

**CABINET OF MINISTERS OF UKRAINE**

**RESOLUTION**

**as of May 14, 2015 p. No. 299**

**Kyiv**

**Some issues of the Unified State Information System in the area of prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction**

According to paragraph two of part sixth of Article 12 of the Law of Ukraine "On prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction", the Cabinet of Ministers of Ukraine **resolves**:

1. To approve:

The Regulation on the Unified State Information System in the area of prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction, attached;

a list of database information resources of the Unified State Information System in the area of prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction in accordance with the annex.

2. To establish that ensuring the functioning and development of the Unified State Information System in the area of prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction is carried out by the entities of the mentioned system at the expense and within the limits of expenditures envisaged by them in the state budget for the relevant year.

3. To declare invalid the resolutions of the Cabinet of Ministers of Ukraine according to the attached list.

**Prime Minister of Ukraine**

**Arseniy YATSENIUK**

Approved  
by the Resolution of the Cabinet of Ministers  
of Ukraine as of May 14, 2015 p. No. 299

**REGULATION**  
**on the Unified State Information System in the area of prevention and counteraction to**  
**legalization (laundering) of proceeds from crime, terrorist financing and financing of**  
**proliferation of weapons of mass destruction**

1. This Regulation regulates the procedure for determining the state information resources and the procedure for providing access to them in order to ensure the functioning of the Unified State Information System in the area of prevention and counteraction to legalization (laundering) of the proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction (hereinafter - the Unified System), as well as the principles of its functioning and development.

2. The terms used in this Regulation have the following meanings:

entities of the Unified System – the SFMS and other state authorities that provide the SFMS access to the state information resources necessary for the conducting tasks entrusted to it;

database information resources – a part of the state information resources defined by the SFMS and approved by other Unified System entities;

access to database information resources - automated access of the SFMS to database information resources or provision of them by the Unified System entities for updating in the data warehouse;

data warehouse - a set of structured and formalized information from state information resources, united in the central subsystem of the Unified System for the conduct of state financial monitoring by the SFMS.

Other terms in this Regulation are used in the meaning specified in the Laws of Ukraine "On prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction", "On information", "On information protection in information and telecommunication systems", "On electronic documents and electronic document circulation", "On protection of personal data", "On the State Service for Special Communications and Information Protection of Ukraine".

3. The Unified System is the organizational and technical system, which, using technical and software tools, implements the technologies for collection and processing information of state information resources necessary for information comprehensive analysis on financial transactions, revealing the facts of masking the illegal origin of income and the mechanism of their legalization, preventing laundering (legalization ) of such incomes, terrorism financing and the financing of proliferation of weapons of mass destruction.

4. The Unified System is created in the interests of national security, protection of the rights and legitimate interests of citizens, society and the state in order to ensure the implementation of the state policy in the area of prevention and counteraction to legalization (laundering) of the proceeds from crime, terrorism financing and financing of proliferation of weapons of mass destruction in accordance with the Law Of Ukraine "On prevention and counteraction to legalization (laundering) of the proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction" and the International Standard on counteraction to money-laundering, terrorist financing and the proliferation of weapons of mass destruction recommended by the FATF.

5. Proposals for the creation of information resources database list of the Unified System are developed by the SFMS.

6. The information processed in the Unified System is restricted information, that is financial monitoring secret.

7. The entities of the Unified System provide the maintenance and updating of the information database resources of the Unified System directly or through the state information resources administrators.

8. The Unified System consists of:

central subsystem;

functional subsystems;

special telecommunication network;

integrated information security system.

9. The central subsystem, that is created and serviced by the SFMS, provides access to the information database resources of the Unified System, their processing and administration.

10. The functional subsystem, created by the Unified System entity, provides automated access of the SFMS to the information database resources.

11. A special telecommunication network provides confidentiality information during its exchanging between the central and functional subsystems of the Unified System.

12. The integrated information security system protects state information resources in automated systems that are part of the Unified System by implementing a set of technical, cryptographic, organizational and other measures and the use of information protection means aimed at preventing the blocking of information access, unauthorized access to it and/or its modifications.

Information processing in the Unified System is carried out with the use of an integrated system of information security with a confirmed in accordance with the procedure established by the legislation.

13. The information exchange between the SFMS and other entities of the Unified System is carried out:

upon request, formed by the SFMS, to the information database resource of the Unified System entity for the purpose of obtaining the information necessary for conducting state financial monitoring;

by regularly providing information database resources for their updating in the data warehouse.

14. The structure, details of information database resources, the frequency of their updating, technology, procedures and terms of bilateral interaction between the SFMS and other Unified System entities are determined by common regulations and/or agreements.

15. Automated access to the information database resources of the functional subsystem is provided through the information exchange between the SFMS and other Unified System entities using the files of a certain structure, the formal description of which is determined by common regulation and/or agreements.

