-I
Interaction Model	Model of financial messaging between Participants of funds transfer in the National Payment System;
Business Process	Definition of the business activities undertaken by Business Roles within the National Payment System whereby each Process fulfils one type of business activity and whereby a Process may include and extend other Processes;

¹ The terms 'resident and 'non-resident' are used in accordance with Federal Law No. 173-FZ, dated 10 December 2003, 'On Foreign Exchange Regulation and Currency Control' (as amended) (hereinafter, Federal Law No. 173-FZ).

The term 'authorised Agent' is used in accordance with the Bank of Russia Instruction No. 181-I, dated 16 August 2017, 'On the Procedure for Residents and Non-residents to Submit Documents and Information Confirming Currency Control Transactions to Authorised Agents, on Single Accounting and Reporting Forms Related to Currency Control Transactions, and the Procedure and Timeframes for Their Submission' (as amended) (hereinafter, the Bank of Russia Instruction No. 181-I).

Participant	Institution (or a person) participating in the Business Process, performing a certain Business Role or a task;
Business Role	Groups of actions, responsibilities, and authorities performed by the Participant in the Business Process;

3. Rules of the Interaction Models description

The creation of Interaction Models used to submit supporting documents and information for the purpose of conducting currency control transactions shall be performed in accordance with the currency control laws of the Russian Federation,² The Bank of Russia regulations, and the documents on international financial (payment) messages based on the ISO 20022 standard (hereinafter, ISO 20022 Documents), including:

- 1) The Bank of Russia Instruction No. 181-I establishes procedures for authorised Agents to verify documents and information submitted by residents, including:
 - the availability of information on the code of the transaction type, the availability of information on the unique number of a contract (loan agreement), the availability of information on the expected timing for the repatriation of foreign currency and/or the national currency of the Russian Federation, and on the check of the expected timeframes for the repatriation of foreign currency and/or the national currency of the Russian Federation for compliance with the deadline for the accomplishment of contractual obligations;
 - the compliance of the transaction type code submitted by the resident to the authorised Agent or specified in the settlement document on the transaction with the information and documents related to the transaction that were submitted by the resident;
 - the compliance of the information (including the code of the supporting document type) specified by the resident in the certificate on supporting documents with the information in the supporting documents submitted by the resident, except the information on the expected timeframes for the repatriation of foreign currency and/or the national currency of the Russian Federation;
 - the sufficiency of documents and information, including those submitted by the resident for the registration (acceptance for servicing) of the contract (loan agreement), as well as the availability in the contract (loan agreement) of the information needed to the authorised Agent to exercise Currency Control, including over compliance with Articles 19 and 24 of Federal Law No. 173-FZ;
 - proper fulfilment by the resident of the procedure for filling in and submitting relevant documents and information established by the requirements of the currency control legislation of the Russian Federation;
 - the availability of the complete package of documents needed to the authorised Agent to independently fill in Currency Control documents in accordance with the requirements of the currency control legislation of the Russian Federation.
- 2) The exchange of financial messages in the course of money transfers, including transfers from a resident's transit currency account, is similar to the exchange of financial messages in the NPS when funds are transferred at the payer's initiative, which is described in The Bank of Russia Standard STO BR NPS-2.1-2020 'Financial Messages in the NPS. Credit Transfer. Interaction Models', and is not covered in this Standard.
- 3) This Standard does not cover the exchange of necessary information/documents when a contract (loan agreement) is concluded between a resident and a non-resident. In this situation, the parties may interact directly with each other via additional communication channels.
- 4) The following is presented below, subject to Clauses 1–3 of this section of the Standard:
 - The Interaction Model when a resident submits Currency Control documents related to a transaction
 - The Interaction Model for Contract registration
 - The Interaction Model for submitting supporting documents on a Contract serviced by an authorised Agent
 - The Interaction Model for Contract registration in connection with the full assignment of a claim or the full transfer of debt under this Contract to another resident
 - The Interaction Model for Contract registration in connection with its transfer from another authorised Agent
 - The Interaction Model when an authorised Agent³ is reorganised or its branch is closed.

The Interaction Models assume the successful completion of all types of verification procedures for documents and information submitted by residents. If the result of the verification specified in Clause 1 of this Section is negative, the

² Including: Federal Law No. 173-FZ; the Bank of Russia Instruction No. 111-I, dated 30 March 2004, 'On the Mandatory Partial Sale of Currency Control Revenues in the Domestic Currency Control Market of the Russian Federation' (as amended) (the Bank of Russia Instruction No. 111-I); and the Bank of Russia Instruction No. 181-I.

³ The term 'authorised Agent' (a bank registering or servicing a contract) is used in accordance with the Bank of Russia Instruction No. 181-I.

authorised Agent shall return the documents and information submitted by the resident by sending a report on the status of Currency Control documents, specifying the date of and the reason for the refusal to accept them. This process is not considered separately (as an independent one) in this Standard.

5) The Interaction Models (including scenarios), the process of sending information/documents to the Bank of Russia as part of reporting is described for information purposes; the types of messages and actions performed as part of this process are not considered in this Standard.

6) The following types of lines are used to illustrate financial messaging in the Standard:

TABLE 3.1: TYPES OF LINES

TYPE OF LINE	GRAPHICAL PRESENTATION	PURPOSE
Solid thin line	—————	Basic process of messaging
Dashed line	- - - - -	Additional process of messaging (as agreed upon by the parties)/auxiliary process
Solid blue line	—————	Process of messaging between the Debtor and the Creditor without the involvement of the Debtor Agent and the Creditor Agent

4. Communication Model when a resident submits Currency Control documents related to a transaction

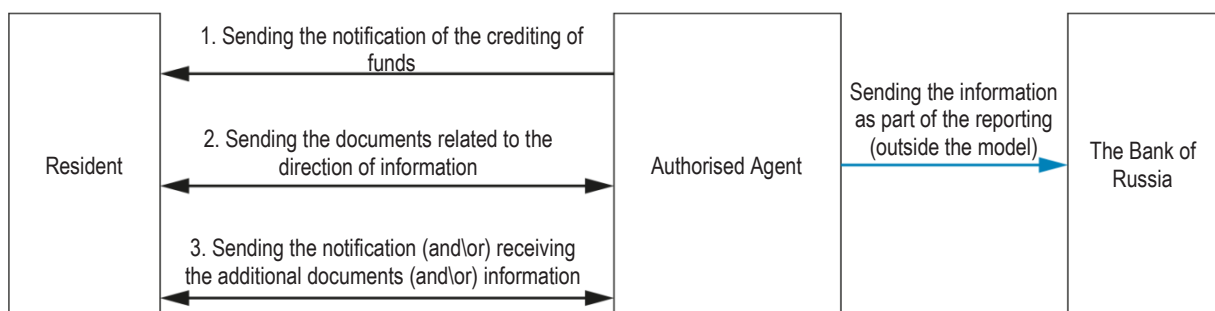
4.1. Review Level

The Interaction Model when a resident submits Currency Control documents related to a transaction is described in accordance with the requirements of chapter 2 of The Bank of Russia Instruction No. 181-I and comprises the following processes:

- Sending a notification about the crediting of funds (when funds are credited to the resident's account);
- Sending documents and/or information related to the transaction;
- Sending a request and/or receiving additional documents and/or information (if the information submitted is insufficient for the authorised Agent to specify the transaction type code in the transaction data).

Figure 4.1 The Interaction Model when the resident submits Currency Control documents related to the transaction, with account of the processes and roles used therein.

Figure 4.1. INTERACTION MODEL WHEN A RESIDENT SUBMITS CURRENCY CONTROL DOCUMENTS RELATED TO A TRANSACTION



If foreign currency is credited to the resident's transit currency account, the authorised Agent sends a notification to the resident about the crediting of foreign currency in accordance with the Bank of Russia Instruction No. 111-I.

If the national currency of the Russian Federation is credited to the resident's current account, the authorised Agent (as agreed upon between the parties) sends a notification to the resident about the crediting of national currency of the Russian Federation to the resident's current account.

STO BR NPS-7.0-2020

When foreign currency (the currency of the Russian Federation) is credited to the resident's transit currency account (current account) by the resident, the latter submits documents and/or information⁴ related to the transactions to the authorised Agent, except for the cases stipulated in chapter 2 of The Bank of Russia Instruction No. 181-I.

When the national currency of the Russian Federation received from a non-resident is credited to the resident's current account in Russian currency, if the resident disagrees with the transaction type code specified in the settlement document received from the non-resident or if there is no transaction type code specified in the settlement document, the resident may submit to the authorised Agent the information on the transaction type code corresponding to the documents on the transaction together with the documents on the transaction.

When foreign currency (the national currency of the Russian Federation) is debited from the resident's current account, the resident submits documents and/or information⁵ on the transactions to the authorised Agent, together with (if needed) with the funds transfer order, except for the cases provided for in chapter 2 of The Bank of Russia Instruction No. 181-I.

If the documents submitted by the resident in respect of the transactions contain insufficient information to determine the transaction type code (to specify the transaction type code in the transaction data), the authorised Agent requests the resident to provide additional documents and/or information that would make it possible to specify the transaction type code conforming to the nature of the transaction in the transaction data, and the resident submits them.

The resident may submit additional documents and/or information to the authorised Agent without the latter's request so that the relevant transaction type code can be specified in the transaction data.

In the cases stipulated by The Bank of Russia Instruction No. 181-I, the authorised Agent independently specifies the information on the crediting of funds to the resident's transit currency account (current account), including the foreign currency transaction code, in the transaction data (without the submission of documents related to the transactions by the resident). The authorised Agent may notify the resident of the transaction type code specified by the Agent in the information on the transactions; if the resident disagrees with the transaction code type assigned by the authorised Agent, the resident may provide information to the authorised Agent about changing the transaction type code as well as documents related to the transaction.

Taking into account the documents and information received from the resident, the authorised Agent specifies in the transaction data the relevant information on the transactions for the crediting of funds to the resident's transit currency account (current account) (the debiting of funds from the resident's current account).

Based on the transaction data, the authorised Agent generates and sends Currency Control reports to the Bank of Russia (beyond the model).

The following roles presented in Table 4.1 are provided for in the course of the above processes:

TABLE 4.1. BUSINESS ROLES

Business Processes	Business Roles
Sending the notification of the crediting of funds	Resident Authorised Agent
Sending documents and/or information related to the transaction	Resident Authorised Agent
Sending a request and/or receipt of additional documents and/or information	Resident Authorised Agent

4.2. Conceptual level

4.2.1. Sending a notification of the crediting of funds (when funds are credited to the resident's account)

FIGURE 4.2. INTERACTIONS BUSINESS ROLE

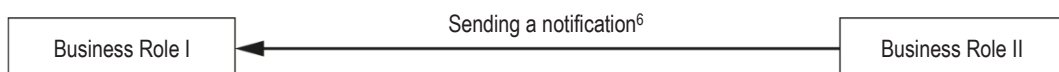


TABLE 4.2. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
-----------------	------------------

⁴ On the transaction type code and the unique contract number (if necessary) pursuant to the Bank of Russia Instruction No. 181-I.

⁵ On the transaction type code, the unique contract number (if needed) and the expected timeframes for the repatriation of foreign currency and/or the national currency of the Russian Federation (if needed) in accordance with the Bank of Russia Instruction No. 181-I.

⁶ If needed, a message about the cancellation of a previously sent notice is to be sent.

