



**MINISTRY OF FINANCE OF UKRAINE
STATE BUREAU OF INVESTIGATIONS
ORDER**

31.12.2020 No. 836/888

**Registered with the Ministry of
Justice of Ukraine on March 04,
2021 under No. 293/35915**

On approving Procedure for submitting case referrals (additional case referrals) by the State Financial Monitoring Service of Ukraine to the State Bureau of Investigations and receipt of information about their consideration by the State Financial Monitoring Service of Ukraine

In order to implement clause 7 of section X “Final and Transitional Provisions” of the Law of Ukraine “On Prevention and Counteraction to the Legalization (Laundering) of the Proceeds from Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction”, subclause 5 of clause 4 of Regulation of the Ministry of Finance of Ukraine, approved by Resolution of the Cabinet of Ministers of Ukraine of August 20, 2014 No. 375, and in order to determine the procedure for providing case referrals by the State Financial Service Monitoring of Ukraine to the State Bureau of Investigation and their consideration by the State Financial Service Monitoring of Ukraine **WE ORDER:**

1. To approve Procedure for providing case referrals (additional case referrals) by the State Financial Monitoring Service of Ukraine to the State Bureau of Investigations and receipt of the information about a process of their consideration by the State Financial Monitoring Service of Ukraine, attached hereto.

2. To recognize as invalid Order of the Ministry of Finance of Ukraine and the State Bureau of Investigation of September 12, 2019 No. 376/255 “On approving Procedure for providing case referrals (additional case referrals) by the SFMS to the State Bureau of Investigations and receipt of the information about a process of their consideration by the State Financial Monitoring Service of Ukraine”, registered with the Ministry of Justice of Ukraine on September 30, 2019 under No. 1069/34040.

3. Coordination and Monitoring Work Department of the Ministry of Finance of Ukraine and Department for Financial Investigations of the State Financial Monitoring

Service of Ukraine shall, in accordance with the established procedure, submit this order for the state registration to the Ministry of Justice of Ukraine.

4. Heads of the relevant structural subdivisions of the State Bureau of and the State Financial Monitoring Service of Ukraine to ensure control over the implementation of this order in accordance with the requirements of the legislation.

5. The State Bureau of Investigation shall appoint authorized employees to organize on a permanent basis cooperation with the State Financial Monitoring Service of Ukraine in the field of prevention and counteraction to legalization (laundering) of proceeds from crime, terrorist financing and financing of proliferation of weapons of mass destruction.

6. This order shall enter into force on the day of its official publication.

Minister of Finance of Ukraine

S. Marchenko

**Acting
Director of the State
Bureau of Investigation**

O. Sukhachov

AGREED:

Head of the State Financial Monitoring Service of
Ukraine

I. Cherkaskyi

APPROVED
Order of the Ministry of
Finance of Ukraine,
the State Bureau of Investigation
of Ukraine of December, 31, 2020
No. 836/888

Registered with the Ministry of
Justice of Ukraine
on March 04, 2021
under No. 293/35915

PROCEDURE
for submitting case referrals (additional case referrals) by the State
Financial Monitoring Service of Ukraine to the State Bureau of
Investigations and receipt of the information about their consideration
by the State Financial Monitoring Service of Ukraine

I. General provisions

1. This Procedure determines the mechanism of sub by the SFMS to the State Bureau of Investigation (hereinafter – SBI) case referrals (additional case referrals) and receipt of the information about a process of their consideration by the SFMS from SBI.

2. In this Procedure, the terms shall have the following meanings:

annexes to case referrals (additional case referrals) – copies of documents related to information on financial transactions and other information related to case referrals (additional case referrals);

expert commission – the commission of the SFMS for consideration of case referrals and additional case referrals, prepared for submission to law enforcement and intelligence agencies;

submitting case referrals (additional case referrals) – actions of the officials of the SFMS regarding the submitting of case referrals (additional case referrals) to the SBI in accordance with the established procedure;

registration (accounting) of case referrals (additional case referrals) – assignment by the SFMS to each case referral (additional case referral) of registration number, as well as its registration, accounting and fixation in accounting journals, books, Unified register of pre-trial investigations in accordance with the procedure established by the Criminal Procedural Code of Ukraine and the Law of Ukraine “On operational and investigative activities” of the SBI and its territorial bodies;

consideration of case referrals (additional case referrals) – inspection by the SBI in accordance with the procedure established by the Criminal Procedural Code of Ukraine, of data set out in case referrals (additional case referrals), taking necessary measures and making decisions in accordance with the legislation.