The Unified System uses the following main types of information exchange files:

file-request is an electronic document (data set) of a defined structure, which is formed and submitted by the SFMS to the address of the Unified System entity and contains a requirement for providing information the notification of which is provided by the legislation on prevention and counteraction to the legalization (laundering) of proceeds from crime, terrorist financing and the financing of the proliferation of weapons of mass destruction;

file-response - electronic document (data set) of a defined structure, which is formed and submitted by the Unified system entity to the SFMS and contains the response to the request;

file-receipt is an electronic document (data set) of a specified structure that is sent to the Unified System entity that submitted file-request or file-response and indicates acceptance or refusal to accept the corresponding file.

During the information exchange between Unified system entities, other types of files may be used, the role, structure, and content of which are determined by joint regulations and/or agreements.

16. The updating of information database resources in the data warehouse is provided by submitting files of the specified structure by Unified system entities to the SFMS according to common regulations and/or agreements.

17. The fact of information exchange within the framework of the Unified System is fixed in the protocols of information exchange, the control of which is entrusted to the relevant structural unit of the Unified System entity.

18. The Unified System entity ensure the use of received information solely for official purposes in accordance with the law. Such information is not subject to use, dissemination or transfer to other persons, except as provided for by law.

19. In case of use by the SFMS of information on databases information resources for the formation of case referrals during the transfer of mentioned materials to law enforcement or intelligence authorities, a reference is made to the affiliation of such information to the appropriate state authority.

Annex  
to the Resolution of the Cabinet of Ministers  
of Ukraine as of May 14, 2015 p. No. 299

## THE LIST

### **of database information resources of the Unified State Information System in the area of prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction**

Database information resources	Name of the Unified State Information System entity
Information about persons who were prosecuted (as of November 20, 2012, before the Criminal Procedure Code of Ukraine came into force)	the Ministry of Internal Affairs
Information on persons who are hiding from the authorities and missing citizens	- " -
Information on persons who are held liable for the commission of administrative offenses provided for in Articles 44, 164 <sup>1</sup> , 164 <sup>2</sup> , 164 <sup>5</sup> , 189 <sup>1</sup> , 190 - 193 of the Code of Ukraine on Administrative Offenses	- " -
Information on stolen passports registered in the internal affairs authorities	- " -
Information on vehicles registration	- " -
Information on entities of foreign economic activity that violated the legislation during the implementation of foreign economic operations and to which special sanctions have been applied under Article 37 of the Law of Ukraine "On Foreign Economic Activity"	the Ministry of Economic Development and Trade of Ukraine
Information contained in electronic copies of cargo customs declarations	the State Fiscal Service of Ukraine
Taxpayer accounts and information about their bank accounts taken on the tax accounting	- " -
Information about income received by taxpayers and payment of taxes	- " -

Information about declared costs taken into account when determining the taxpayer's objects of taxation	the State Fiscal Service of Ukraine
Information about the income taken into account when determining the object of insurance companies taxation	- " -
Information on the documents confirming the citizenship of Ukraine, certify the identity or its special status	the State Migration Service of Ukraine
Information contained in the USR	the State Statistics Service of Ukraine
Information on persons that crossed the state border of Ukraine	the State Border Guard Service of Ukraine
Information on persons that violated the rules of crossing the state border of Ukraine	
Information about the results of the state financial audit and inspection	the State Financial Inspection of Ukraine
Information contained in the Unified Register of Managers and Receivers of Budget Funds	Treasury
Information on state registration of legal entities and individuals - entrepreneurs	the Ministry of Justice of Ukraine
Information on persons that have been notified about suspicion of committing criminal offenses in the area of legalization of proceeds from crime and terrorist financing	the Prosecutor General's Office of Ukraine
Information on persons in relation to which the SSU initiated a pre-trial investigation on the grounds of crimes stipulated by Article 209-1 of the Criminal Code of Ukraine	the Security Service of Ukraine
List of licenses issued to financial institutions	the National Financial Service Markets Regulation Commission
Information on insurers' reporting on reinsurance agreements with non-residents	
Information contained in the register of professional stock market participants (securities market), information about self-regulatory organizations created by persons who conduct professional activities in the securities market	the National Securities and Stock Market Commission
Irregular administrative data of securities traders on executed and terminated agreements with securities and other financial instruments	the National Securities and Stock Market Commission
Information about the holders of shares with 10% or more of the authorized capital of the shares issuers	- " -
Information on exchange agreements concluded on stock exchanges, including those for which there have been changes.	- " -
Information on the value of net assets per one security (share, investment certificate) of the joint investment institute and a portfolio of collective investment institutions securities	- " -
Information on registered securities issues	- " -
Information about financial instruments held by the securities trader as of the last day of the quarter (other than securities of own issues)	- " -
Information on concluded contracts of state property sale and purchase	the State Property Fund
Information contained in the Unified Register of State-Owned Objects	