Resident	Authorised Agent
----------	------------------

4.2.2. Sending documents and/or information related to the transaction

FIGURE 4.3. BUSINESS ROLE INTERACTIONS

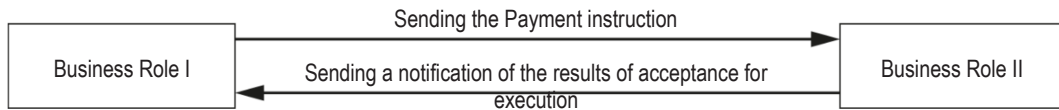


TABLE 4.3. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	Authorised Agent
Authorised Agent ⁷	Resident

4.2.3. Sending of a request and/or receipt of additional documents and/or information (if information submitted is insufficient for the authorised Agent to specify the transaction type code in transaction data)

FIGURE 4.4. INTERACTIONS BUSINESS ROLE

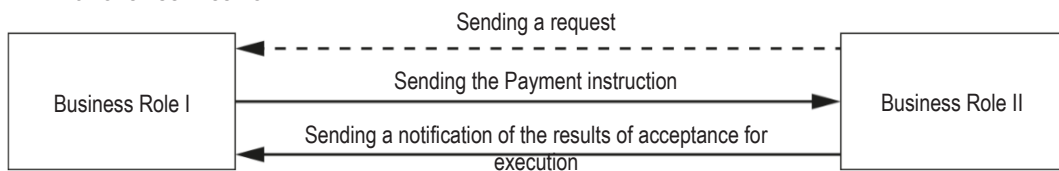


TABLE 4.4. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	Authorised Agent

4.2.4. Messages used in the Interaction Model

To perform the actions between the two roles within the Interaction Model when a resident submits Currency Control documents related to the performance of a transaction, the following financial messages from the set of messages developed based on the ISO 20022 standard are used.

TABLE 4.5. Messages used in the NPS

Message name	Message action
PaymentRegulatoryInformationNotification/auth.024/	sending by the resident to the authorised Agent of documents and/or information related to a transaction for the crediting (debiting) of funds
CurrencyControlSupportingDocumentDelivery/auth.025/	sending the certificate of supporting documents by the resident to the authorised Agent (if needed, together with supporting documents related to the transaction for the crediting (debiting) of funds)
CurrencyControlRequestOrLetter/auth.026/	sending by the authorised Agent to the resident the notification of the crediting of funds / the message about the cancellation of the previously sent notification on the crediting of funds
	sending a request by the authorised Agent to the resident to submit additional documents and/or information for specifying the transaction type code in the transaction data
	sending additional documents and/or information by the resident to the authorised Agent for specifying the transaction type code in the transaction data
CurrencyControlStatusAdvice/auth.027/	sending a report on the status of Currency Control documents by the authorised Agent to the resident

⁷ If the authorised Agent specifies data on transactions on its own (in accordance with the Bank of Russia Instruction No. 181-I), including the transaction type code (notification of the resident), the resident does not send a status report.

4.2.5. Basic scenarios of the Interaction Models when a resident submits Currency Control documents related to a transaction

Scenario 1. Identification by a Customer of Agent 'A', acting as a resident, of a transaction for the crediting of foreign currency to its transit currency account with Agent 'A', acting as an authorised Agent, without the Customer of Agent 'A' submitting the certificate of supporting documents and without Agent 'A' requesting additional documents and/or information.

FIGURE 4.5. MESSAGING, SCENARIO 1

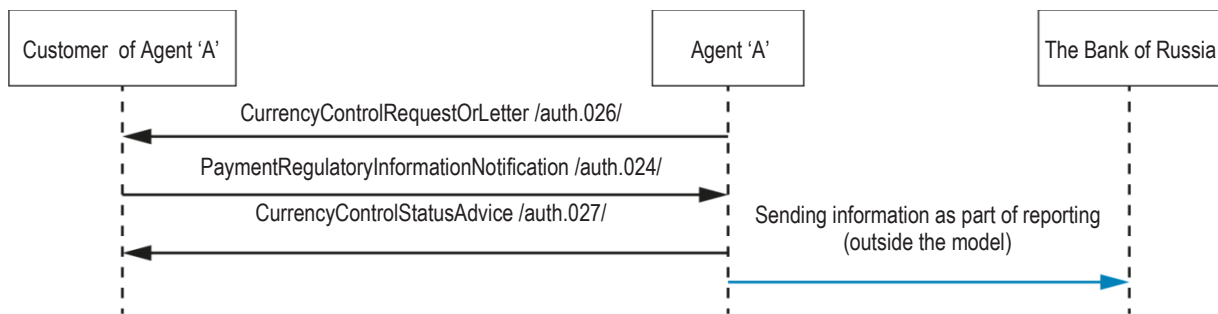


TABLE 4.6. INTERACTING BUSINESS ROLES, SCENARIO 1

Business Processes	Business Roles	Participants of the funds transfer
Sending the notification of the crediting of funds	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'
Sending documents and/or information related to the transaction	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

Scenario 2. Identification by a Customer of Agent 'A', acting as a resident, of a transaction for the crediting of the national currency of the Russian Federation to the Client's current account with Agent 'A', acting as the authorised Agent, with the Customer of Agent 'A' submitting the certificate of supporting documents at the request of Agent 'A' (without sending the notification of the crediting of funds).

FIGURE 4.6. MESSAGING, SCENARIO 2

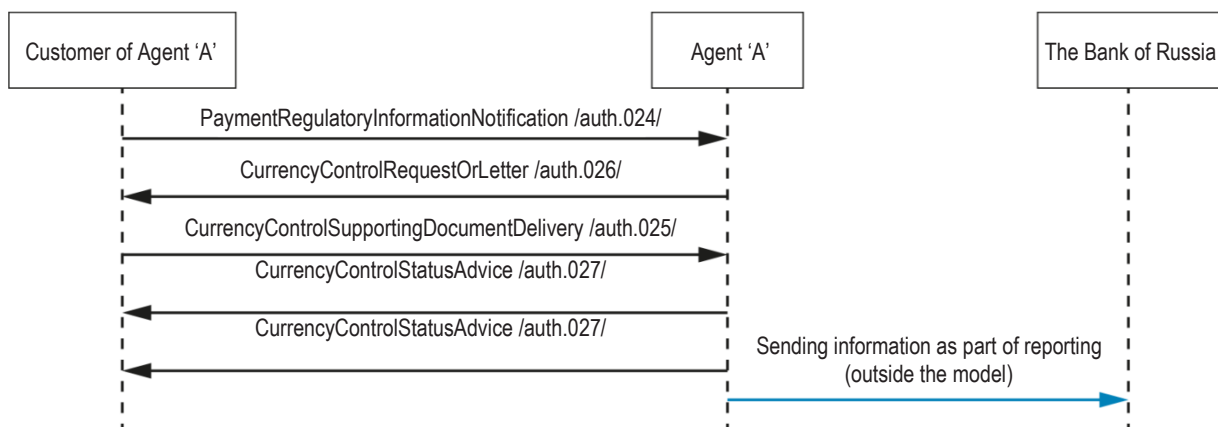


TABLE 4.7. INTERACTING BUSINESS ROLES, SCENARIO 2

Business Processes	Business Roles	Participants of the funds transfer
Sending documents and/or information related to a transaction	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'
Sending a request and/or receipt of additional documents and/or information	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

Scenario 3. Together with an order for the debiting of previously credited foreign currency from its transit currency account, a Customer of Agent 'A', acting as a resident, submits to Agent 'A', acting as an authorised Agent, information on the transaction type code and documents related to the transactions, as well as additional documents (including the certificate of supporting documents) and information on the unique contract number (without a request from Agent 'A').

FIGURE 4.7. MESSAGING, SCENARIO 3

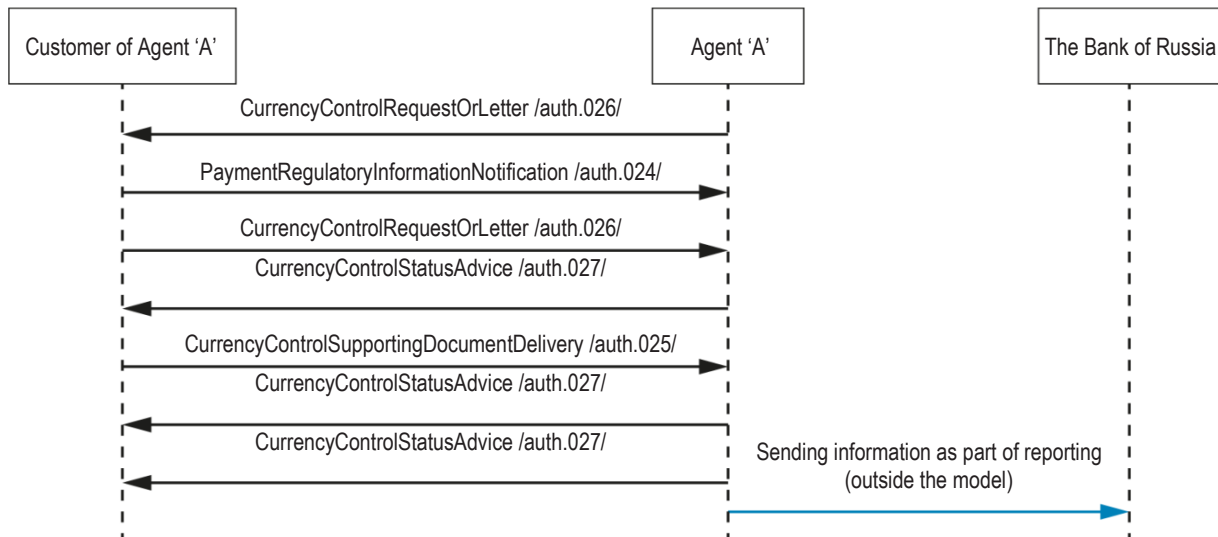


TABLE 4.8 INTERACTING BUSINESS ROLES, SCENARIO 3

Business Processes	Business Roles	Participants of the funds transfer
Sending the notification of the crediting of funds	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'
Sending documents and/or information related to the transaction	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'
Sending a request and/or receipt of additional documents and/or information	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

Scenario 4. Effecting a foreign currency payment under an import contract by a Customer of Agent 'A', acting as a resident, from the Client's current account with Agent 'A', acting as the authorised Agent, without the Customer of Agent 'A' submitting the certificate of supporting documents and without Agent 'A' requesting additional documents and/or information.

FIGURE 4.8. MESSAGING, SCENARIO 4

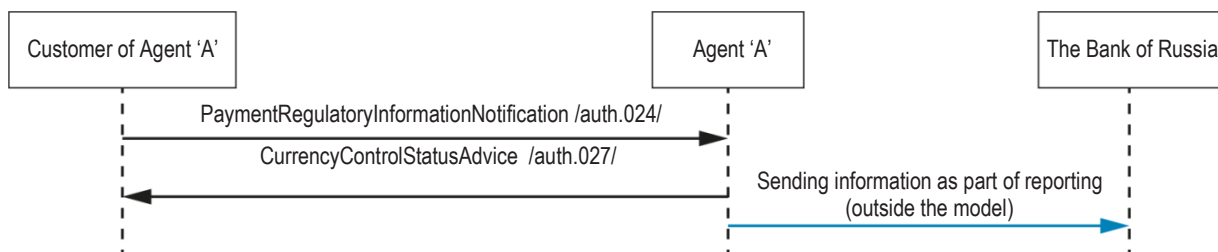


TABLE 4.9. INTERACTING BUSINESS ROLES, SCENARIO 4

Business Processes	Business Roles	Participants of the funds transfer
Sending documents and/or information related to the transaction	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

Scenario 5. Effecting a payment in the national currency of the Russian Federation under an import contract registered by a Customer of Agent 'A', acting as a resident, along with the specification of the unique number of this contract in the

settlement document and the submission of the certificate of supporting documents together with supporting documents at the request of Agent 'A', acting as the authorised Agent.