Other terms shall have meanings defined by the Law of Ukraine “On Prevention and Counteraction to Legalization (Laundering) of Proceeds from Crime, Financing of Terrorism and Financing of Proliferation of Weapons of Mass Destruction” (hereinafter – the Law).

3. The exchange of information between the SBI and the SFMS is carried out in compliance with the requirements of the legislation on the protection of information with limited access.

4. Employees of the SFMS and the SBI in compliance with the requirements of the legislation take measures in the field of counteraction to Legalization (Laundering) of Proceeds from Crime, financing of terrorist and financing of proliferation of weapons of mass destruction.

II. Submitting case referrals (additional case referrals)

1. Information of a financial transaction or a set of related financial transactions, received by the SFMS in compliance with the requirements of the legislation, is processed and analyzed for the presence of sufficient grounds to believe that:

a financial transaction or a set of related financial transactions are allegedly connected with legalization (laundering) of the proceeds from crime, financing of terrorism or financing of proliferation of weapons of mass destruction;

a financial transaction or client is related to the commission of a criminal offense that does not involve the legalization (laundering) of the proceeds from crime or financing of terrorism.

In case of establishing the abovementioned grounds, the SFMS shall provide the SBI with the relevant case referrals (additional case referrals) in accordance with the jurisdiction within the terms specified by this Procedure.

2. Case referrals (additional case referrals) are prepared by the SFMS and provided by the SBI in accordance with the requirements of the legislation on the protection of information with limited access.

3. Case referrals (additional case referrals) in accordance with the Law contain information with limited access, which shall be the secret of financial monitoring.

If the case referrals (additional case referrals) have annexes that contain information with limited access, the corresponding entry is made in the case referrals (additional case referrals).

4. The structure of the case referrals (additional case referrals) is determined by the content and scope of information provided, and may include the following sections:

content;

preamble;

descriptive sections, which may include:

information on financial transactions and their participants;

resume;

motivated conclusion;

annexes.

5. During the formation of case referrals (additional case referrals) for the analysis of financial transactions the SFMS can use, in particular, information and documents

received from the SBI, about financial transactions, suspected of legalization (laundering) of proceeds from crime, financing of terrorism or financing of proliferation of weapons of mass destruction or the commission of other criminal offenses, the pre-trial investigation of which conducts the SBI, and/or those related to the sanctions applied.

The information provided in accordance with this clause shall contain (if available) information and identification data of persons, the list of which is defined in Annex 1 to this Procedure.

Providing of information to the SFMS is carried out by the SBI in compliance with the requirements of the legislation on the protection of information with limited access and the inadmissibility of disclosure of information of the pre-trial investigation.

6. The SFMS in case of applying (requesting) to a financial intelligence unit of a foreign state can use information received from the SBI, concerning financial transactions, the state of consideration of case referrals (additional case referrals), criminal proceedings, including those with limited access, only with the written permission of the SBI.

In case of absence of such permission, the SBI information cannot be used when applying (requesting) to a financial intelligence unit of a foreign state.

7. In the case referral (additional case referral), which is containing information provided by the financial intelligence unit of a foreign state, the SFMS shall specify the conditions, restrictions and purposes of use, promulgation, disclosure of the source of its receipt, further transfer to the SBI of such information, specified by the foreign intelligence unit. However, such information may not be used as evidence without the prior permission of the financial intelligence unit of a foreign state.

The SBI shall be prohibited to disclose, transfer or use it for any other purpose (judicial, administrative, investigative actions, international legal assistance requests etc.) than those specified by the financial intelligence unit of the foreign state that provided such information.

8. If there is information in the case referral (additional case referrals) of the financial intelligence unit of a foreign state, which has given permission to transfer this information to a designated law enforcement agency, such case referrals (additional case referrals) shall be transferred to the specified law enforcement agency. The specified information and the case referral (additional case referral), which contains it, cannot be transferred to another law enforcement agency or any third party without the permission of the financial intelligence unit of the foreign state that provided it.

9. If the SFMS has additional information related to the case referrals previously sent to the SBI, the SFMS may form and provide to the SBI the additional case referrals.

In this case, the additional case referral shall be an integral part of the case referral.

