

**LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES
BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED
SETTLEMENT SYSTEM¹**

Edition 2

Effective date: January 24, 2017

1. Execution/renewal of agreement on maintenance of register of holders (nominal owners) of registered securities (hereinafter "Maintenance of Register)
1.1 Execution of register maintenance agreement

No.	Name	Notes
1.	Application for execution of register maintenance agreement (8OD FO 72-26-01). If accepted by the bank, the application shall be considered a handover act of documents.	
2.	Document certifying state registration of the issuer (in case of the Republic of Armenia certificate of state registration, all enclosures are required)	
3.	Effective charter of the issuer or equivalent articles of association	
4.	Document certifying the authorities of the issuer's executive body	
5.	Proof of the identity of the head of executive body	
6.	Certificate of tax identification number (TIN); for non-resident issuers a similar proof of tax ID is required (if any)	
7.	Document on availability (printing) of share certificates	
8.	List of holders of registered securities (nominees) based on the completed and finalized placement as of the day of submission of all documents (the list should be submitted on paper and electronically in form and manner defined by the Central Depository and should contain information on any restriction of rights on the securities)	
9.	Documents on restriction of rights to securities or their copies (if the parties are aware of any restriction of rights to securities)	
10.	Information about securities (type/class, quantity, par value etc.), decision on issue, procedure and terms of placement, if at the time of execution of register maintenance agreement the issuer is in the process of follow-on offering subsequent to the initially offered securities, or if the issuer executes an agreement on maintenance of register of securities yet to be placed or, where the placement is under way, to be placed in full (the sale of securities to be placed has not yet been started or completed or the final outcome of sale has not yet been finalized and recorded)	
11.	International Securities Identification Number (ISIN) or Securities Identification Number (SIN) application (2 copies), to be completed and submitted in accordance with the Rules of the Central Depository on Assigning International Securities Identification Numbers; or information on the currently valid ISIN or SIN assigned to the securities by the Central Depository, if any, and if the information previously submitted in accordance with the terms of assigning and maintenance of ISIN or SIN has not been modified ISIN or SIN application is considered an instruction for entering the information about the issuer and their securities into the operational system.	
12.	Power of attorney (for authorized persons, if any)	
13.	ID of the authorized person	
14.	Information about the issuer's payment agent (if any) authorized to make payments to the holders of securities on behalf of the issuer	

LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹

Edition 2

Effective date: January 24, 2017

15. *	<p>a. List of the registered holders of securities or their nominees as of the day of termination of the register maintenance agreement with the most recent registrar, certified by the same</p> <p>b. Reference on restrictions of rights to the securities as of the day of termination of the register maintenance agreement</p> <p>c. Documents on restriction of rights to securities or their copies (if the parties are aware of any restriction of rights to securities)</p>	
16. **	<p>Statement of the issuer certifying that no other registrar has provided securities register maintenance services to the issuer.</p>	
17.	<p>For resident legal entities:</p> <p>a. Information (if not available in the articles of incorporation) on shareholders and members owning 10% and more voting shares of the company, such information provided by the authorized body (registrar or another registering authority), including details of identity documents. The information specified in this point is not required for publicly traded companies who provide the evidence of listing on a regulated exchange (to be provided if the Bank hasn't obtained such information acting as an Account Operator).</p> <p>b. Copy of the beneficial owners' identity documents</p> <p>c. Customer details on the approved template form (for the first-time applicants)</p>	
18.	<p>For non-resident legal entities:</p> <p>a. Certificate listing the officers (heads of executive bodies) and shareholders and members holding 10% and more voting shares of the company or a Certificate of Incumbency containing such information, issued by the registered agent</p> <p>b. Copies of the documents required to identify shareholders and beneficial owners holding 10% and more voting shares and stock of the company (for individuals: identity document, for legal entities: charter or an equivalent document and certificate of registration issued by an authorized body)</p> <p>c. Customer details on the approved template form (for the first-time applicants)</p>	
19.	<p>Respective FATCA forms as required under the Foreign Account Tax Compliance Act (FATCA), introduced by the US Congress on March 18, 2010, if the customer details match the description of a US Person</p>	
20.	<p>Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank</p>	
<p><i>*Required if the issuer has already had register maintenance agreements (other than the Central Depository).</i></p> <p><i>**Required if no registrar has ever maintained the register of the holders of the issuer's registered securities and/or their nominees.</i></p>		