FIGURE 4.9. MESSAGING, SCENARIO 5

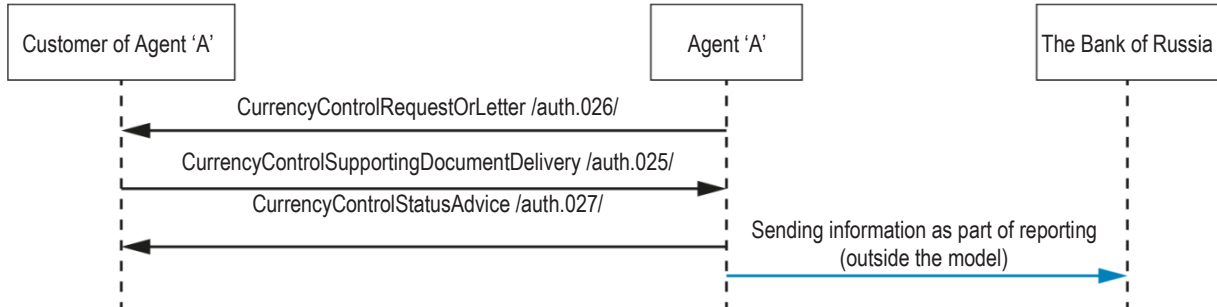


TABLE 4.10. INTERACTING BUSINESS ROLES, SCENARIO 5

Business Processes	Business Roles	Participants of the funds transfer
Sending a request and/or receipt of additional documents and/or information	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

5. Interaction Model for Contract registration

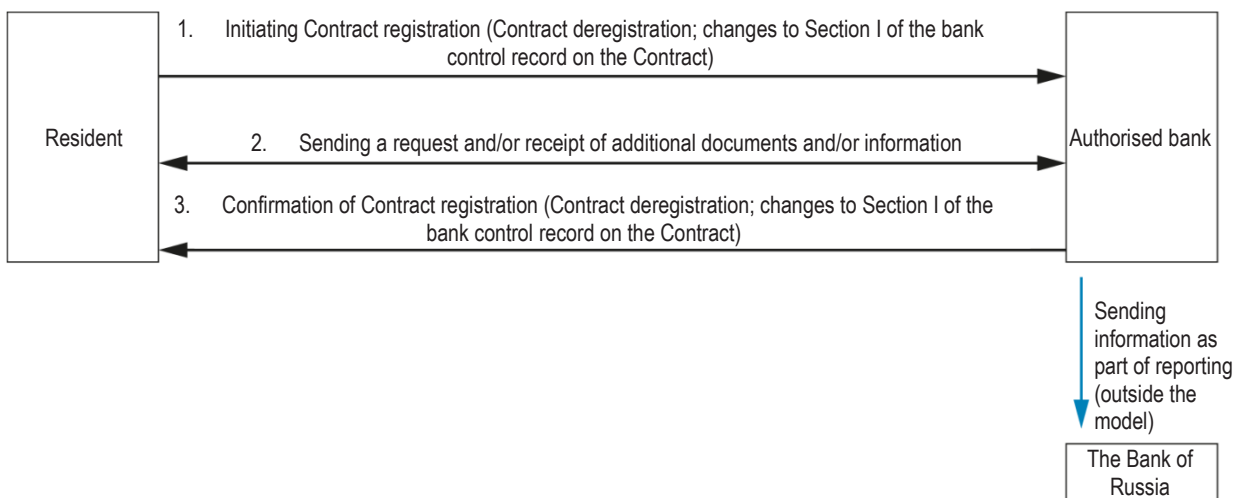
5.1. Review level

The Interaction Model for Contract registration is described in accordance with the requirements of chapters 5, 6 and 7 of The Bank of Russia Instruction No. 181-I and comprises the following processes:

- Initiation of Contract registration (Contract deregistration at the resident's initiative; changes (at the resident's initiative) to Section I of the Statement of bank control on the Contract being serviced by the authorised Agent)
- Sending a request and/or receipt of additional documents and/or information (if the information submitted is insufficient for the authorised Agent to fill in Section I of the Statement of bank control)
- Confirmation of Contract registration (Contract deregistration; changes to Section I of the Statement of bank control on the Contract being serviced by the authorised Agent).

Figure 5.1 shows the Interaction Model for Contract registration, with account of the processes and roles used therein.

FIGURE 5.1. CONTRACT REGISTRATION FOR INTERACTION MODEL



The resident who is a party to the Contract initiates its registration by submitting the documents provided for by The Bank of Russia Instruction No. 181-I to the authorised Agent.

If the documents and information submitted by the resident to the authorised Agent are not sufficient for the authorised Agent to fill in Section I of the Statement of bank control, the authorised Agent requests the resident to provide additional documents and/or information to be able to fill in Section I of the Statement of bank control, and the resident submits them.

The authorised Agent accepts the Contract for registration, assigns a unique number thereto, and creates a Statement of bank control (fills in Section I of the Statement of bank control). To confirm the Contract registration, the authorised Agent sends the unique number of the registered Contract and the date of its registration to the resident, as well as the Statement of bank control if requested by the resident or agreed upon by the parties.

The Interaction Model for Contract registration provides for the possibility to deregister the Contract at the resident's initiative or change the information (at the resident's initiative) specified in Section I of the Statement of bank control on the Contract being serviced by the authorised Agent. These processes are performed similarly to the Interaction Model presented in Figure 5.1.

In accordance with The Bank of Russia Instruction No. 181-I, Contract deregistration may be initiated by either the resident or the authorised Agent.

The resident initiates Contract deregistration by submitting an application for the deregistration of the Contract to the authorised Agent together with the documents needed for its deregistration in accordance with the requirements of The Bank of Russia Instruction No. 181-I.

The authorised Agent checks the application for the Contract deregistration, the document package submitted for completeness, and the conformity of the grounds for the deregistration of the Contract to the information in the documents submitted or other information available to the authorised Agent in connection with the resident's transactions, and makes a decision on the Contract deregistration.⁸

In the cases established by The Bank of Russia Instruction No. 181-I (to confirm the Contract deregistration), the authorised Agent notifies the resident of the date of the Contract deregistration / provides the information specified in Section I of the Statement of bank control to the resident / provides the Statement of bank control if requested by the resident.

The authorised Agent may independently deregister the Contract in the cases stipulated by The Bank of Russia Instruction No. 181-I. In this case, the authorised Agent must notify the resident of the Contract deregistration.

In accordance with The Bank of Russia Instruction No. 181-I, changes to the information on the Contract (being serviced by the authorised Agent) specified in Section I of the Statement of bank control may be initiated by either the resident or the authorised Agent.

If the resident initiates changes to the information on the Contract accepted for registration, the resident submits to the authorised Agent an application for changing Section I of the Statement of bank control and (if necessary) documents confirming the need to introduce changes to Section I of the Statement of bank control in the cases stipulated by The Bank of Russia Instruction No. 181-I.

The authorised Agent checks the application for changing Section I of the Statement of bank control, the document package submitted for completeness, and the presence and conformity of the grounds for changing Section I of the Statement of bank control, and makes a decision on changing Section I of the Statement of bank control.⁹

In the cases stipulated by The Bank of Russia Instruction No. 181-I, the authorised Agent introduces changes to Section I of the Statement of bank control independently, without the resident submitting an application for changing Section I of the Statement of bank control.

In accordance with The Bank of Russia Instruction No. 181-I, the authorised Agent sends to the resident the confirmation of changes introduced to Section I of the Statement of bank control.

The authorised Agent sends information on the registered Contract (the Statement of bank control on the deregistered Contract, information on changes in the information specified in Section I of the Statement of bank control on the Contract serviced by the authorised Agent) to the Bank of Russia as part of reporting on Currency Control (beyond the model).

The following roles presented in Table 5.1 are provided for in the course of the above processes:

⁸ If the Agent rejects the resident's application for Contract deregistration, it returns the documents and information submitted by the resident by sending a report on the status of Currency Control documents, specifying the date of and the reason for the refusal to accept them. This process is not considered separately (as an independent one) in this Standard.

⁹ If the Agent rejects the resident's application for changing Section I of the Agent control record, the bank returns the documents and information submitted by the resident by sending a report on the status of Currency Control documents, specifying the date of and the reason for the refusal to accept them. This process is not considered separately (as an independent one) in this Standard.

TABLE 5.1. BUSINESS ROLES

Business Processes	Business Roles
Initiation of Contract registration (Contract deregistration; changes to Section I of the bank control record on the Contract)	Resident Authorised Agent
Sending a request and/or receipt of additional documents and/or information	Resident Authorised Agent
Confirmation of Contract registration (Contract deregistration; changes to Section I of the bank control record on the Contract)	Resident Authorised Agent

5.2. Conceptual level

5.2.1. Initiating Contract registration / changes (at the resident’s initiative)

FIGURE 5.2. INTERACTIONS BUSINESS ROLE

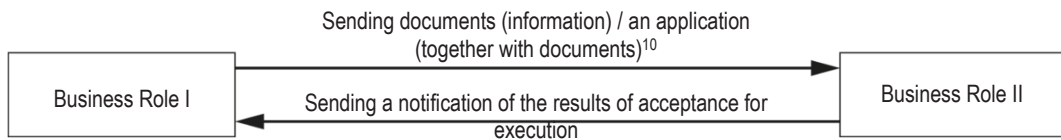


TABLE 5.2. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	Authorised Agent

5.2.2. Initiating Contract deregistration

FIGURE 5.3. INTERACTIONS BUSINESS ROLE ¹¹

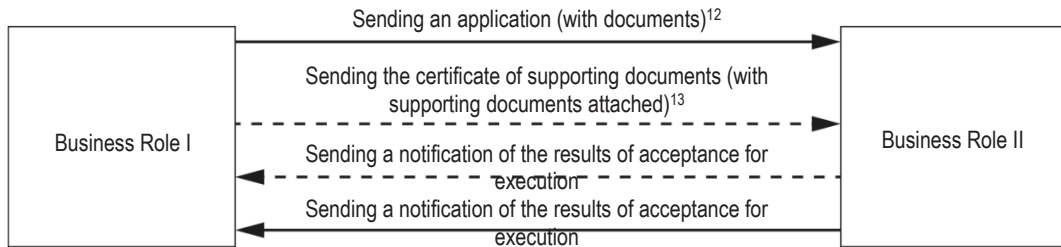


TABLE 5.3. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	Authorised Agent

¹⁰ If the Bank of Russia Instruction No. 181-I provides for the submission by the resident of any documents simultaneously with the application for changing Section I of the bank control record.

¹¹ The dashed line type means that the action is performed in individual cases stipulated by the requirements of Bank of Russia Instruction No. 181-I (for all processes of the model).

¹² If the Bank of Russia Instruction No. 181-I provides for the submission by the resident of any documents simultaneously with the application for the Contract (loan agreement) deregistration.

¹³ ‘Sending supporting documents’ – if in accordance with the terms of the contract the resident entitles the authorised bank to independently prepare the certificate of supporting documents.

5.2.3. Sending a request and/or receipt of additional documents and/or information

FIGURE 5.4. INTERACTIONS BUSINESS ROLE

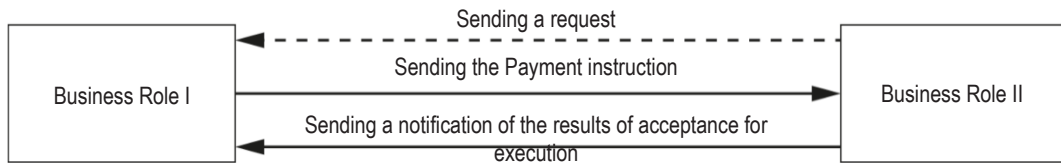


TABLE 5.4. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	Authorised Agent

5.2.4. Confirming Contract registration / deregistration

FIGURE 5.5. INTERACTIONS BUSINESS ROLE

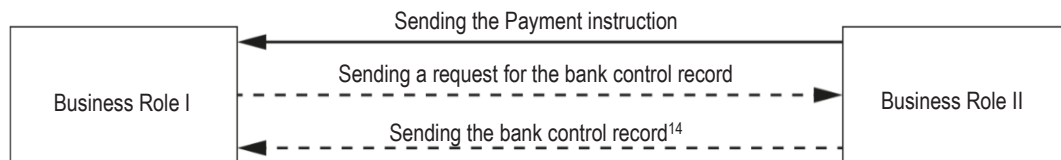


TABLE 5.5. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	Authorised Agent

5.2.5. Confirming changes to Section I of the Statement of bank control on the Contract serviced by the authorised Agent

FIGURE 5.6. INTERACTIONS BUSINESS ROLE

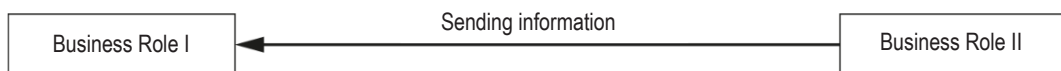


TABLE 5.6. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	Authorised Agent

5.2.6. Messages used in the Interaction Model

For the performance of actions between the two roles within the Interaction Model in the course of Contract registration, the following financial messages from the set of messages developed based on the ISO 20022 standard may be used.