10. If the SFMS has information on case referrals (additional case referrals) previously sent to the SBI, as a result of which the pre-trial investigation is completed or the operational search case is closed, the SFMS may send it to other law enforcement bodies in accordance with the decision of the expert commission in form of case referrals (additional case referrals).

If, as a result of consideration of the case referral previously sent to the SBI, criminal proceedings are initiated or the case referral is considered (used) during the pre-trial investigation, additional case referrals shall be sent directly to the SBI, unless otherwise specified.

11. The decision on the existence of sufficient grounds for the transfer of case referrals (additional case referrals) to the SBI is made by an expert commission, the composition and powers of which are approved by a separate order of the SFMS.

Representatives of the SBI may be invited to participate in the meetings of the expert commission on the basis of the letter of the SFMS, the candidatures and number of which are approved by a separate administrative document of the SBI, which is informed by the SFMS.

Representatives of the SBI, who are involved in the meetings of the expert commission, have advisory functions and are entitled to:

get acquainted with concise depersonalized descriptions of drafts of case referrals (additional case referrals) (in tabular form) and schemes of financial transactions;

make proposals on the presence or absence of sufficient reasons for the transfer of case referrals (additional case referrals) to the SBI or other law enforcement body;

make proposals on the scope and term of finalizing case referrals (additional case referrals);

make proposals to determine the law enforcement body, its territorial or structural unit to which it is recommended to send case referrals (additional case referrals);

to inform about the state of consideration of case referrals (additional case referrals) transferred to SBI;

make proposals for obtaining copies of case referrals (additional case referrals).

12. Only one copy of the case referral (additional case referral) shall be sent to the SBI.

In case the SBI conducts pre-trial investigation in criminal proceedings on financial transactions that are directly or indirectly related to transactions which are mentioned in the case referral (additional case referral), provided to another law enforcement agency, its territorial unit (with their permission), in accordance with the decision of the SFMS expert commission a copy of such case referral (additional case referral) can be sent to the SBI.

Copies of case referrals (additional case referrals) can be sent to the SBI in accordance with the decision of the SFMS expert commission without the permission of another law enforcement body, its territorial unit, when there is a court decision or the closure of criminal proceedings, operative and search case, within which the case referral (additional case referral) was checked.

Transfer of a copy of the case referral (additional case referral) containing information of the financial intelligence unit of a foreign state, which gave permission to transfer information to another law enforcement agency, is not allowed without the permission of the relevant financial intelligence unit of the foreign state.

13. The deadline for the transfer of case referrals (additional case referrals) to the SBI should not exceed five working days from the date of making decision of the expert commission of the SFMS.

14. In case the SFMS decides to further suspend the relevant financial transactions in accordance with part two of Article 23 of the Law and/or suspend outgoing financial transactions in accordance with part three of Article 23 of the Law, the transfer of case referrals (additional case referrals) to the SBI is carried out within the time limits established by clause 4 of section V of this Procedure.

15. The cover letter signed by the authorized person shall indicate the brief conventional name of the case referral (additional case referral), its registration number, availability of annexes, information on the expiration date of suspension of financial transactions and/or suspension of outgoing financial transactions in case of making such a decision by the SFMS in accordance with part two and/or three of Article 23 of the Law, as well as information on previously sent case referrals (additional case referrals).

16. Copies of documents received by the SFMS after the submission of case referral (additional case referral) to the SBI and which do not contain information on new financial transactions, can be provided to the SBI by a separate cover letter as annexes to the case referral (additional case referral).

Annexes (if any) to the case referral (additional case referral) are an integral part of it.

17. The SBI shall be prohibited from transferring to anyone the information received from the SFMS which is contained in the case referrals (additional case referrals) (except for the cases of its transfer to other law enforcement agencies for use in accordance with the current legislation of Ukraine, in accordance with the requirements of clauses 7 and 8 of this section).

18. Additional case referrals to the case referral previously submitted to the SBI (if available) are submitted by the SFMS to the SBI.

19. In case of transfer of case referrals and/or materials of their consideration to another law enforcement agency by the SBI, additional case referrals and additional information shall be sent by the SFMS to the law enforcement agency, which will check them.

III. Registration and consideration of case referrals (additional case referrals)

1. Registration and consideration of the case referrals (additional case referrals) of SBI are carried out in the order determined by the legislation of Ukraine, including in the part regulating the order of use of the information with limited access.