1.2 Renewal of register maintenance agreement

No	Name	Notes
1.	<p>Application for renewal of register maintenance agreement (8OD FO 72-26-01). If accepted by the Bank, the application shall be considered a handover act of documents.</p>	

**LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES
BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED
SETTLEMENT SYSTEM¹**

Edition 2

Effective date: January 24, 2017

2.	Document certifying state registration of the issuer (in case of the Republic of Armenia certificate of state registration, all enclosures are required)	
3.	Effective charter of the issuer or equivalent articles of association	
4.	Document certifying the authorities of the issuer's executive body	
5.	Passport of the head of executive body	
6.	Certificate of tax identification number (TIN) or another equivalent number (for non-resident issuers, if any)	
7.	International Securities Identification Number (ISIN) or Securities Identification Number (SIN) application completed and submitted in accordance with the Rules of the Central Depository on Assigning International Securities Identification Numbers (2 copies). ISIN or SIN application is considered an instruction for entering the information about the issuer and their securities into the operational system.	
8.	Issuer card (8OD FO 72-26-02), if (i) the issuer's securities already have SIN or ISIN, and if no new SIN or ISIN is required, and (ii) the information previously provided in accordance with the ISIN or SIN assigning procedure has not changed.	
9.	Information about securities (type/class, quantity, par value etc.), decision on issue, procedure and terms of placement, if at the time of execution of register maintenance agreement the issuer is in the process of follow-on offering subsequent to the initially offered securities, or if the issuer executes an agreement on maintenance of register of securities yet to be placed or, where the placement is under way, to be placed in full (the sale of securities to be placed has not yet been started or completed or the final outcome of sale has not yet been finalized and recorded)	
10.	Information about the issuer's payment agent (if any) authorized to make payments to the holders of securities on behalf of the issuer	
11.	Documentary proof of repayment of monetary liabilities (if any) reflected in operational system	
12.		
13.	Power of attorney (for authorized persons, if any)	
14.	Copy of passport of authorized person	
15.	For resident legal entities: a. Information (if not available in the articles of incorporation) on shareholders and members owning 10% and more voting shares of the company, such information provided by the authorized body (registrar or another registering authority), including details of identity documents. The information specified in this point is not required for publicly traded companies who provide the evidence of listing on a regulated exchange (to be provided if the Bank hasn't obtained such information acting as an Account Operator). b. Copy of the beneficial owners' identity documents c. Customer details on the approved template form (for the first-time applicants)	

LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹

Edition 2

Effective date: January 24, 2017

16.	<p>For non-resident legal entities:</p> <p>a. Certificate listing the officers (heads of executive bodies) and shareholders and members holding 10% and more voting shares of the company or a Certificate of Incumbency containing such information, issued by the registered agent</p> <p>b. Copies of the documents required to identify shareholders and beneficial owners holding 10% and more voting shares and stock of the company (for individuals: identity document, for legal entities: charter or an equivalent document and certificate of registration issued by an authorized body)</p> <p>c. Customer details on the approved template form (for the first-time applicants)</p>	
17.	<p>Respective FATCA forms as required under the Foreign Account Tax Compliance Act (FATCA), introduced by the US Congress on March 18, 2010, if the customer details match the description of a US Person</p>	
18.	<p>Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank</p>	

2. Registration of corporate actions and securities placement operations

2.1 Securities placement

No.	Name	Notes
Placement of securities outside regulated markets		
1.	Securities placement order (8OD FO 72-26-03)	
2.	International Securities Identification Number (ISIN) or Securities Identification Number (SIN) application completed and submitted in accordance with the Rules of the Central Depository on Assigning International Securities Identification Numbers (2 copies)	
3.	Corporate resolution on issue (placement) of the relevant management body of the issuer or duly certified copy of the resolution, including or attaching a copy of the document describing the procedure, terms and timing of issuance and placement of securities	
4.	Corporate resolution on approval of the outcome of placement by the relevant management body of the issuer or duly certified copy of the resolution, if such approval is required by the legislation for the given class of securities	
5.	Copy of documents certifying registration of the outcome of placement by the relevant state authority, where the outcome of placement is required to be registered by the relevant state authority	
6.	Charter or respective amendment to the charter, if the outcome of placement at a certain stage is required to be reflected in the charter	
7.	Power of attorney (for authorized persons, if any)	
8.	Passport of the authorized person	

LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹

Edition 2

Effective date: January 24, 2017

9.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	
2.1.2. Placement of securities on regulated markets		
1.	Securities placement order (8OD FO 72-26-03)	
2.	International Securities Identification Number (ISIN) or Securities Identification Number (SIN) application completed and submitted in accordance with the Rules of the Central Depository on Assigning International Securities Identification Numbers	
3.	Corporate resolution on issue (placement) of the relevant management body of the issuer or duly certified copy of the resolution, including or attaching a copy of the document describing the procedure, terms and timing of issuance and placement of securities	
4.	Written order of the issuer and copy of the securities placement decision of regulated market operator, if the securities are to be placed on regulated market The order should contain the start and end dates of securities placement or the procedure of their determination.	
5.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	

2.2 Corporate Banking

2.2.1 Corporate actions resulting from the change of par value, consolidation, splitting, conversion from one class/type of securities into another by decision of the issuer

No	Name	Notes
1.	Securities conversion order (8OD FO 72-26-04)	
2.	Corporate resolution on performing corporate action of the relevant management body of the issuer or duly certified copy of the resolution, including or attaching the procedure and terms of conversion of securities	
3.	In case of conversion of one type of securities into another by decision of the issuer: copy of the corporate resolution of the relevant management body of the issuer on issue (placement) of securities to ensure the conversion, if the conversion is accompanied by placement of securities to ensure it	
4.	Document defining the procedure and terms of buyout of fractional shares left after consolidation, if conversion was organized through consolidation.	
5.	Copy of document certifying the registration of corporate action by the relevant state authority	
6.	Charter or respective amendment to the charter	
7.	Power of attorney (for authorized persons, if any)	
8.	ID of the authorized person	
9.	Other documents or information as may be reasonably required in case the submitted information is incomplete, inaccurate, misleading or inconsistent or there are other facts	

**LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES
BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED
SETTLEMENT SYSTEM¹**

Edition 2

Effective date: January 24, 2017

or circumstances evidenced by other documents or information; or in the Bank opinion such other documents are required to avoid discrepancies and make sure that the submitted documents and information are consistent and accurate to the most possible extent at all times; other documents reasonably requested by the Bank

2.2.2 Reorganization

No	Name	Notes
1.	Securities conversion order (8OD FO 72-26-04)	
2.	Corporate resolution of the Issuer's relevant authorized body on restructuring of the Company or its duly certified copy; the document certifying results of restructuring or its duly certified copy, including and attaching procedure and terms and conditions of the Company's restructuring and security conversion	
3.	Underlying agreement of reorganization or its certified copy a. Consolidation agreement or its certified copy (in case of consolidation) b. Merger agreement or its certified copy (in case of merger)	
4.	Document on termination of the activities of the company ceasing to exist due to corporate action, issued by the relevant authority performing state registration	
5.	Certified copy of charter or respective amendment to the charter of the company continuing to exist after corporate action and copy of the document certifying the state registration of the amendment resulting from corporate action	
6.	Certified copy of charter of the company incorporated after corporate action and copy of the document certifying the state registration	
7.	Power of attorney (for authorized persons, if any)	
8.	ID of the authorized person	
9.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	

2.2.3 Acquisition/buyout of shares

No	Name	Notes
1.	Securities purchase/buyout order (8OD FO 72-26-05)	
2.	Corporate resolution of the management body of the issuer on performing corporate action or certified copy of such resolution	
3.	Power of attorney (for authorized persons, if any)	
4.	ID of the authorized person	
5.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	

 AMERIABANK	AMERIABANK CJSC	8OD LI 72-26-01	Page 7/18
LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM ¹		Edition 2	
		Effective date: January 24, 2017	

2.2.4 Redemption or annulment of securities

No	Name	Notes
1.	Securities redemption/annulment order (8OD FO 72-26-06)	
2.	Corporate resolution of the management body of the issuer on performing corporate action or certified copy of such resolution	
3.	Copy of documents certifying registration of the corporate action by the relevant state authority, where the outcome of the corporate action is required to be registered by the relevant state authority at a certain stage	
4.	Copy of charter or respective amendment to the charter, if the outcome of the corporate action is required to be reflected in the charter at a certain stage	
5.	Power of attorney (for authorized persons, if any)	
6.	ID of the authorized person	
7.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	

3. Termination of register maintenance agreement

No	Name	Notes
1.	Application to the head of the executive body of the Central Depository for termination of register maintenance agreement	
2.	Reference or another evidence of respective registration issued by the body responsible for state registration of legal entities if termination of the register maintenance agreement is based on the respective state registration	
3.	Documentary proof of performance of obligations (if any) to the Central Depository and account operator in accordance with the agreement and tariffs for provision of services in settlement system of securities	
4.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	