TABLE 5.7. MESSAGES USED IN THE NPS

Message name	Message action
ContractRegistrationRequest /auth.018/	sending by the resident documents and/or information required by the foreign exchange legislation of the Russian Federation for Contract (loan agreement) registration to the authorised Agent
ContractRegistrationClosureRequest /auth.020/	sending by the resident an application for contract (loan agreement) deregistration and, if needed, documents required by The Bank of Russia Instruction No. 181-I for contract (loan agreement) deregistration
ContractRegistrationAmendmentRequest /auth.021/	submission by the resident to the authorised Agent of an application for changing Section I of the Statement of bank control and, if necessary, documents confirming the need to change

¹⁴ As agreed, upon by the parties or as requested by the resident.

Message name	Message action
	Section I of the Statement of bank control in the cases stipulated by The Bank of Russia Instruction No. 181-I
CurrencyControlSupportingDocumentDelivery /auth.025/	sending the certificate of supporting documents together with supporting documents to the authorised Agent by the resident for contract (loan agreement) deregistration in the cases stipulated by The Bank of Russia Instruction No. 181-I
CurrencyControlStatusAdvice /auth.027/	sending by the authorised Agent to the resident a report on the status of Currency Control documents submitted by the client
CurrencyControlRequestOrLetter /auth.026/	sending a request by the authorised Agent to the resident for additional documents and/or information needed to the authorised Agent to fill in Section I of the Statement of bank control
	sending by the resident to the authorised Agent additional documents and/or information needed to the authorised Agent to fill in Section I of the Statement of bank control
ContractRegistrationConfirmation /auth.019/	sending information by the authorised Agent on the unique number of the contract (loan agreement) accepted for registration and the date of its registration / on the deregistration (deregistration date) of the contract (loan agreement) / on Section I of the Statement of bank control, including changes introduced therein, in accordance with The Bank of Russia Instruction No. 181-I
ContractRegistrationStatementRequest /auth.023/	sending a request for the Statement of bank control by the resident to the authorised Agent
ContractRegistrationStatement /auth.022/	sending the Statement of bank control by the authorised Agent to the resident in the cases stipulated by The Bank of Russia Instruction No. 181-I for contract (loan agreement) registration (deregistration)

5.2.7. The basis scenarios of Interaction Model for Contract registration

Scenario 1. The registration of an export contract by a Customer of Agent 'A', acting as a resident, when the Customer submits complete information for Agent 'A', acting as the authorised Agent, to fill in Section I of the Statement of bank control (without Agent 'A' requesting additional documents and/or information), and when the Customer of Agent 'A' requests Agent 'A' to submit the Statement of bank control upon contract registration.

FIGURE 5.7. MESSAGING, SCENARIO 1

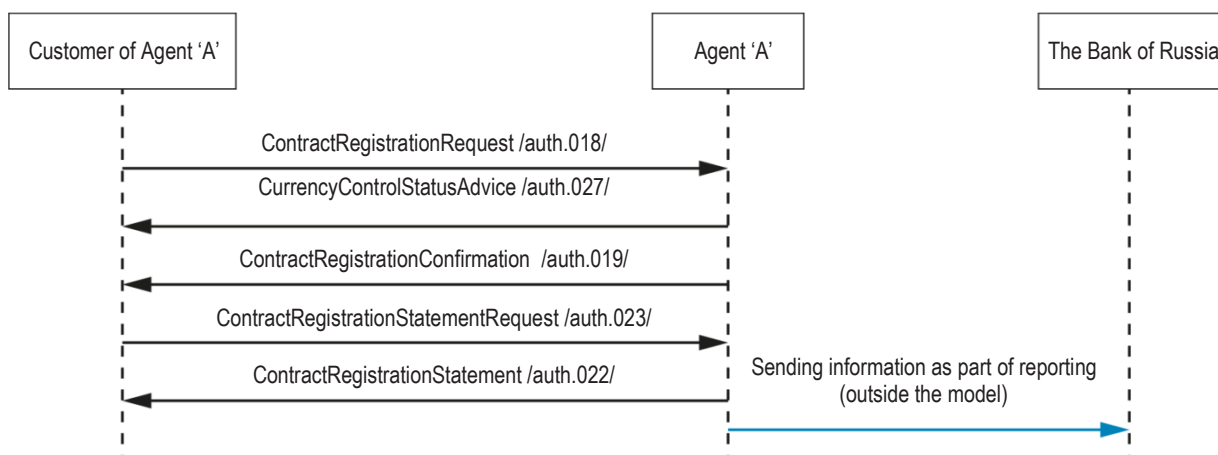


TABLE 5.8. INTERACTING BUSINESS ROLES, SCENARIO 1

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract registration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'
Confirmation of Contract registration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

Scenario 2. Registration of a loan agreement by a Customer of Agent 'A', acting as a resident, when the resident provides incomplete information for filling in Section I of the Statement of bank control by Agent 'A', acting as the authorised Agent (with a request from Agent 'A' for additional documents and/or information).

FIGURE 5.8. MESSAGING, SCENARIO 2

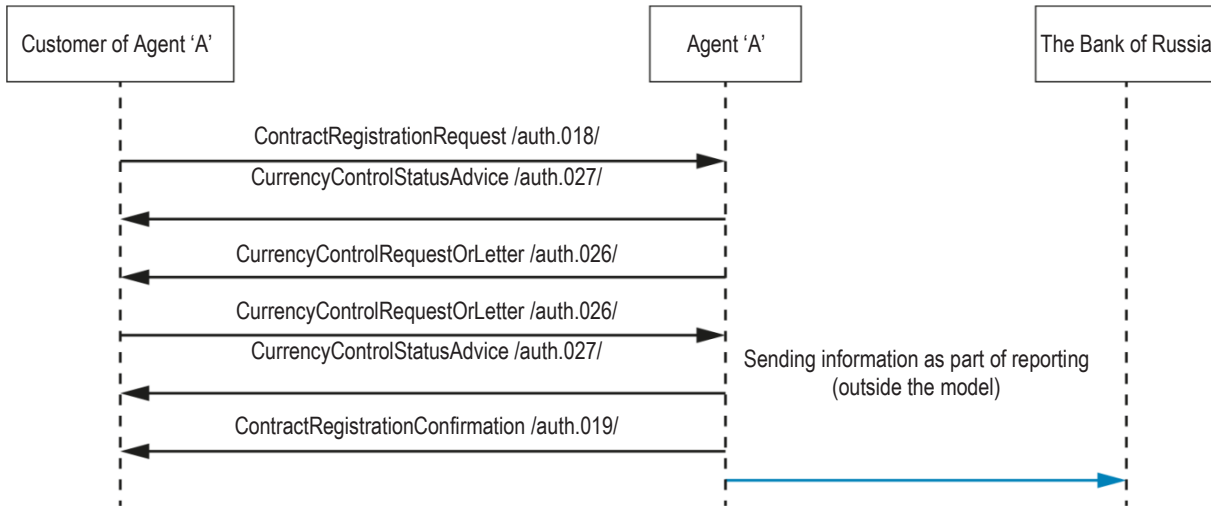


TABLE 5.9. INTERACTING BUSINESS ROLES, SCENARIO 2

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract registration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'
Sending a request and/or receipt of additional documents and/or information	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'
Confirmation of Contract registration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

Scenario 3. Following the assignment of a claim under an export contract by a Customer of Agent 'A', acting as a resident, to a non-resident company, the Customer of Agent 'A' provides documents to Agent 'A', acting as the authorised Agent, including (without a request from Agent 'A') the certificate of supporting documents, and deregisters the relevant contract receiving the Statement of bank control, as agreed upon by the parties (without the resident's request for the Statement of bank control).

FIGURE 5.9. MESSAGING, SCENARIO 3

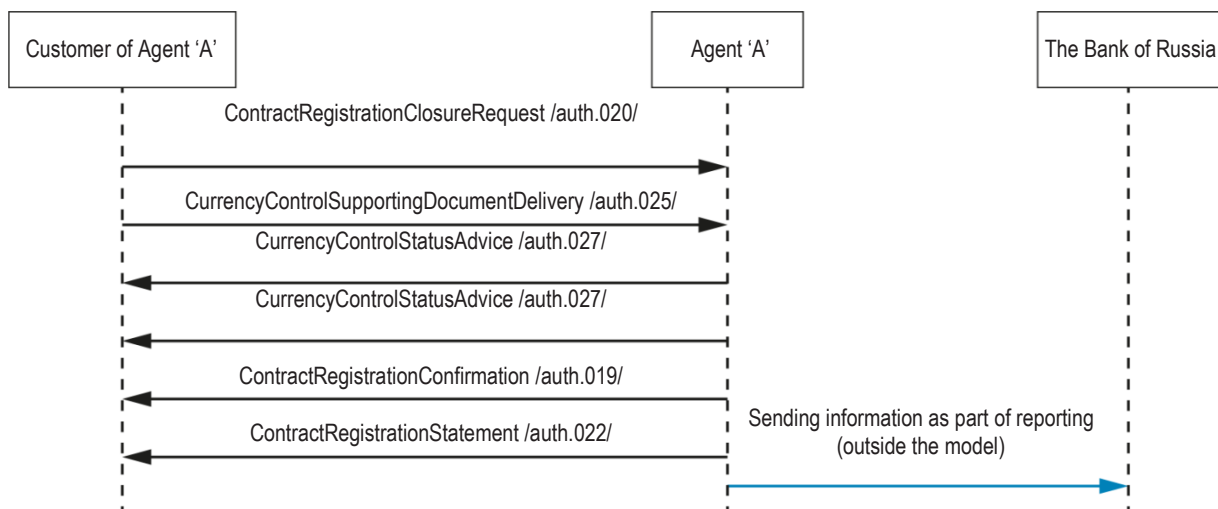


TABLE 5.10. INTERACTING BUSINESS ROLES, SCENARIO 3

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract deregistration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'
Confirmation of Contract deregistration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

Scenario 4. A Customer of Agent 'A', acting as a resident, deregisters an import contract after the resident closes all its current accounts with Agent 'A', acting as an authorised Agent.

FIGURE 5.10. MESSAGING, SCENARIO 4

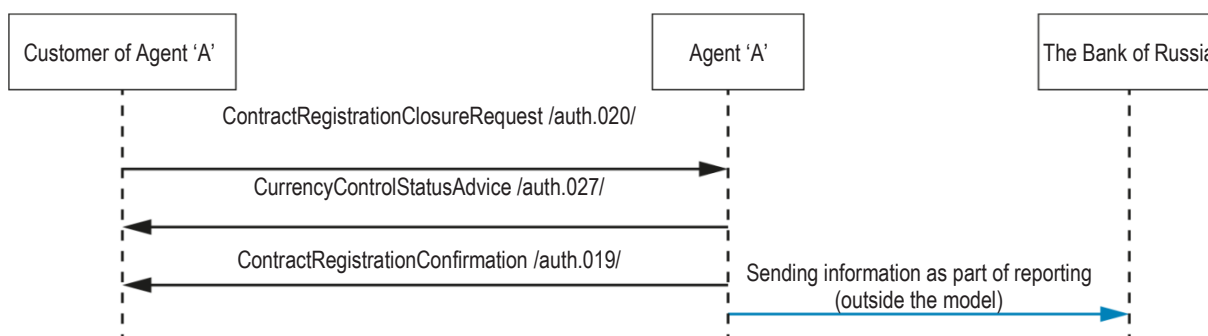


TABLE 5.11. INTERACTING BUSINESS ROLES, SCENARIO 4

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract deregistration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'
Confirmation of Contract deregistration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

Scenario 5. Independent deregistration of a loan agreement by Agent 'A', acting as an authorised Agent, after the expiration of the period stipulated by The Bank of Russia Instruction No. 181-I, due to the fulfilment of all obligations thereunder and the failure of a Customer of Agent 'A', acting as a resident, to submit an application for the deregistration of the relevant loan agreement.