2. The SBI uses the received case referrals (additional case referrals) within its competence, when carrying out pre-trial investigation or operative-search activity in the order determined by the legislation.

3. The SBI, having received the case referral (additional case referral), not later than five working days from the date of its registration (accounting) provides to the SFMS the information about the date and number of their registration, in particular, in the case of making a decision to enter in the Unified Register of pre-trial investigations (hereinafter – URPI), including available information on the preliminary legal qualification of a criminal offense or an extract from the URPI.

4. If the case referral (additional case referral) and/or materials of their consideration in accordance with the legislation, including in compliance with the requirements of clauses 7, 8 of section II of this Procedure, are transferred to the SBI to its structural or territorial unit or other law enforcement agency, the SBI informs the SFMS in order and the terms specified in Annex 3 of section IV of this Procedure.

IV. Informing about the state of consideration of case referrals (additional case referrals)

1. The SBI within five working days from the date of making decision on the results of consideration of case referrals (additional case referrals) provides to the SFMS the information in accordance with the list of information on the state of by consideration of case referrals (additional case referrals) the SBI provided in Annex 2 to this Procedure.

2. To inform the reporting entities, the SBI submits to the SFMS information on the delivery of a written notice of suspicion of committing a criminal offense, the closure of criminal proceedings initiated under the notification of such entity, which was received by the SFMS in accordance with requirements of Articles 8, 14, 15, 16, 23 of the Law, on such criminal proceedings in the form given in Annex 3 to this Procedure, and also (if available) information on the decisions accepted by courts.

3. The SBI within five working days from the date of transfer of case referrals (additional case referrals) and/or materials of their consideration to the structural or territorial division of SBI or other law enforcement agency informs about it the SFMS, indicating details of the cover letter to which they are sent, the name of the agency its structural or territorial subdivision, as well as registration data and conventional name of the case referral (additional case referral).

4. If it is necessary to obtain information (additional information) on the state of consideration of the submitted case referrals (additional case referrals), copies of procedural documents, the SFMS sends requests to the SBI.

5. At the request of the SFMS, the SBI provides information (additional information) on the state of consideration of case referrals (additional case referrals) and, in case of closing the criminal proceedings, within which the case referral was checked, provides a copy of the resolution on closure of criminal proceedings.

6. The SBI when sending to the SFMS information and/or documents about the results of consideration of case referrals (additional case referrals) in the cover letter shall indicate information about the case referrals (additional case referrals), including its registration number of the SFMS.

7. The SFMS and the SBI conduct a crosscheck of the results of the review of the submitted case referrals (additional case referrals) once every six months. The results of crosscheck shall be formalized by an act in the form given in Annex 4 to this Procedure.

The SFMS draws up an act in two copies, which is sent to the SBI until the 25th day of the month following the reporting month.

Within 30 calendar days from the date of receipt of the act, the SBI shall conduct a crosscheck and provide a copy of the act to the SFMS.

The act of cross-check between the SFMS and the SBI includes information about case referrals and additional case referrals that have been under consideration by the SBI for more than six months and for which the SFMS has no information on the procedural decision or other decision stipulated in the legislation.

V. Informing about the suspension of financial transactions

1. In case the SFMS decides to further suspend financial transactions in accordance with part two of Article 23 of the Law and/or suspend outgoing financial transactions in accordance with part three of Article 23 of the Law, which are related to suspicions of committing criminal offenses under the SBI jurisdiction or related to the information provided by the SBI, the SFMS shall inform the SBI about the specified decision no later than the next business day after making such a decision.

2. The SBI submits to the SFMS a list of units that carry out operational and investigative actions of the SBI, which are responsible for preventing and combating legalization (laundering) of proceeds from crime and other criminal offenses, for their informing and cooperation.

3. The SBI, having received information on the decision made by the SFMS in accordance with clause 1 of this section, immediately (within two working days from the date of its receipt) provides the SFMS for analysis necessary additional information, copies of documents (in compliance with the requirements of the Criminal Procedural Code of Ukraine) information on persons who carry out or are involved in the implementation of a financial transaction, including their criminal prosecution and criminal record, etc.

4. In case of confirmation of a motivated suspicion, the SFMS prepares case referral related to the suspension of financial transactions and submits it to the SBI no later than the seventh working day after making decision on further suspension of financial transactions in accordance with part two of Article 23 of the Law or suspension of outgoing financial transactions in accordance with part three of Article 23 of the Law.