4. Opening of securities account for holder of securities, nominee or issuer

No	Name	Notes
4.1. For physical entities		
1.	Securities account opening/reopening/data changing order for individuals (8OD FO 72-26-11)	
2.	Personal identification document	
3.	Copy of personal public service number/PPSN (or social card) document or statement on absence of PPSN For non-resident individuals: any other document expressly identifying the person's social/public number (if any)	

LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹

Edition 2

Effective date: January 24, 2017

4.	Evidence of authority of the authorized person, if the client is to be represented by authorized person	
5.	Respective FATCA forms as required under the Foreign Account Tax Compliance Act (FATCA), introduced by the US Congress on March 18, 2010, if the customer details match the description of a US Person	
6.	Customer details on the approved template form (for the first-time applicants)	
7.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	
4.2. For legal entities		
1.	Securities account opening/reopening/data changing order for legal entities (8OD FO 72-26-12)	
2.	State registration document	
3.	Effective charter or equivalent articles of association (in case of non-resident legal entities)	
4.	Certificate of tax identification number (TIN) or a similar proof of tax ID (if any) for non-resident legal entities	
5.	Appointment documents and IDs of persons authorized to act on behalf of the company without power of attorney	
6.	Evidence of authority and ID for a person acting on the basis of the power of attorney	
7.	For resident legal entities: a. Information (if not available in the articles of incorporation) on shareholders and members owning 10% and more voting shares of the company, such information provided by the authorized body (registrar or another registering authority), including details of identity documents. The information specified in this point is not required for publicly traded companies who provide the evidence of listing on a regulated exchange b. Copy of the beneficial owners' identity documents c. Customer details on the approved template form (for the first-time applicants)	
8.	For non-resident legal entities: a. Certificate listing the officers (heads of executive bodies) and shareholders and members holding 10% and more voting shares of the company or a Certificate of Incumbency containing such information, issued by the registered agent b. Copies of the documents required to identify shareholders and beneficial owners holding 10% and more voting shares and stock of the company (for individuals: identity document, for legal entities: charter or an equivalent document and certificate of registration issued by an authorized body) c. Customer details on the approved template form (for the first-time applicants)	
9.	Respective FATCA forms as required under the Foreign Account Tax Compliance Act (FATCA), introduced by the US Congress on March 18, 2010, if the customer details match the description of a US Person	
10.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	
4.3. Opening nominee accounts for sub-custodians		

LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹

Edition 2

Effective date: January 24, 2017

1.	Securities account opening/reopening/data changing order for legal entities (8OD FO 72-26-12)	
2.	Application for signing sub-custody agreement	
3.	State registration document	
4.	Effective charter or equivalent articles of association (in case of non-resident legal entities)	
5.	Certificate of tax identification number (TIN) or a similar proof of tax ID, for foreign custodians - if any	
6.	Appointment documents and IDs of persons authorized to act on behalf of the company without power of attorney	
7.	Copy of permit or license to perform custody operations, issued in accordance with applicable laws (copy of permit or license issued by the relevant state authorities of foreign country in case of foreign companies, certifying that the foreign company has the right to open and maintain in its name accounts of securities owned by other persons)	
8.	Personal identification document of the person acting on behalf of the company	
9.	Evidence of authority and ID for a person acting on the basis of the power of attorney	
10.	For resident legal entities: a. Information (if not available in the articles of incorporation) on shareholders and members owning 10% and more voting shares of the company, such information provided by the authorized body (registrar or another registering authority), including details of identity documents. The information specified in this point is not required for publicly traded companies who provide the evidence of listing on a regulated exchange b. Copy of the beneficial owners' identity documents c. Customer details on the approved template form (for the first-time applicants)	
11.	For non-resident legal entities: a. Certificate listing the officers (heads of executive bodies) and shareholders and members holding 10% and more voting shares of the company or a Certificate of Incumbency containing such information, issued by the registered agent b. Copies of the documents required to identify shareholders and beneficial owners holding 10% and more voting shares and stock of the company (for individuals: identity document, for legal entities: charter or an equivalent document and certificate of registration issued by an authorized body) c. Customer details on the approved template form (for the first-time applicants)	
12.	Respective FATCA forms as required under the Foreign Account Tax Compliance Act (FATCA), introduced by the US Congress on March 18, 2010, if the customer details match the description of a US Person	
13.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	
4.4. Opening securities account for testator		
1.	Securities account opening/reopening/data changing order for individuals (8OD FO 72-26-11)	
2.	Certificate of right of inheritance	