FIGURE 5.11. MESSAGING, SCENARIO 5

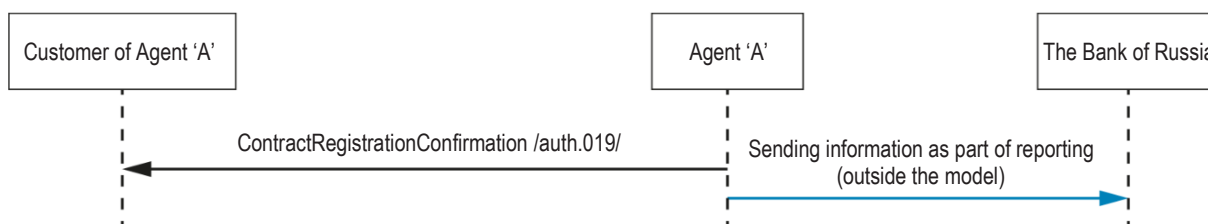


TABLE 5.12. INTERACTING ROLES, SCENARIO 5

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract deregistration	Authorised Agent	Agent 'A'
Confirmation of Contract deregistration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

Scenario 6. A Customer of Agent ‘A’, acting as a resident, deregisters an import contract at Agent ‘A’, acting as an authorised Agent, due to the termination of the grounds for its registration as a result of amendments introduced thereto – requesting Agent ‘A’ to provide the Statement of bank control upon contract deregistration (without a request from Agent ‘A’ for additional documents and/or information).

FIGURE 5.12. MESSAGING, SCENARIO 6

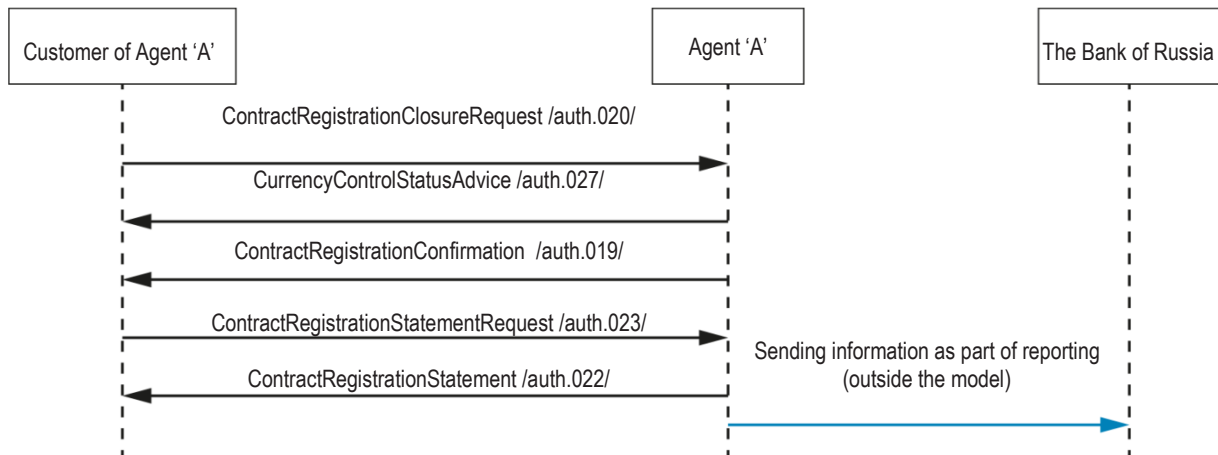


TABLE 5.13. INTERACTING BUSINESS ROLES, SCENARIO 6

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract deregistration	Resident	Customer of Agent ‘A’
	Authorised Agent	Agent ‘A’
Confirmation of Contract deregistration	Resident	Customer of Agent ‘A’
	Authorised Agent	Agent ‘A’

Scenario 7. A Customer of Agent ‘A’, acting as a resident, extends the date for the accomplishment of obligations under an import contract valid until the parties fulfil their obligations and serviced by Agent ‘A’, acting as an authorised Agent (without Agent ‘A’ requesting additional documents and/or information).

FIGURE 5.13. MESSAGING, SCENARIO 7

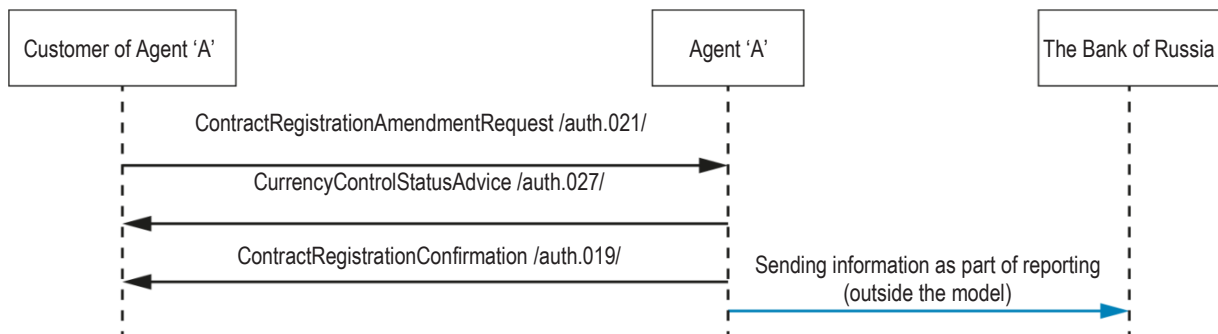


TABLE 5.14. INTERACTING BUSINESS ROLES, SCENARIO 7

Business Processes	Business Roles	Participants of the funds transfer
Initiation of changes to the information on the Contract accepted for registration	Resident	Customer of Agent ‘A’
	Authorised Agent	Agent ‘A’
Confirmation of changes to the information on the Contract accepted for registration	Resident	Customer of Agent ‘A’
	Authorised Agent	Agent ‘A’

Scenario 8. Changing of the information on a loan agreement of a Customer of Agent 'A', acting as a resident, in connection with the reorganisation of Agent 'A', acting as an authorised Agent.

FIGURE 5.14. MESSAGING, SCENARIO 8

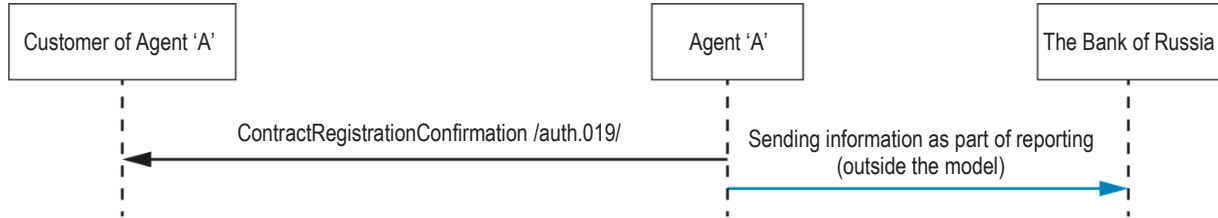


TABLE 5.15. INTERACTING BUSINESS ROLES, SCENARIO 8

Business Processes	Business Roles	Participants of the funds transfer
Initiation of changes to information on the Contract accepted for registration	Authorised Agent	Agent 'A'
Confirmation of changes to information on the Contract accepted for registration	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

6. Interaction Model for submitting supporting documents on a Contract serviced by an authorised Agent

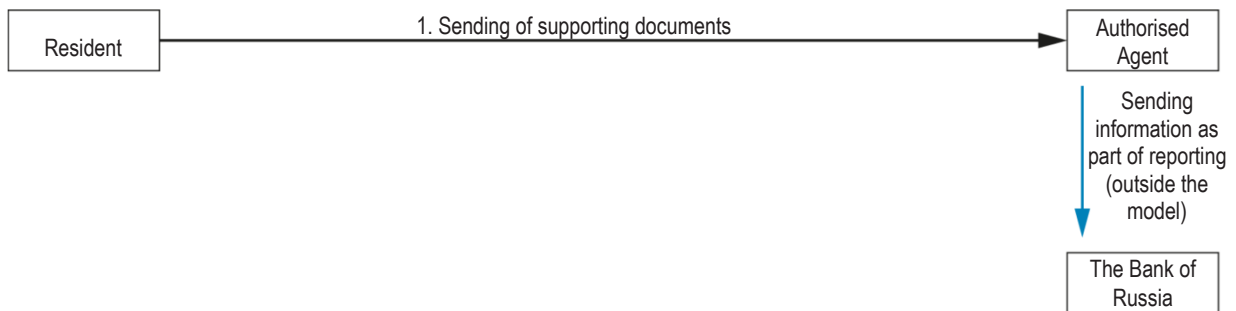
6.1. Review level

The Interaction Model for submitting supporting documents on a Contract serviced by an authorised Agent is described in accordance with the requirements of chapter 8 of The Bank of Russia Instruction No. 181-I. It assumes the successful completion of all types of procedures and involves the following process:

- sending of supporting documents.

Figure 6.1 shows the Interaction Model for submitting supporting documents on a Contract serviced by an authorised Agent, taking into account the process and roles.

FIGURE 6.1. INTERACTION MODEL FOR SUBMITTING SUPPORTING DOCUMENTS ON A CONTRACT SERVICED BY AN AUTHORISED AGENT



In the cases stipulated by the requirements of The Bank of Russia Instruction No. 181-I, the resident submits supporting documents to the authorised bank and, together with them (if needed), the certificate of supporting documents or the certificate of supporting documents without submitting the goods declaration. The authorised Agent makes a decision on whether to introduce changes in the Statement of bank control.¹⁵

If, pursuant to the terms of the contract, the resident entitles the authorised Agent to independently prepare the certificate of supporting documents based on the supporting documents submitted by the resident, the authorised Agent fills in the certificate of supporting documents on its own in accordance with The Bank of Russia Instruction No. 181-I.

¹⁵ If the authorised bank refuses to change the bank control record, it returns the documents and information submitted by the resident by sending a report on the status of Currency Control documents specifying the date of and the reason for the refusal to accept them. This process is not considered separately (as an independent one) in this Standard.

The authorised Agent sends information on supporting documents under the Contract serviced by the authorised Agent to the Bank of Russia as part of reporting on Currency Control (beyond the model).

The above processes provide for the following roles presented in Table 6.1:

TABLE 6.1. BUSINESS ROLES

Business Processes	Business Roles
Sending of supporting documents	Resident Authorised Agent

6.2. Conceptual level

6.2.1. Sending of supporting documents

FIGURE 6.2. INTERACTIONS BUSINESS ROLE

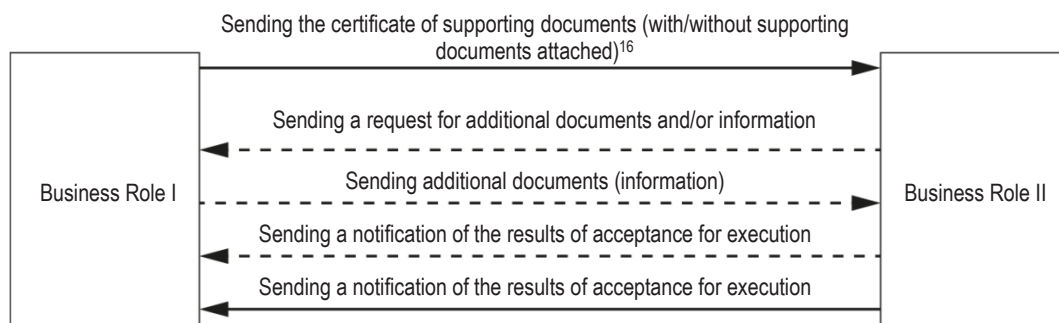


TABLE 6.2. INTERACTING BUSINESS ROLES

Business Role I	Business Role II
Resident	Authorised Agent

6.2.2. Messages used in the Interaction Model

To perform the actions between the two roles within the Interaction Model when submitting supporting documents for a Contract serviced by an authorised Agent, the following financial messages from the set of messages developed based on the ISO 20022 standard are used.