In this case, the term of suspension of the respective financial transactions is extended by the SFMS from the next working day after the submission of the relevant case referral (additional case referral), provided that the total term of such suspension does not exceed 30 working days.

5. During the period of extension of the suspension of the relevant financial transactions (outgoing financial transactions), the SBI conducts a pre-trial investigation and if:

established the absence of an event of a criminal offense or the absence in the act of a criminal offense - immediately informs the SFMS in the prescribed form (Annex 5);

there are reasonable suspicions of committing a criminal offense and the relevant accounts in the manner prescribed by the Criminal Procedure Code of Ukraine are seizure of, - informs the SFMS in the prescribed form (Annex 6) within two working days from the date of the court ruling on the seizure of property.

VI. Submission and execution of requests within the framework of verification of the received case referrals (additional case referrals)

1. In order to obtain information within the framework of verification of the received case referrals (additional case referrals) necessary for the performance of its duties, the SBI may send requests to the SFMS, the consideration of which by the SFMS should not exceed 30 calendar days.

In its request, the SBI may indicate a reservation on the collection of additional information by the SFMS within the request.

2. In order to obtain information (additional information) for the analysis of financial transactions or on the state of consideration of case (additional case) referrals submitted to the SBI, copies of procedural documents the SFMS may send requests to the SBI.

3. The exchange of information is carried out in compliance with the requirements of the legislation on the protection of information with limited access.

VII. Prevention of information disclosure

1. The SBI and the SFMS ensure the preservation of the completeness and integrity of the received information, create and maintain appropriate conditions for its storage, as well as prevent illegal access to it.

2. In order to prevent illegal disclosure of information contained in case (additional case) referrals, including during their transfer and consideration, its disclosure and protection are carried out by employees of the SFMS and SBI in accordance with the legislation governing the use of documents containing information with limited access.

3. The SBI provides the SFMS information (copies of documents) provided by this Procedure in compliance with the requirements of the legislation of Ukraine, in particular Article 222 of the Criminal Procedural Code of Ukraine, the Law of Ukraine “On operational and investigative activities”.

**Director of
Coordination and Monitoring
Work Department
of the Ministry of Finance
of Ukraine**

Yu. Konyushenko

**Deputy Head of
Main Investigation Department
of State Bureau of Investigation**

A. Medvedenko

Annex 1
to Procedure for submitting by the
State Financial Monitoring Service
of Ukraine to State Bureau of
Investigation case referrals
(additional case referrals) and
receipt by the State Financial
Monitoring Service of
Ukraine of information about their
consideration
(clause 5 of Section II)

LIST
of data contained in the information of the State Bureau of Investigation

No.	Date to be contained in the SBI information
1	2
I.	List of information required to apply to the SFMS
1.	Type of financial transactions that the SBI suspects are related to:
1)	legalization (laundering) of proceeds from crime
2)	Financing of terrorism and/or financing of proliferation of weapons of mass destruction
3)	committing another criminal offense
4)	committing an act for which international sanctions are provided
2.	Information on financial transactions referred to in clause 1 of this List shall be accessed:
1)	in case of a pre-trial investigation in criminal proceedings on the indications of crimes under Articles of the Criminal Code of Ukraine, the jurisdiction of which is determined by part four of Article 216 of the Criminal Procedural Code of Ukraine
2)	during the implementation of tasks provided by the Law of Ukraine “On operational and investigative activities”, in order to prevent, detect, suspend, investigate and disclose criminal offenses under the jurisdiction of the SBI, as well as to prevent the commission of new
3.	Information on criminal proceedings:
1)	registration number of application, notification of a committed criminal offense, including in the Unified Register of Pre-trial Investigations (hereinafter - URPI)
2)	date of registration of the application, notification of the committed criminal offense, including in URPI
3)	qualification of the alleged criminal offense(s)