 AMERIABANK	AMERIABANK CJSC	8OD LI 72-26-01	Page 10/18
LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹		Edition 2	
		Effective date: January 24, 2017	

3.	Ownership certificate (if any)	
4.	Personal identification document of heir (for identification of the person specified in inheritance certificate)	
5.	Other documents as may be reasonably required, to make sure that the submitted documents and information are complete and accurate at all times and the testator and heir(s) are properly identified; documents based on which the inheritance was formalized, where required pursuant to response to notarial inquiry sent by the Central Depository or the bank, or additional documents and clarifications as required by notary; other documents reasonably requested by the Bank	

5. Securities account closing

No	Name	Notes
1.	Securities account closing order (8OD FO 72-26-19)	
2.	Original document certifying authorities and personal identification document of the person acting based on power of attorney, if the client is to be represented by such person	

6. Registration of pledging of securities

No	Name	Notes
6.1	If requested by the pledgor:	
1.	Securities pledging order (8OD FO 72-26-16)	
2.	Proof of pledge of the securities	
3.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate and comply with the requirements of Armenian legislation at all times.	
4.	Information about the Pledgee if the Pledgor does not provide the active account of security owner. In particular: Name of the Pledgee, ID series and number, for resident individuals: personal public services number (PPSN/social card) or the number of the reference on the PPSN/social card absence, for non resident individuals: any other equivalent social/public number expressly identifying the Pledgee (if any) For legal entities: name, state registration number, TIN or another equivalent tax ID (if any), pledgee's address, contact data	
5.	Pledgee's written consent and proof of the transfer of security interest if the pledgee of securities has changed or the security interest has been pledged	
6.	Original document certifying authorities and personal identification document of the person acting based on power of attorney, if the client is to be represented by such person	
6.2	If requested by the Pledgor for changing of the pledgee of the securities or pledging of the security interest	
1.	Securities pledging order (8OD FO 72-26-16)	
2.	Proof of pledge of the securities	
3.	Pledgor's written consent and proof of the transfer of security interest if the pledgee of	

 AMERIABANK	AMERIABANK CJSC	8OD LI 72-26-01	Page 11/18
LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM ¹		Edition 2	
		Effective date: January 24, 2017	

	securities has changed or the security interest has been pledged	
4.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate and comply with the requirements of Armenian legislation at all times; other documents reasonably requested by the Bank	
5.	Original document certifying authorities and personal identification document of the person acting based on power of attorney, if the client is to be represented by such person	

7. Registration of release of securities from pledge

No	Name	Notes
7.1 If requested by the Pledgee:		
1.	Order for release of securities from pledge (8OD FO 72-26-17)	
2.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate and comply with the requirements of Armenian legislation at all times; other documents reasonably requested by the Bank	
3.	Evidence of authority and ID for a person acting on the basis of the power of attorney	
7.2 If requested by the Pledgor:		
1.	Order for release of securities from pledge (8OD FO 72-26-17)	
2.	Written consent of the pledgee for release of securities from pledge	
3.	Evidence of authority and ID for a person acting on the basis of the power of attorney	
4.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate and comply with the requirements of Armenian legislation at all times; other documents reasonably requested by the Bank	
5.		

8. Transfer of securities

No	Name	Notes
1.	Stock transfer order for free delivery of securities (8OD FO 72-26-13)	
2.	Delivery vs. payment(DVP) or free of payment (FOP) transfer order for delivery versus payment (8OD FO 72-26-14); application (order) for purchase/buyout of securities in case of acquisition or buyout (8OD FO 72-26-05)	
3.	Delivery versus payment (DVP) or free of payment (FOP) transfer order for free delivery of securities subject to consent or delivery free of payment (8OD FO 72-26-14)	
4.	Portfolio transfer order for transfer of securities portfolio (8OD FO 72-26-15)	

 AMERIABANK	AMERIABANK CJSC	8OD LI 72-26-01	Page 12/18
LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹		Edition 2	
		Effective date: January 24, 2017	