TABLE 6.3. MESSAGES THAT MAY BE USED IN THE NPS

Message name	Action performed using the message
CurrencyControlSupportingDocumentDelivery /auth.025/	sending the certificate of supporting documents by the resident to the authorised Agent with supporting documents or without goods declarations
CurrencyControlRequestOrLetter /auth.026/	sending supporting documents by the resident to the authorised Agent for the authorised Agent to independently prepare the certificate of supporting documents (if provided for by the contract between the Participants)
	sending a request for additional documents and/or information by the authorised Agent to the resident
	sending additional documents and/or information by the resident to the authorised Agent
CurrencyControlStatusAdvice /auth.027/	sending by the authorised Agent to the resident a report on the status of Currency Control documents submitted by the client

¹⁶ 'Sending supporting documents' – if pursuant to the terms of the contract the resident entitles the authorised bank to independently prepare the certificate of supporting documents.

6.2.3. Basis scenarios in the Interaction Model for submitting supporting documents for a Contract serviced by an authorised Agent

Scenario 1. A Customer of Agent ‘A’, acting as a resident, submits documents confirming the performance of work under an import contract earlier registered with Agent ‘A’, acting as an authorised Agent, as well as the certificate of supporting documents – without Agent ‘A’ requesting additional documents and/or information.

FIGURE 6.3. MESSAGING, SCENARIO 1

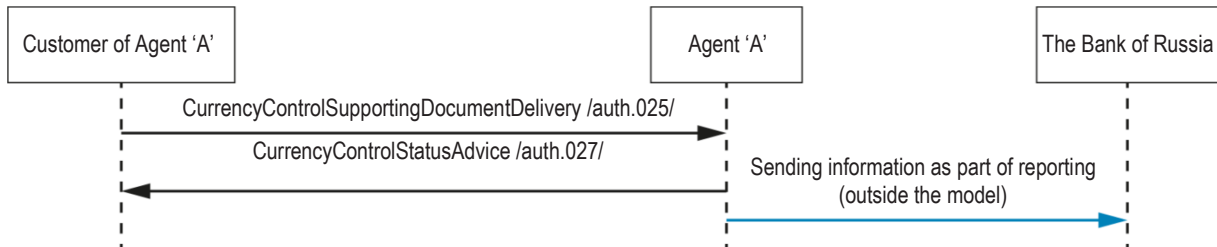


TABLE 6.4. INTERACTING BUSINESS ROLES, SCENARIO 1

Business Processes	Business Roles	Participants of the funds transfer
Sending of supporting documents	Resident	Customer of Agent ‘A’
	Authorised Agent	Agent ‘A’

Scenario 2. A Customer of Agent ‘A’, acting as a resident, submits documents confirming the performance of work under an import contract earlier registered with Agent ‘A’, acting as an authorised Agent, as well as the certificate of supporting documents – with Agent ‘A’ requesting additional documents and/or information from its Client.

FIGURE 6.4. MESSAGING, SCENARIO 2

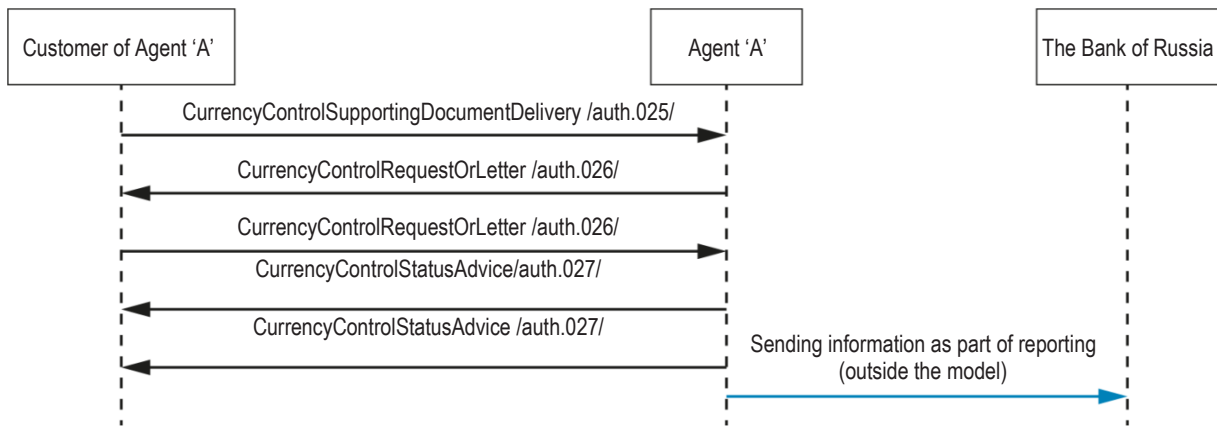


TABLE 6.5. INTERACTING BUSINESS ROLES, SCENARIO 2

Business Processes	Business Roles	Participants of the funds transfer
Sending of supporting documents	Resident	Customer of Agent ‘A’
	Authorised Agent	Agent ‘A’

Scenario 3. A Customer of Agent ‘A’, acting as a resident, submits documents confirming the performance of work under an import contract earlier registered with Agent ‘A’, acting as the authorised Agent. The Customer of Agent ‘A’ has entitled Agent ‘A’ to prepare the certificate of supporting documents independently based on the supporting documents submitted, without a request from Agent ‘A’ for additional documents and/or information.

FIGURE 6.5. MESSAGING, SCENARIO 3

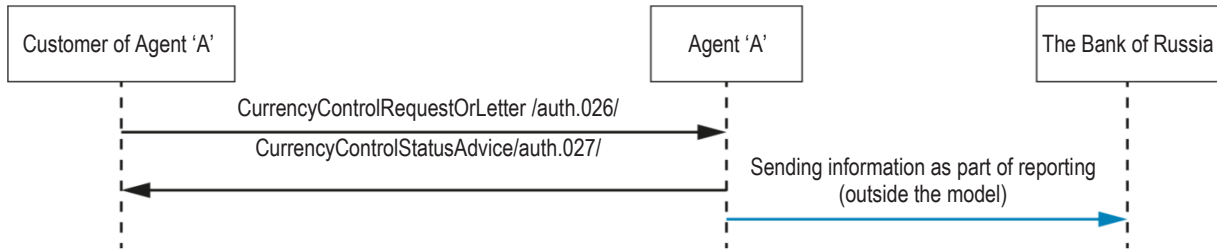


TABLE 6.6. INTERACTING BUSINESS ROLES, SCENARIO 3

Business Processes	Business Roles	Participants of the funds transfer
Sending of supporting documents	Resident	Customer of Agent 'A'
	Authorised Agent	Agent 'A'

7. Interaction Model for Contract registration in connection with the full assignment of a claim or the full transfer of debt thereunder to another resident

7.1. Review level

Should a resident transfer all its rights under a Contract (hereinafter, Resident 1) serviced by an authorised Agent by assigning a claim to another resident (including when rights are transferred to another resident on the basis of a federal law or judicial act), except for the case specified in Paragraph 10.14 of The Bank of Russia Instruction No. 181-I or the case of the full transfer by Resident 1 of debt under the Contract serviced by the authorised Agent to another resident (hereinafter, Resident 2 in this Interaction Model), Resident 1 shall deregister the Contract in accordance with the requirements of The Bank of Russia Instruction No. 181-I and the Interaction Model described in Section 5 of this Standard.

Resident 1 shall provide Resident 2 with the Contract or an extract from such Contract containing the information necessary for the new authorised Agent to register the Contract for Resident 2 and exercise Currency Control over the resident’s compliance with the requirements of Article 19 of Federal Law No. 173-FZ. Resident 1 shall as well as provide Resident 2 with the information contained in Section I of the Statement of bank control on the Contract obtained by Resident 1 from the authorised Agent in accordance with the requirements of The Bank of Russia Instruction No. 181-I. This standard does not cover the exchange of necessary documents and information between Resident 1 and Resident 2. The parties may interact directly with each other via additional communication channels.

The Interaction Model for Contract registration in connection with the full assignment of a claim or the full transfer of debt thereunder to another resident is described in relation to Resident 2 and the new authorised Agent in accordance with the requirements of Paragraph 10.2 of chapter 10 of The Bank of Russia Instruction No. 181-I and comprises the following processes:

- initiation of Contract registration
- confirmation of Contract registration.

Figure 7.1 shows the Interaction Model for Contract registration in connection with the assignment of a claim or the transfer of debt thereunder to another entity, taking into account the processes and roles used therein.

FIGURE 7.1. INTERACTION MODEL FOR CONTRACT REGISTRATION IN CONNECTION WITH THE FULL ASSIGNMENT OF A CLAIM OR THE FULL TRANSFER OF DEBT THEREUNDER TO ANOTHER RESIDENT



For another authorised Agent to accept the Contract for servicing, Resident 2 provides documents and information to the new authorised Agent in accordance with The Bank of Russia Instruction No. 181-I.

The new authorised Agent requests the Bank of Russia to provide the Statement of bank control corresponding to the unique number of the Contract submitted by Resident 2 to the new authorised Agent (beyond the model). The new authorised Agent does not request the Statement of bank control mentioned in this paragraph from the Bank of Russia if the authorised Agent and the new authorised Agent are the same authorised Agent.

If the new authorised Agent obtains the Statement of bank control on the Contract from the Bank of Russia, the new authorised Agent accepts this Statement of bank control and creates a new Statement of bank control in accordance with The Bank of Russia Instruction No. 181-I, including when the authorised Agent and the new authorised Agent are the same authorised Agent.

The new authorised Agent then maintains the newly created Statement of bank control in accordance with The Bank of Russia Instruction No. 181-I. To confirm this, the new authorised Agent sends to Resident 2 the information on the new unique number of the Contract accepted for registration and the date of its registration.

The new authorised Agent sends the information on the Contract accepted for registration and the Statement of bank control to the Bank of Russia as part of reporting on Currency Control (beyond the model).

If pursuant to The Bank of Russia Instruction No. 181-I the new authorised Agent is notified by the Bank of Russia that the related Statement of bank control is not available, the new authorised Agent refuses to register the relevant Contract for Resident 2.

The above processes provide for the following roles presented in Table 7.1:

TABLE 7.1. BUSINESS ROLES

Business Processes	Business Roles
Initiation of Contract registration	Resident 2 New authorised Agent
Confirmation of Contract registration	New authorised Agent Resident 2

7.2. Conceptual level

7.2.1. Initiating Contract registration

FIGURE 7.2. INTERACTIONS BUSINESS ROLE

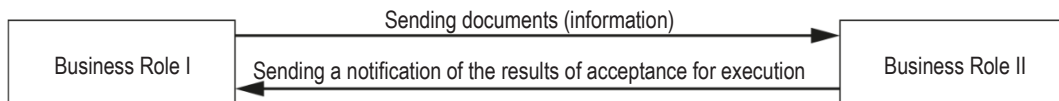


TABLE 7.2. INTERACTING BUSINESS ROLES

Business Role I	Business Role II
Resident 2	New authorised Agent

7.2.2. Confirming Contract registration

FIGURE 7.3. INTERACTIONS BUSINESS ROLE

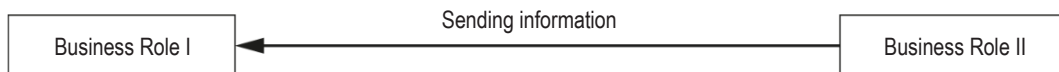


TABLE 7.3. INTERACTING BUSINESS ROLES

Business Role I	Business Role II
Resident 2	New authorised Agent

7.2.3. Messages used in the Interaction Model

To perform actions between the two roles within the Interaction Model for Contract registration in connection with the full assignment of a claim or the full transfer of debt thereunder to another resident, the following financial messages from the set of messages developed based on the ISO 20022 Standard are used.

