



**MINISTRY OF FINANCE OF UKRAINE
MINISTRY OF JUSTICE OF UKRAINE**

ORDER

May 27, 2015

Kyiv

No. 521/796/5

Registered with the Ministry of Justice of Ukraine
on June 11, 2015 under 689/27134

**On Approving the Procedure for Exchange of Information between the State
Financial Monitoring Service of Ukraine and the Ministry of Justice of
Ukraine to Enhance the Efficiency of Supervising the Primary Financial
Monitoring Subjects' Compliance with the Requirements of the Legislation on
Preventing and Countering Legalization (Laundering) of Proceeds of Crime,
Financing of Terrorism, and Financing of Proliferation of Weapons of Mass
Destruction**

Pursuant to Clauses 6, 7, 15, Part 2, Article 14 and Clause 15, Part 2, Article 18 of the Law of Ukraine “On Preventing and Countering Legalization (Laundering) of Proceeds of Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction”, Sub-Clause 5, Clause 4 of the Provision on the Ministry of Finance of Ukraine approved by the Cabinet of Ministers of Ukraine Resolution of August 20, 2014, No. 375 and with the aim of enhancing the efficiency of supervising the primary financial monitoring subjects' compliance with the requirements of the legislation on preventing and countering legalization (laundering) of proceeds of crime, financing of terrorism, and financing of proliferation of weapons of mass destruction

WE HEREBY ORDER:

1. Approve the attached Procedure for Exchange of Information between the State Financial Monitoring Service of Ukraine and the Ministry of Justice of Ukraine to Enhance the Efficiency of Supervising the Primary Financial Monitoring Subjects' Compliance with the Requirements of the Legislation on Preventing and Countering Legalization (Laundering) of Proceeds of Crime, Financing of Terrorism, and Financing of Proliferation of Weapons of Mass Destruction

2. Declare null and void the Ministry of Finance of Ukraine and the Ministry of Justice of Ukraine Order of March 28, 2013, No. 434/567/5 “On Approving the Procedure for Exchange of Information between the State Financial Monitoring Service of Ukraine and the Ministry of Justice of Ukraine to Enhance the Efficiency of Supervising the Primary Financial Monitoring Subjects' Compliance with the Requirements of the Legislation on Preventing and Countering Legalization

(Laundering) of Proceeds of Crime or Financing of Terrorism” registered with the Ministry of Justice of Ukraine on April 16, 2013 under No. 616/23148.

3. The Department of Tax, Customs Policy, and Accounting Methodology of the Ministry of Finance of Ukraine (Chmeruk M.O.) and the Department for Coordination of the Financial Monitoring System of the State Financial Monitoring Service of Ukraine (Hayevskyi I.M.) shall duly ensure:

submittal of this order for state registration to the Ministry of Justice of Ukraine;

publication of this order.

4. This order shall become effective on the day of its official publication.

5. Control of this order implementation shall be imposed on the First Deputy Head of the State Financial Monitoring Service of Ukraine, Kovalchuk A.T. and the Deputy Minister of Justice of Ukraine, Ivanchenko O.P.

Minister of Finance of Ukraine

N. Jaresko

Minister of Justice of Ukraine

P. Petrenko

CONCURRED:

**Head of the State Financial
Monitoring Service of Ukraine**

I. B. Cherkaskyi

APPROVED

Ministry of Finance of Ukraine and
Ministry of Justice of Ukraine
Order

May 27, 2015, No. 521/796/5

Registered

with the Ministry of Justice of
Ukraine

on June 11, 2015 under 689/27134

Procedure

for Exchange of Information between the State Financial Monitoring Service of Ukraine and the Ministry of Justice of Ukraine to Enhance the Efficiency of Supervising the Primary Financial Monitoring Subjects' Compliance with the Requirements of the Legislation on Preventing and Countering Legalization

(Laundering) of Proceeds of Crime, Financing of Terrorism, and Financing of Proliferation of Weapons of Mass Destruction

I. General provisions

1. This Procedure has been developed pursuant to Clauses 6, 7, 15, Part 2, Article 14 and Clause 15, Part 2, Article 18 of the Law of Ukraine “On Preventing and Countering Legalization (Laundering) of Proceeds of Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction”.

2. This Procedure establishes the mechanism for exchange of information between the State Financial Monitoring Service of Ukraine and the state financial monitoring subject – the Ministry of Justice of Ukraine to enhance the efficiency of supervision of compliance with the requirements of the legislation on preventing and countering legalization (laundering) of proceeds of crime, financing of terrorism, and financing of proliferation of weapons of mass destruction of notaries, lawyers, lawyer's offices, and business associations and entities that provide legal services (except for persons that provide services under employment relations) - primary financial monitoring subjects (hereinafter “the Subjects”) supervised by the Ministry of Justice of Ukraine.