4)	the name of the investigative unit that conducts the pre-trial investigation
5)	a brief description of the circumstances of the criminal offense (date, time, address, place, method, tools, means, other features of the crime, data of persons suspected of committing a crime, etc.)
6)	estimated amount of refferal damage and/or criminal proceeds (UAH)
4.	Information on the operational and investigative case:
1)	number of operative- search case
2)	the date of the operative-search case
3)	qualification of the alleged criminal offense(s)
4)	the name of the law enforcement body, its structural subdivision, in the course of which the operative-search case is conducted
5.	A description of a financial transaction in which the SBI suspects that it involves the legalization (laundering) of proceeds from crime, or financing of terrorism, or financing of proliferation of weapons of mass destruction, or the commission of another criminal offense, or an act is subject to international sanctions:
1)	date of the financial transaction
2)	the amount of the financial transaction
3)	the content of the financial transaction
4)	name of the bank
5)	information on the participants of the financial transaction
6)	other information about the financial transaction (if available)
6.	Grounds for reasonable suspicion that the financial transaction is related to the legalization (laundering) of proceeds from crime, or financing of terrorism, or financing of proliferation of weapons of mass destruction, or the commission of another criminal offense, or an act is subject to international sanctions
7.	The existence of a causal link between the circumstances under investigation in criminal proceedings, in the operational and investigative case, and the financial transaction
8.	Mandatory identification data of legal entities and individuals who have carried out financial transactions and may be directly or indirectly involved in the legalization (laundering) of proceeds from crime, or financing of terrorist, or financing of proliferation of weapons of mass destruction, or committing other criminal offenses, or act subject to international sanctions:
1)	for natural persons - residents:
	last name, first name, patronymic (if available)
	registration number of the taxpayer's account card or series and passport number (for individuals who, due to their religious beliefs, refuse to accept the registration number of the taxpayer's account card and notify the relevant supervisory authority)
2)	for non-resident individuals: surname, name, patronymic (if available) (in Ukrainian and/or English)
3)	for legal entities:

	full name
	USRCOI code (for residents)
	Location
II.	The score (list) of information required for the application to the financial intelligence unit of another state
1.	Information specified in clauses 1-3, 6, 7 of section I of this List
2.	Information identifying the entity: name of entity (surname, name, patronymic (if any) of the natural person and/or name of the legal entity)
3.	Financial and other information:
1)	name of the bank (SWIFT-code (BIC-cod) of the bank)
2)	bank account number
3)	description of required information (questions)
4)	the purpose of using of the requested information
5)	application of attachment, seizure or confiscation of property
6)	amount (type of currency) and/or origin of funds
7)	countries involved in the investigation

Annex 2

to Procedure for submitting by the State Financial Monitoring Service of Ukraine to the State Bureau of Investigation of case referrals (additional case referrals) and receipt by the State Financial Monitoring Service of Ukraine information on their consideration
(clause 1 of Section IV)

**LIST of
information on the state of consideration by the State Bureau of
Investigation of case referrals (additional case referrals)**

No.	Stages of consideration	Information on consideration of case referrals and additional case referrals
1	2	3
1.	General information (provided in all cases)	1. Number, date of the case referral (further - CR), additional case referral (further - ACR). 2. The SBI unit that received the CR (ACR) for verification In case of sending the CR (ACR) or materials of their consideration to another agency (subdivision) of the SFMS, a copy of the cover letter or information on the date and number of the cover letter and the name of the agency (subdivision) to which the CR (ACR) is sent/
2.	Consideration of the CR (ACR) within the criminal proceedings	An extract from the Unified Register of Pre-trial Investigations (hereinafter - URPI) or the following information is provided: 1. Date and number of registration in the URPI of the criminal proceedings within which the CR (ACR) is being verified 2. Article(s) of the Criminal Code of Ukraine and its (their) part(s), on the basis of which the pre-trial investigation is carried out 3. Name of the agency and its subdivision that entered information into the URPI 4. Name of the agency and its subdivision under investigation 5. State of the pre-trial investigation (investigation is ongoing, criminal proceedings have been transferred under investigation, suspended, closed, etc.) 6. A brief description of the pre-trial investigation summary

		<p>7. The amount of legalized proceeds (million UAH)</p> <p>8. Total amount of money (list of property) arrested and/or seized during the pre-trial investigation (UAH million)</p> <p>In case of closing the criminal proceedings, within which the CR (ACR) were verified, a copy of the relevant resolution is provided</p> <p>In the case of referral of criminal proceedings to the court, information on the name of the court, surnames, names, patronymics (if any) of suspects, accused, article of the Criminal Code of Ukraine</p>
3.	Consideration of CR (ACR) within the operational-search case	<p>1. The number of the operational-search case (hereinafter - OSC) and the date of its initiation</p> <p>2. The name of the agency and its subdivision, which carries out the inspection of CR (ACR) within the OSC</p> <p>3. State of OSC (criminal proceedings initiated or OSC closed)</p> <p>4. Grounds for closing the OSC</p>