TABLE 7.4. MESSAGES THAT MAY BE USED IN THE NPS

Message name	Action performed using the message
ContractRegistrationRequest /auth.018/	sending documents and/or information by Resident 2 to the new authorised Agent as provided for by The Bank of Russia Instruction No. 181-I for contract (loan agreement) registration
CurrencyControlStatusAdvice /auth.027/	sending by the new authorised Agent to Resident 2 a report on the status of Currency Control documents submitted by the client
ContractRegistrationConfirmation /auth.019/	sending by the new authorised Agent to Resident 2 information about the new unique number of the contract (loan agreement) accepted for registration and the date of its registration

7.2.4. Main scenarios in the Interaction Model for Contract registration in connection with the full assignment of a claim or the full transfer of debt thereunder to another resident

Scenario 1. Registration of an export contract by a Customer of Agent ‘B’, acting as Resident 2, with Agent ‘B’ acting as the new authorised Agent, in connection with the full assignment to the Customer of Agent ‘B’ of a claim by a Customer of Agent ‘A’, acting as Resident 1.

FIGURE 7.4. MESSAGING, SCENARIO 1¹⁷

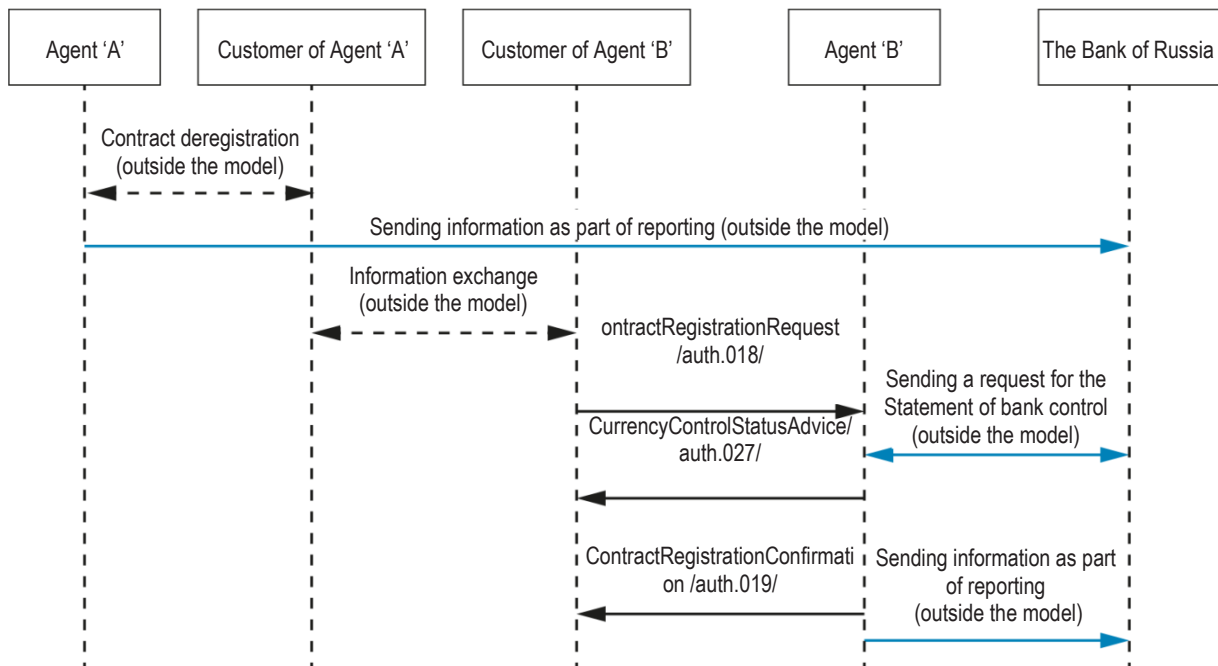


TABLE 7.5. INTERACTING BUSINESS ROLES, SCENARIO 1

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract registration	Resident 2	Customer of Agent ‘B’
	New authorised Agent	Agent ‘B’
Confirmation of Contract registration	Resident 2	Customer of Agent ‘B’
	New authorised Agent	Agent ‘B’

Scenario 2. Registration of a loan agreement by Customer 2 of Agent ‘A’, acting as Resident 2, with Agent ‘A’, acting as the authorised Agent, in connection with the full assignment of a claim by Customer 1 of Agent ‘A’, acting as Resident 1, to Customer 2 of Agent ‘A’. Both residents are clients of the head office of Agent ‘A’.

¹⁷ In Paragraph 7.2.4 of this Standard, dashed arrows indicate (for information purposes) Contract deregistration by Resident 1 in accordance with Bank of Russia Instruction No. 181-I and the Interaction Model described in Section 5 in this Standard.

FIGURE 7.5. MESSAGING, SCENARIO 2

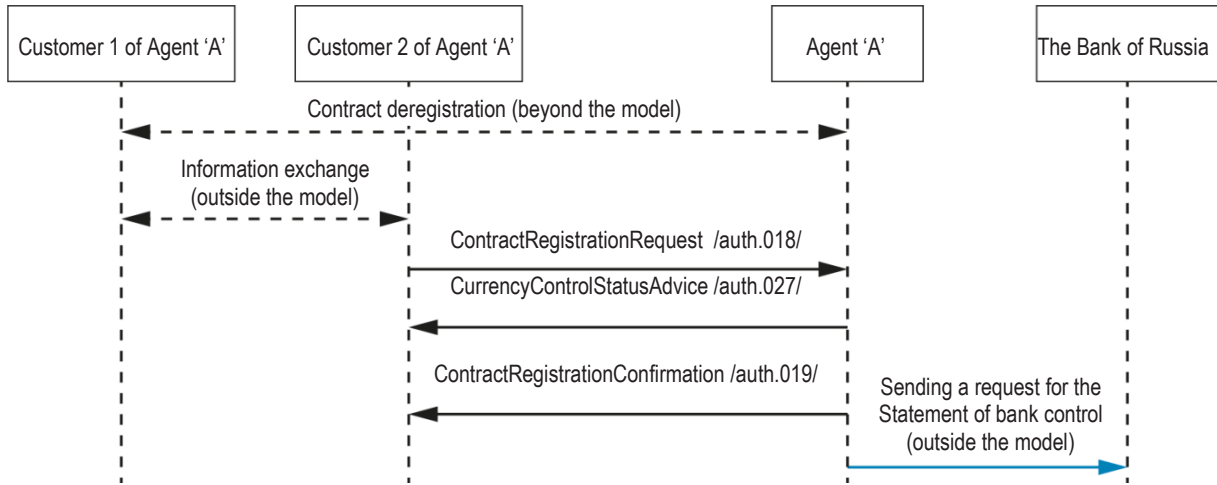


TABLE 7.6. INTERACTING BUSINESS ROLES, SCENARIO 2

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract registration	Resident 2	Customer 2 of Agent 'A'
	New authorised Agent	Agent 'A'
Confirmation of Contract registration	Resident 2	Customer 2 of Agent 'A'
	New authorised Agent	Agent 'A'

Scenario 3. Registration of a loan agreement by a Customer of a Agent 'A' branch, acting as Resident 2, with the Agent 'A' branch, acting as the authorised Agent, in connection with the full assignment to the Customer of the Agent 'A' branch of a claim under the said agreement by a Customer of the Agent 'A' head office, acting as Resident 1.

FIGURE 7.6. MESSAGING, SCENARIO 3

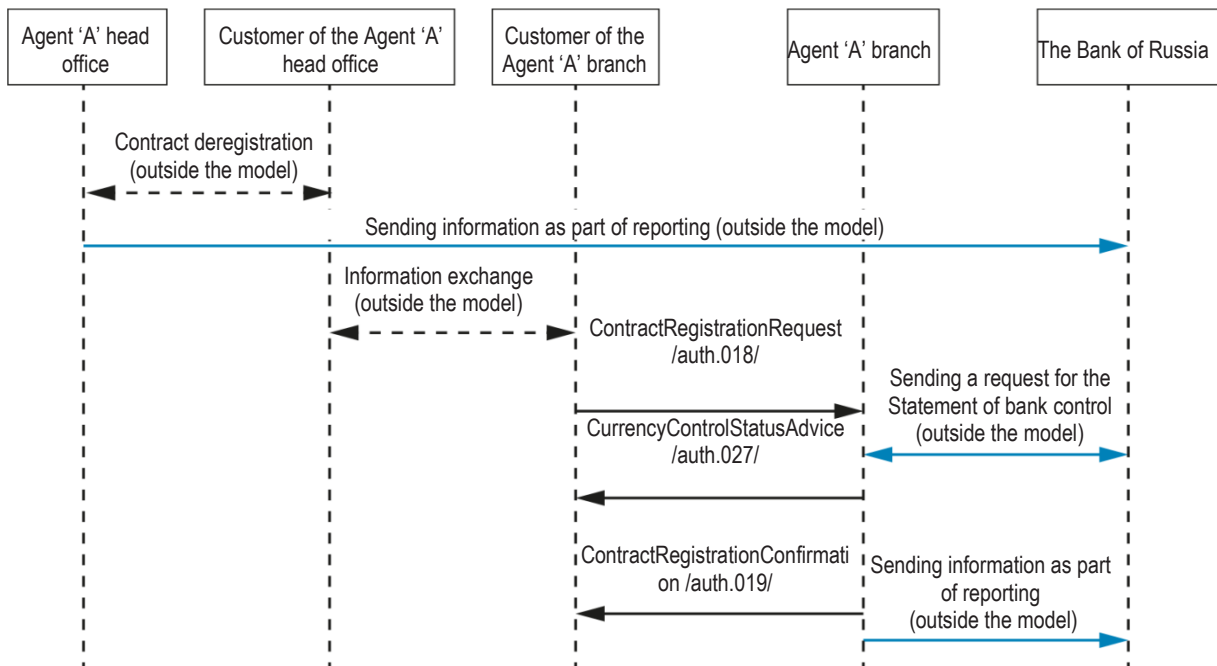


TABLE 7.7. INTERACTING BUSINESS ROLES, SCENARIO 3

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract registration	Resident 2	Customer of the Agent 'A' branch
	New authorised Agent	Agent 'A' branch
Confirmation of Contract registration	Resident 2	Customer of the Agent 'A' branch
	New authorised Agent	Agent 'A' branch

8. Interaction Model for Contract registration in connection with its transfer from another authorised Agent

8.1. Review level

The Interaction Model for Contract registration in connection with its transfer from another authorised Agent is described in relation to a resident and the new authorised Agent in accordance with the requirements of chapters 11 and 12 of The Bank of Russia Instruction No. 181-I¹⁸ and comprises the following processes:

- initiation of Contract registration with the new authorised Agent
- confirmation of the acceptance of the Contract for servicing.

Figure 8.1 shows the Interaction Model for Contract registration in connection with its transfer from another authorised Agent, taking into account the processes and roles used therein.

FIGURE 8.1. INTERACTION MODEL FOR CONTRACT REGISTRATION IN CONNECTION WITH ITS TRANSFER FROM ANOTHER AUTHORISED AGENT



In order to register a Contract with a new authorised Agent in connection with its transfer from another authorised Agent, the resident submits documents and information to the new authorised Agent in accordance with the requirements of The Bank of Russia Instruction No. 181-I.

The new authorised Agent requests the Bank of Russia to provide the Statement of bank control corresponding to the unique number of the Contract submitted by the resident to the new authorised Agent (beyond the model).

If the new authorised Agent receives the Statement of bank control on the Contract from the Bank of Russia, the new authorised Agent inputs information therein in accordance with The Bank of Russia Instruction No. 181-I and retains the unique number assigned to the Contract by the previous authorised Agent.

The new authorised Agent then maintains the accepted Statement of bank control in accordance with The Bank of Russia Instruction No. 181-I. To confirm this, the new authorised Agent notifies the resident of the acceptance of the Contract for servicing.

The new authorised Agent sends the information about the acceptance of the Contract for servicing and the Statement of bank control to the Bank of Russia as part of reporting on Currency Control (beyond the model).

If pursuant to The Bank of Russia Instruction No. 181-I the new authorised Agent is notified by the Bank of Russia that the related Statement of bank control is not available, the new authorised Agent refuses the resident to accept the relevant Contract for servicing.

The above processes provide for the following roles presented in Table 8.1:

¹⁸ The exchange of financial messages between a resident and the previous authorised bank in the course of Contract deregistration is carried out in accordance with Bank of Russia Instruction No. 181-I and the Interaction Model described in Section 5 in this Standard.