II. Information Submitted by the State Financial Monitoring Service of Ukraine

1. The State Financial Monitoring Service of Ukraine shall submit information to the Ministry of Justice of Ukraine on the efficiency of measures taken by the Subjects supervised by the Ministry of Justice of Ukraine with the aim of preventing and countering legalization (laundering) of proceeds of crime, financing of terrorism, and financing of proliferation of weapons of mass destruction, namely:

statistical data on financial transactions subject to financial monitoring received by the State Financial Monitoring Service of Ukraine from the Subjects;

statistical data on the errors made by the Subjects when submitting information on the financial transactions subject to financial monitoring;

information on the accounting status of the Subjects with the State Financial Monitoring Service of Ukraine;

information on the facts detected by the State Financial Monitoring Service of Ukraine that may evidence violation by the Subjects of the legislative requirements on preventing and countering legalization (laundering) of proceeds of crime, financing of terrorism, and financing of proliferation of weapons of mass destruction;

information on the State Financial Monitoring Service of Ukraine analyses of methods and financial schemes used for legalization (laundering) of proceeds of crime, financing of terrorism, and financing of proliferation of weapons of mass destruction.

2. Data containing restricted-access information shall be provided in the cases and in accordance with the procedure set forth in the legislation.

3. Information between the State Financial Monitoring Service of Ukraine and the Ministry of Justice of Ukraine shall be exchanged complying with the measures that preclude unauthorized access to information or documents during their submittal with due regard for the legislative limitations.

4. The information submitted by the State Financial Monitoring Service of Ukraine to the Ministry of Justice of Ukraine shall be used by it solely for work-related purposes when supervising the Subjects' compliance with the legislation and shall not be disclosed.

III. Information Submitted by the Ministry of Justice of Ukraine

1. The Ministry of Justice of Ukraine shall submit information to the State Financial Monitoring Service of Ukraine on the Subjects' compliance with the legislative requirements on preventing and countering legalization (laundering) of proceeds of crime, financing of terrorism, and financing of proliferation of weapons of mass destruction, namely:

information on detected violations by the Subjects of legislation on preventing and countering legalization (laundering) of proceeds of crime, financing of terrorism, and financing of proliferation of weapons of mass destruction and measures taken to address them;

summarized information on compliance by the Subjects, whose state regulation and supervision is effected by the Ministry of Justice of Ukraine, with legislative requirements on preventing and countering legalization (laundering) of proceeds of crime, financing of terrorism, and financing of proliferation of weapons of mass destruction, including on detected violations and measures taken to address them;

information (if available) on seizing the activities of the Subjects, whose state regulation and supervision is effected by the Ministry of Justice of Ukraine;

information on the Subjects included in the quarterly audit plans of the Ministry of Justice and its territorial bodies.

2. The Ministry of Justice of Ukraine and the State Financial Monitoring Service of Ukraine shall exchange information observing the provisions of Clauses 2-4, Section II of this Procedure.

IV. Information Submittal Deadlines

1. The Ministry of Justice of Ukraine shall submit specified information to the State Financial Monitoring Service of Ukraine:

pursuant to paragraph 2, Clause 1, Section III of this Procedure – on a quarterly basis before the 15th of the month following the reported quarter;

pursuant to paragraph 3, Clause 1, Section III of this Procedure – on a yearly basis no later than January of the year following the reported one;

pursuant to paragraph 4, Clause 1, Section III of this Procedure – on a quarterly basis before the 15th of the month following the reported quarter;

pursuant to paragraph 5, Clause 1, Section III of this Procedure – within 15 days of the date of approving the plans of subject audits.

2. The State Financial Monitoring Service of Ukraine shall submit specified information to the Ministry of Justice of Ukraine:

pursuant to paragraph 2-4, Clause 1, Section II of this Procedure – on a quarterly basis before the 20th of the month following the reported quarter;

pursuant to paragraph 5, Clause 1, Section II of this Procedure – within a month of detecting such facts;

pursuant to paragraph 6, Clause 1, Section II of this Procedure – on a yearly basis before March 1st of the year following the reported one.

**Director of the Department of Tax,
Customs Policy, and Accounting
Methodology**

M.O. Chmeruk

**Director of the Notary and
Financial Monitoring Department**

T.V. Zusik