5.	Stock transfer (free delivery) order for transfer of securities under repurchase agreements between the Central Bank of Armenia and commercial banks, if the transfer is not based on order in BankMail system	
6.	Evidence of authority and ID for a person acting on the basis of the power of attorney	
7.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate and comply with the requirements of Armenian legislation at all times, other documents reasonably requested by the Bank	
In case of sale of pledged securities in out-of-court procedure also:		
1.	Agreement or covenant containing provision on out-of-court sale of pledged securities	
2.	Notice given to the pledgor pursuant to the Civil Code of Armenia and proof of its receipt, to be submitted at the time of applying or during sale of pledge	
3.	Other documents where and if required pursuant to the Civil Code of Armenia	
In case of registration of right of inheritance		
1.	Certificate of right of inheritance	
2.	Ownership certificate (if any)	
3.	Other documents as may be reasonably required, to make sure that the submitted documents and information are complete and accurate at all times and the testator and heir(s) are properly identified; documents based on which the inheritance was formalized, where required pursuant to response to notarial inquiry sent by the Central Depository or the bank, or additional documents and clarifications as required by notary; other documents reasonably requested by the Bank	

9. Provision of information from operational system

No	Name	Notes
1.	For issuer clients: issuer's request for information (8OD FO 72-26-09) on paper or in electronic form (as it may be acceptable for the Bank); where submitted in a form other than the template approved by the bank, the request should nevertheless contain the whole information required pursuant to the approved form of issuer's request for information (8OD FO 72-26-09)	
2.	For holders of securities or their nominees: account holder's request for information (8OD FO 72-26-10) on paper or in electronic form (as it may be acceptable for the bank); where submitted in a form other than the template approved by the bank, the request should nevertheless contain the whole information required pursuant to the approved form of account holder's request for information	
3.	Evidence of authority and ID for a person acting on the basis of the power of attorney	

 AMERIABANK	AMERIABANK CJSC	8OD LI 72-26-01	Page 13/18
LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹		Edition 2	
		Effective date: January 24, 2017	

10. Editing data in operational system

No	Name	Notes
10.1 For issuers:		
1.	Issuer data changing order (8OD FO 72-26-07), if the ISIN or SIN order is not submitted	
2.	Copy of document certifying state registration of change in Armenia, where the change is required to be registered by the relevant state authority	
3.	Charter or respective amendment to the charter or its certified copy, if the change is required to be reflected in the charter	
4.	Authorized representative(s) card (8OD FO 72-26-08) with copy of passport of authorized representative(s) attached, if such authorized representatives, the terms and scope of their authorities or other related data are changed	
5.	ISIN or SIN application (2 copies), to be completed and submitted in accordance with the Rules of the Central Depository on Assigning International Securities Identification Numbers, if the proposed change will lead to change in SIN or ISIN	
6.	Information (documents certifying respective changes or serving as a basis for adjustments and corrections as requested by the Bank) concerning: <ul style="list-style-type: none"> a. Initiation of liquidation or bankruptcy proceedings or stopping of bankruptcy proceedings by the issuer b. Change of the Issuer's name, state registration data, location, authorized persons or their data c. Any change of information on the issuer's securities, not related to change of securities class or corporate action or placement d. Changes related to adjustment of inaccuracies in the information provided to the depository for register maintenance purposes e. Information for registration of updates and revisions of available information on the holders of securities and/or their nominees, that the issuer has become aware of and that do not lead to unreasonable change of the number of, title to or restriction of securities owned by the holders of such securities or their nominees 	
7.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	
10.2 For holder of securities (nominee) or pledgee:		
1.	Securities account opening/reopening/data changing order 8OD FO 72-26-11 for physical entities 8OD FO 72-26-12 for legal entities	
2.	Documentary proof of change, if the latter is caused by change of the person's name or identification document/registration certificate	
3.	Copy of passport of authorized representative(s), if such authorized representatives, terms and scope of their authorities or other related data are changed	
4.	Power of attorney, if the change is related to appointment of a new authorized person	

 AMERIABANK	AMERIABANK CJSC	80D LI 72-26-01	Page 14/18
LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM ¹		Edition 2	
		Effective date: January 24, 2017	

5.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	
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11. Disclosure of information on the official website of the depository

No	Name	Notes
1.	Application, which should contain the firm name, TIN or other information related to state registration, location and postal address of the issuer, description and date of operation (if applicable)	
2.	The following information for disclosures related to registration of securities, including additional issues a. ISIN or SIN b. Type (class) of registered securities c. Par value (if any) and currency of securities d. Quantity of securities	
3.	The following information for disclosures related to par value of securities a. ISIN or SIN b. Previous and current par value	
4.	The following information for disclosures related to conversion of securities a. ISIN or SIN of securities to be converted b. ISIN or SIN of target securities, if available in the system c. Name of issuer of the target securities specified in sub-clause b, if different from the issuer of source securities d. Conversion ratio	
5.	The following information for disclosures related to cancellation of securities a. ISIN or SIN of securities to be canceled b. Quantity of securities to be canceled	
6.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	