TABLE 8.1. DEFINITIONS BUSINESS ROLE

Business Processes	Business Roles
Initiation of Contract registration with the new authorised Agent	Resident New authorised Agent
Confirmation of Contract acceptance for servicing	New authorised Agent Resident

8.2. Conceptual level

8.2.1. Initiating Contract registration with a new authorised Agent

FIGURE 8.2. INTERACTIONS BUSINESS ROLE

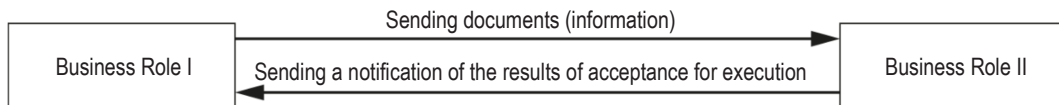


TABLE 8.2. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	New authorised Agent

8.2.2. Confirming Contract acceptance for servicing

FIGURE 8.3. INTERACTIONS BUSINESS ROLE

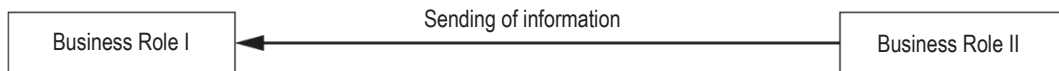


TABLE 8.3. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	New authorised Agent

8.2.3. Messages used in the Interaction Model

For the performance of actions between the two roles within the Interaction Model for Contract registration in connection with its transfer from another authorised Agent, the following financial messages from the set of messages developed based on the ISO 20022 Standard are used.

TABLE 8.4. MESSAGES THAT MAY BE USED IN THE NPS

Message name	Action performed using the message
ContractRegistrationRequest /auth.018/	sending documents and/or information by the resident to the new authorised Agent as provided for by The Bank of Russia Instruction No. 181-I for contract (loan agreement) registration
CurrencyControlStatusAdvice /auth.027/	sending by the new authorised Agent to the resident a report on the status of Currency Control documents submitted by the client
ContractRegistrationConfirmation /auth.019/	notification by the new authorised Agent of the resident about the acceptance of the Contract for servicing

8.2.4. Main scenarios in the Interaction Model for Contract registration in connection with its transfer from another authorised Agent

Scenario 1. A Customer of Agent 'B', acting as a resident, intends to transfer its import contract to Agent 'B' for servicing in connection with the revocation of the banking license from Agent 'A' where this contract is registered. Agent 'B' acts as a new authorised Agent.

FIGURE 8.4. MESSAGING, SCENARIO 1

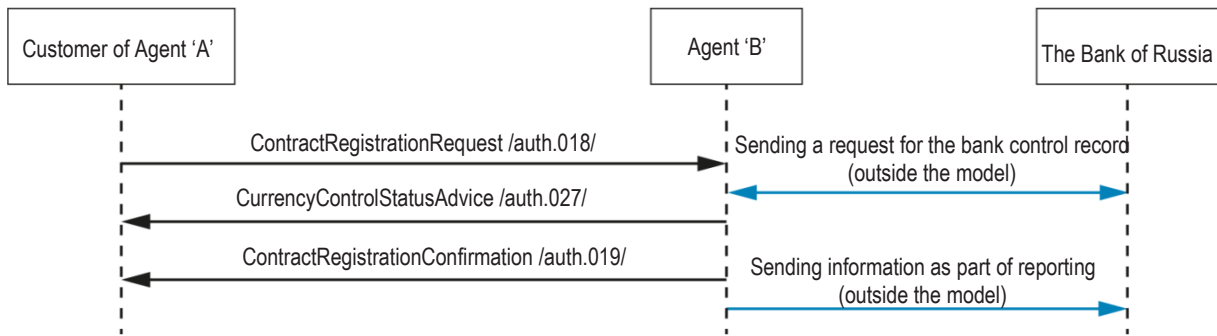


TABLE 8.5. INTERACTING BUSINESS ROLES, SCENARIO 1

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract registration with the new authorised Agent	Resident	Customer of Agent 'B'
	New authorised Agent	Agent 'B'
Confirmation of Contract acceptance for servicing	Resident	Customer of Agent 'B'
	New authorised Agent	Agent 'B'

9. Interaction Model when an authorised Agent is reorganised or its branch is closed

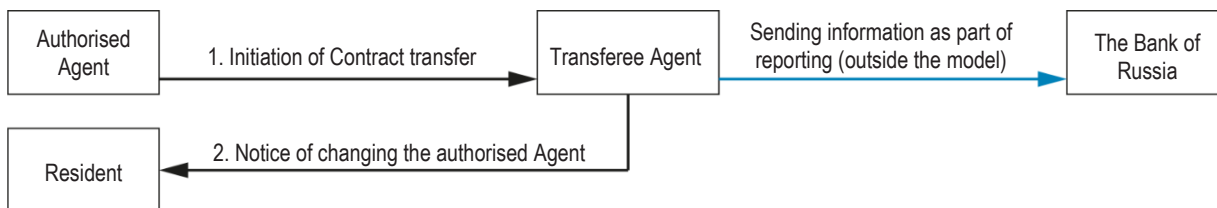
9.1 Review level

The Interaction Model in the case of the reorganisation of an authorised Agent or the closure of its branch is described in accordance with the requirements of chapter 13 of The Bank of Russia Instruction No. 181-I and comprises the following processes:

- initiation of Contract transfer
- notification about changing the authorised Agent.

Figure 9.1 shows the Interaction Model when the authorised Agent is reorganised or its branch is closed, with account of the processes and roles used therein.

FIGURE 9.1. INTERACTION MODEL WHEN AN AUTHORISED AGENT IS REORGANISED OR ITS BRANCH IS CLOSED



The reorganised authorised bank or the authorised Agent's branch to be closed (which is the authorised Agent) provides the transferee Agent with documents and information in accordance with The Bank of Russia Instruction No. 181-I.

The transferee Agent inputs information in the Statement of bank controls it has received in accordance with the requirements of The Bank of Russia Instruction No. 181-I and notifies the resident that it has become its authorised Agent.

The transferee Agent sends the information on the Contract accepted for registration and the Statement of bank control to the Bank of Russia as part of reporting on Currency Control (beyond the model).

The above processes provide for the following roles presented in Table 9.1:

TABLE 9.1. BUSINESS ROLES

Business Processes	Business Roles
Initiation of Contract transfer	Authorised Agent Transferee Agent
Notification of changing the authorised Agent	Transferee Agent Resident

9.2. Conceptual level

9.2.1. Initiating Contract transfer

FIGURE 9.2. INTERACTIONS BUSINESS ROLE

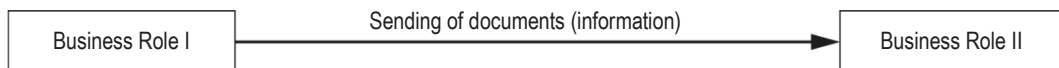


TABLE 9.2. INTERACTING BUSINESS ROLES

Business Role I	Business Role II
Authorised Agent	Transferee Agent

9.2.2. Notification of changing the authorised Agent

FIGURE 9.3. INTERACTIONS BUSINESS ROLE

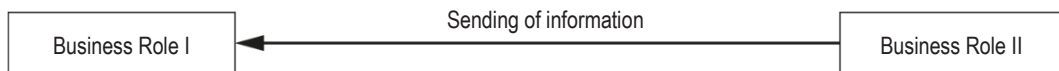


TABLE 9.3. INTERACTING BUSINESS ROLE

Business Role I	Business Role II
Resident	Transferee Agent

9.2.3. Messages used in the Interaction Model

For the performance of actions between the two roles within the Interaction Model in the case when an authorised Agent is reorganised, the following financial messages from the set of messages developed based on the ISO 20022 standard are used.

TABLE 9.4. MESSAGES THAT MAY BE USED IN THE NPS

Message name	Action performed using the message
ContractRegistrationStatement/auth.022/	sending the open Statement of bank control on the registered contract (loan agreement) by the authorised Agent to the transferee Agent
CurrencyControlRequestOrLetter /auth.026/	sending by the authorised Agent to the transferee Agent the Currency Control profile on the contract (loan agreement) accepted for registration
ContractRegistrationConfirmation /auth.019/	sending information by the transferee Agent to the resident that it has become the resident's authorised Agent

9.2.4. Main scenarios in the Interaction Model when an authorised Agent is reorganised or its branch is closed

Scenario 1. The closing branch of Agent 'A', acting as the authorised Agent, transfers an import contract of its Client, acting as the resident, to the Agent 'A' head office, acting as the transferee Agent.

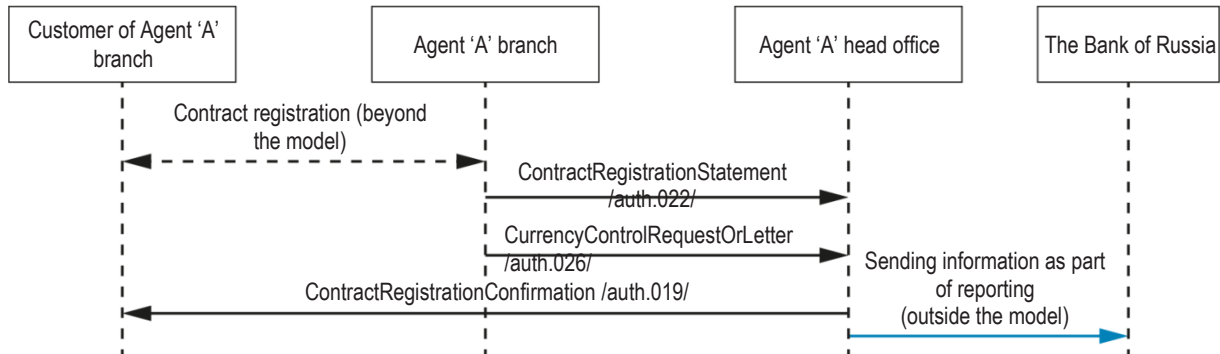
FIGURE 9.4. MESSAGING, SCENARIO 1¹⁹

TABLE 9.5. INTERACTING BUSINESS ROLES, SCENARIO 1

Business Processes	Business Roles	Participants of the funds transfer
Initiation of Contract transfer	Authorised Agent	Agent 'A' branch
	Transferee Agent	Agent 'A' head office
Notification of changing the authorised Agent	Transferee Agent	Agent 'A' head office
	Resident	Customer of Agent 'A' branch

10. Consistency of documents and messages as part of Currency Control

The functional consistency between the Currency Control documents stipulated by the legislation of the Russian Federation and The Bank of Russia regulations and the financial messages forming part of the ISO 20022 Standards of the NPS used in the framework of Currency Control is presented in Table 10.1.

The structure and details of messages and the rules for specifying the details of the said Currency Control documents in financial messages prepared in accordance with the ISO 20022 Standards of the NPS are generated using a specialised automated system for the management of The Bank of Russia standards and are published on the special-purpose internet portal of the Bank of Russia.²⁰

TABLE 10.1. FUNCTIONAL CONSISTENCY OF CURRENCY CONTROL DOCUMENTS AND MESSAGES

Currency Control document name	List of regulations establishing in relation to Currency Control documents		Messages included in the ISO 20022 Standards of the NPS
	general requirements	form	
Certificate of supporting documents	The Bank of Russia Instruction No. 181-I	The Bank of Russia Instruction No. 181-I	CurrencyControlSupportingDocumentDelivery /auth.025/
Statement of bank control	The Bank of Russia Instruction No. 181-I	The Bank of Russia Instruction No. 181-I	ContractRegistrationStatement /auth.022/

¹⁹ In Paragraph 9.2.4 of this Standard, dashed arrows indicate (for information purposes) Contract registration by the resident in accordance with Bank of Russia Instruction No. 181-I and the Interaction Model described in Section 5 in this Standard.

²⁰ Figure 7 the Bank of Russia Standard STO BR NPS-1.1-2020 'Financial Messages in the NPS. General Terms'.