Annex 3
to Procedure for submitting by the State Financial Monitoring Service of Ukraine to the State Bureau of Investigation case referrals (additional case referrals) and receipt by the State Financial Monitoring Service of Ukraine information on their consideration
(clause 2 of Section IV)

**REPORT
on the adopted procedural decision**

No	Number of case referral	Participant of the financial transaction (surname, name, patronymic (if any), registration number of the taxpayer's account card (if available), name of the legal entity, identification code of the Unified State Register of Enterprises and Organizations of Ukraine)	The number of the financial transaction under the case referral	Number of criminal proceedings under the Unified Register of Pre-trial Investigations	Date of entry of the fact into the Unified Register of pre-trial investigations			Article of the Criminal Code of Ukraine	Name of the court, date and number of the decision that has entered into force (if any)
					delivery of a notice of suspicion	closure of criminal proceedings	Submission of the indictment to court		
1	2	3	4	5	6	7	8	9	10

Head of the structural unit
State Bureau of Investigation of
or his deputy/Head of the
structural unit territorial
administration State Bureau of
Investigation or his/her deputy

_____ 20____

(signature)

(Name and SURNAME)

Annex 4
to Procedure for submitting by the
State Financial Monitoring Service of
Ukraine to the State Bureau of
Investigation case referrals (additional
case referrals) and receipt by the State
Financial Monitoring Service of
Ukraine information on their
consideration
(clause 7 of Section IV)

Classified
Copy _____
(in case of filling)

ACT
**of the results of consideration of the submitted case referrals (additional
case referrals) crosscheck**
for the period _____

No	Number and date of the cover letter of the SFMS	Number and date of the case (additional case) referral	Type and conventional name of the case (additional case) referral	Date and number of registration in the Unified Register of Pre-trial Investigations, numbers of articles of the Criminal Code of Ukraine	Results of consideration of the case referrals (the last decision made according to the legislation on the reporting date)
1	2	3	4	5	6

Head of the structural unit
SFMS or his/her deputy

_____ 20_____

_____ (signature)

_____ (Name and SURNAME)

Head of the structural unit
State Bureau of Investigation or
his/her deputy

_____ 20_____

_____ (signature)

_____ (Name and SURNAME)

Annex 5
to Procedure for submitting by the State
Financial Monitoring Service of
Ukraine to the State Bureau of
Investigation case refferals (additional
case referrals) and receipt by the State
Financial Monitoring Service of
Ukraine information on their
consideration
(paragraph two of clause 5 of section V)

INFORMING
**the SFMS by the State Bureau of Investigation on the absence of an
event (composition) of a criminal offense based on the results of a pre-
trial investigation of the suspension of financial transactions**

No	Information on suspended financial transactions			Information on establishing the absence of an event of a criminal offense or the absence in the act of a criminal offense
	date of the letter of the SFMS on the suspension of financial transactions	number of letter of the SFMS on the suspension of financial transactions	account number (s) on which the financial transactions were suspended	
1	2	3	4	5

Annex 6
to Procedure for submitting by the
State Financial Monitoring Service of
Ukraine to the State Bureau of
Investigation case referrals
(additional case referrals) and receipt
by the State Financial Monitoring
Service of Ukraine information on
their consideration
(paragraph two of clause 5 of
section V)

INFORMING
the SFMS by the State Bureau of Investigation on seizure of accounts
based on the results of the pre-trial investigation into the
suspension of financial transactions

No	Type of information	Content of information
1	2	3
1.	Information on suspended financial transactions	1) date of the letter of the SFMS on the suspension of financial transactions
		2) number of letter of the SFMS on the suspension of financial transactions
		3) account number (s) on which the financial transactions were suspended
2.	Information on seizure of accounts	1) the number (s) of the account (s) seized
		2) the amount of funds seized
		3) the type of currency of the seized account
		4) the date of the court (investigating judge) issuing the ruling imposing the arrest
		5) the number of the arrest warrant
		6) the name of the court that issued the arrest warrant
		7) date of registration of criminal proceedings in the Unified Register of Pre-trial Investigations (hereinafter - URPI)
		8) number of registration of criminal proceedings in URPI
		9) the number (s) of the article (s) under which the criminal proceedings were registered