12. Freezing or unfreezing of securities or securities accounts

No	Name	Notes
1.	Securities or securities account freezing or unfreezing order (80D FO 72-26-18)	
2.	Court judgment, if the securities are to be unfrozen to perform an action in pursuance of court judgment	
3.	Documents required hereby to register right of inheritance, if the securities are to be unfrozen to register right of inheritance	

 AMERIABANK	AMERIABANK CJSC	80D LI 72-26-01	Page 15/18
LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹		Edition 2	
		Effective date: January 24, 2017	

4.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	
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13. Additional services

No	Name	Notes
1.	Application for signing a respective service agreement plus documents necessary and required by applicable laws for provision of that service	
2.	Originals or duly certified copies of documents containing provisions on restriction of securities rights or exercise of priority right, required by the applicable laws of Armenia (including charter, agreement, covenant, resolution of general meeting, etc.). Where there is no separate procedure defined by the issuer for exercise of priority right, the exercise of priority right based on the issuer's application and its supervision are subject to relevant provisions of the laws and regulations of Armenia.	
3.	Other documents as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	
Required information		
1.	Name of the issuer and ISIN or SIN	
2.	Authorized settlement account number for transfer of amounts intended for payment of dividends or coupons or redemption of bonds to the trade account of the Depository; Amount and currency of funds to be paid out as dividends or coupon or redemption of bonds	
3.	Other documents or information as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents reasonably requested by the Bank	

14. Bookkeeping of and registration of operations with treasury bonds

No	Name	Notes
14.1	Trade, repo or reverse repo, exchange of treasury bonds	
1.	Depo order ՀS521 for the sell side or ՀS520 for the buy side during DVP (delivery vs payment) transfers	
2.	Depo order ՀS522 for the sell side during free of payment (FOP) transfers	
3.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.2	Pledging of treasury bonds without counter-transfer of funds (without simultaneous provision of loan by pledgee)	
1.	Depo order ՀS542 for pledgor client	

**LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES
BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED
SETTLEMENT SYSTEM¹**

Edition 2

Effective date: January 24, 2017

2.	Copy of pledge agreement	
3.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.3 Pledging of treasury bonds with counter-transfer of funds (with simultaneous provision of loan by pledgee)		
1.	Depo order ZS540 for pledgor client or ZS541 for pledgee client	
2.	Copy of pledge agreement	
3.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.4 Release of treasury bonds from pledge with counter-transfer of funds (with simultaneous repayment of loan by pledgor)		
1.	Depo order ZS544 for pledgor client and ZS543 for pledgee client	
2.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.5 Release of treasury bonds from pledge without counter-transfer of funds (without simultaneous repayment of loan by pledgor)		
1.	Depo order ZS545 for pledgee client	
2.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.6 Renouncing the object of pledge (when the pledgor renounces the whole or part of the object of pledge in case of failure or default in performance, and transfers the object of pledge into the ownership of the pledgee)		
1.	Depo order ZS546 for pledgor client	
2.	Covenant between the pledgor and pledgee, if the pledge agreement does not provide for the operation defined in this clause	
3.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.7 Satisfaction of pledgee's claims out of proceeds from sale of pledged treasury bonds (when the pledgor sells the object of pledge and uses the proceeds to repay the outstanding liabilities to the pledgee)		
1.	Depo orders for pledgor client, appropriate for the given operation	
2.	Covenant between the pledgor and pledgee, if the pledge agreement does not provide for the operation defined in this clause	
3.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.8 Replacement of the object of pledge (when the maturity (full or partial repayment) term of bonds pledged under the agreement is shorter than the term of principal liability or in other cases defined by pledge agreement)		
1.	Depo orders for pledgor and/or pledgee client, appropriate for the given operation (ZS547, ZS548)	
2.	Covenant between the pledgor and pledgee, unless otherwise provided for by applicable law or pledge agreement, to be submitted by the pledgor client	
3.	Amended pledge agreement, to be submitted by the pledgor client	

 AMERIABANK	AMERIABANK CJSC	80D LI 72-26-01	Page 17/18
LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹		Edition 2	
		Effective date: January 24, 2017	

4.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.9 Change of pledgor (when the title to pledged treasury bonds passes to another entity in accordance with the legislation of Armenia without affecting the pledgee's security interest in the bonds)		
1.	Depo orders appropriate for the given operation, to be submitted by the pledgor client or new pledgor (successor to the previous pledgor, who might not necessarily be an Ameriabank client) (ՀՏ549)	
2.	Covenant between the pledgor and new pledgor, certified by the provider(s) of custody services of the parties	
3.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.10 Change of pledgee (when the security interest of the pledgee passes to another entity in accordance with the legislation of Armenia without affecting the pledgor's title to the bonds)		
1.	Depo orders appropriate for the given operation, to be submitted by the pledgee client or new pledgee (successor to the previous pledgee, who might not necessarily be an Ameriabank client) (ՀՏ550)	
2.	Consent of the pledgor, certified by the provider of custody services of the pledgor, if required by applicable laws and pledge agreement	
3.	Cession agreement pursuant to the legislation of Armenia, whereby the pledgee assigns their rights under the pledge agreement to the new pledgee. The cession agreement should be aligned with the pledge agreement.	
4.	Cession agreement pursuant to the legislation of Armenia, whereby the right of claim to the debtor arising out of the principal commitment secured by pledge is assigned to the new pledgee. The cession agreement should be aligned with the pledge agreement.	
5.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	
14.11 To be submitted by the relevant state authority of Armenia, Central Depository or other stakeholders for bookkeeping of and registration of operations with treasury bonds on the basis of a court decision		
1.	Court judgments/acts and/or resolutions of the Service for Compulsory Execution of Judicial Acts required pursuant to the legislation of Armenia for restriction or transfer of rights to securities or lifting of restrictions based on court judgment	
2.	Documentary proof of rights, where and if required by applicable bylaws regulating circulation of treasury bonds	

15. Temporary restriction or lifting of restriction of the right to vote at general meetings of shareholders for pledged securities

No	Name	Notes
1.	Application (order) for pledging of securities (80D FO 72-26-16) or application (order) for release of securities from pledge (80D FO 72-26-17)	
2.	Consent of the pledgee for restriction/lifting of restriction of voting right, if the securities are already pledged	
3.	Other documents and information as may be reasonably required in case the submitted documents are incomplete, inaccurate, misleading or inconsistent or there are other facts or circumstances evidenced by other documents or information or such other documents are required to make sure that the submitted documents and information are consistent and accurate at all times; other documents as reasonably	

 AMERIABANK	AMERIABANK CJSC	80D LI 72-26-01	Page 18/18
LIST OF DOCUMENTS AND INFORMATION FOR SECURITIES BOOKKEEPING AND PROVISION OF SERVICES IN UNIFIED SETTLEMENT SYSTEM¹		Edition 2	
		Effective date: January 24, 2017	

requested by the Bank.	
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Notes

¹General Provisions

- 1.1 No need to re-submit the documents (information) if they have been previously filed by the client who provides a proof that such documents (information) are still valid and effective.
- 1.2 Upon the Bank consent the documents that are required to be filed in person, may be submitted in another way if it is expressly evident that the document is authentic and its contents is preserved.
- 1.3 Original counterparts of the documents (or their copies if required so) or their duly certified copies should be submitted in person. All documents submitted by non-resident legal entities, whether original or copies, should be duly certified. “Duly certified” here means:
 - 1) Having apostille (for the documents sent from countries that are parties to Hague Convention) or attested by the authorized body of the given foreign state; or, for CIS countries and Georgia, notarized, or
 - 2) Attested by the Armenia-based notaries, Republic of Armenia diplomatic mission or consulate to the foreign state
- 1.4 Documents do not require apostille if:
 - 1) Such a possibility is contemplated under the Republic of Armenia laws, respective international treaties or conventions.
 - 2) Documents are original counterparts of the orders (or letters issued and signed by the client in person) and inquiries under the services and their submission without apostille has been agreed with the Bank.
- 1.5 Copies of the documents should be notarized unless:
 - 1) The copy was made based on the original document in the presence of the representative of the Bank and certified by the representative of the Bank and the person authorized to submit the document in question
 - 2) The copy was submitted to the Bank via a channel agreed with the Bank which proves authenticity of the copy.
- 1.6 All documents in a foreign language other than Russian or English must be accompanied by a notarized translation.